

Research report

Work and the welfare system: a survey of benefits and tax credits recipients

Technical report

by Trinh Tu and Steven Ginnis

Department for Work and Pensions

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Abbreviations and glossary of terms

CTC	Child Tax Credits
DWP	Department for Work and Pensions
ESA	Employment and Support Allowance
HB	Housing Benefit
IB	Incapacity Benefit
IS	Income Support
JSA	Jobseekers' Allowance
SDA	Severe Disability Allowance
WTC	Working Tax Credits

1 Introduction

This report provides the technical and methodological details for the Survey of Benefits and Tax Credits 2011. As well as the background to the survey, the report covers sample design, questionnaire development, fieldwork materials, response rates, the weighting strategy, and data analysis.

The advance letter and a Word version of the questionnaire are included as appendices.

1.1 Background to the survey

The main aim of this research was to gather information to gain a better understanding of individuals who are likely to be eligible for Universal Credit according to their attitudes towards work. The specific objectives of the survey were to:

- understand claimants' levels of commitment to finding work or increasing their hours, and their stated reasons for that;
- establish the relative impact of obligations and incentives in encouraging recipients to move into work/increase hours worked;
- understand claimants' current channel use and preferences and potential support required to use an online system;
- obtain quantitative information on budgeting skills and behaviours;
- inform the communications strategy by identifying which groups respond to which elements of the Universal Credit proposition and those who are most resistant to Universal Credit proposals; and
- provide a baseline for certain measures such as work aspirations, distance from the labour market and barriers to work.

The survey included a discrete choice exercise to understand the **relative importance** of different factors in influencing individuals' decisions to work more hours than they currently do (i.e. part-time workers) or at all (i.e. those currently unemployed or out-of-work).

1.2 Technical summary

The survey population was households in receipt of at least one qualifying benefit or tax credit¹ within the last six months. The sample was randomly selected from the Department for Work and Pensions (DWP) and HM Revenue & Customs HMRC claimant databases and covered Great Britain. Interviews were attempted with a main claimant (established using a screener questionnaire) and their partner (where one existed).

The survey fieldwork was conducted between 27 June and 7 August 2011. Interviews were conducted face-to-face by Computer-Assisted Personal Interviewing (CAPI). In total 5,529 individuals in 4,315 households took part in the survey (this includes 1,249 partner interviews). The overall adjusted response rate was 51 per cent; the co-operation rate was 74 per cent. The average interview length was 45 minutes for individuals and 75 minutes for couples.

The data have been weighted to correct for unequal selection probabilities and non-response.

¹ The qualifying benefits were defined as follows: Jobseeker's Allowance (JSA), Working Tax Credits, Incapacity Benefit (IB), Employment and Support Allowance (ESA), Income Support (IS), Severe Disablement Allowance (SDA), Child Tax Credits, and Housing Benefit (HB).

2 Sample design

2.1 Survey population and sampling frames

The survey was required to represent current and recent recipients of Jobseeker's Allowance (JSA), Incapacity Benefit (IB)/Severe Disablement Allowance (SDA), Employment and Support Allowance (ESA) (excluding those in the ESA assessment group, but including 'Unknown'), Income Support (IS) and Housing Benefit (HB), and HMRC Working Tax Credits (WTC) and Child Tax Credits (CTC), across Great Britain (adults aged 16+). Sample sizes, disproportional to how the groups are found in the population, were specified for each of these groups; this ensured, for example, that sufficient sample sizes of Lone Parents (receiving IS) and JSA claimants aged under 25 would be achieved. The following table gives the required sample sizes for the survey, alongside the population proportions (based on the Department for Work and Pensions (DWP) and HMRC databases used for sampling).

Table 2.1 Required sample sizes for the survey and database population figures

Provider; benefits/tax credit type	Sample sizes		Population	
	N	%	N	%
DWP: JSA over 25	525	13	999,471	11
DWP: JSA under 25	525	13	402,939	5
DWP: ESA Support	75	2	58,077	1
DWP: ESA Work Related Activity	210	5	194,064	2
DWP: ESA Unknown	75	2	65,982	1
DWP: IB/SDA	360	9	1,898,457	21
DWP: IS	1,050	26	771,882	9
DWP: HB only	180	5	1,073,766	12
HMRC: Tax credits (including WTC and CTC)	1,000	25	3,433,200	39
Total	4,000	100	8,897,838	100

DWP's and HMRC's claimant databases, which comprise records at the household level, were used as the sampling frames for the survey. DWP sampling specialists reported the benefits databases used to draw the DWP portion of the sample as up to date (with respect to benefits receipt) at mid-February 2011. The HMRC reported their database as up to date to May 2011.

A sample size of 4,000 households was specified for the survey, selected using a two-stage clustered sample methodology. In each household an interview was sought with the named respondent and their co-habiting partner (where applicable). To be eligible for the survey the named contact, or their partner, had to be in receipt of one of the in-scope benefits/tax credits, or to have been so within the last six months (prior to the interview date).

2.2 Selection of primary sampling units

Postcode sectors were used as the primary sampling units (PSUs) for the survey, with twenty addresses to be selected in each.

DWP and HMRC firstly provided counts of claimant households, across the benefits groups required for the survey, and postcode sectors in Great Britain. The DWP groups were mutually exclusive, i.e. there would be no (or very little) overlap between them, but they could overlap with HMRC tax credits (there was insufficient time at the sampling stage for the DWP and HMRC databases to be de-duplicated against each other).

Ipsos MORI cleaned these data (a small number of postcode sectors which did not exist or were outside of Great Britain were removed), merged counts provided by the DWP and HMRC into one postcode sector file, and combined sectors which contained fewer than 250 claimants (in total across all groups) with neighbours. These combined sectors formed the sampling frame of potential PSUs for the survey.

A weighted size measure was calculated for each PSU², which would be used to determine the probability of selection of each PSU such that the survey would deliver an equal probability sample within each benefits/tax credits group while holding the total number of addresses to sample from each PSU constant at 20.

The sample was stratified by GOR/country; within this by Index of Multiple Deprivation (IMD)/the Scottish and Welsh versions thereof, in three equal sized bands (of the size measure); within this by the proportion of social renters (in three equal sized bands); and within this by the proportion of lone parents by sorting on this variable.

A total of 463 PSUs were selected, along with 46 reserve PSUs (which were not required), and these were provided to the DWP/HMRC, along with details of the postcode sectors they comprised.

2.3 Sample selection

Different procedures were used for DWP and HMRC sample selection.

DWP was asked to provide an exact number of each benefits group within each PSU (such that equal probabilities would be maintained within the groups). Prior to sample selection DWP removed sensitive cases from PSUs (providing counts of those removed to Ipsos MORI). Claimants for each benefit group were selected by DWP using an appropriate interval after first combining postcode sectors into PSUs as specified and sorting by postcode.

HMRC provided details of all claimants within the selected PSUs for Ipsos MORI to conduct the selections. Claimant households were provided from the HMRC's ten per cent sample database. A small proportion of cases were first removed on a random basis so that exactly 30,000 cases were provided (as per the maximum number agreed for the data transfer). The HMRC also removed sensitive cases before providing the sample, and provided counts of the numbers of cases removed to Ipsos MORI.

Ipsos MORI used the revised PSU-level total counts (i.e. following removal of sensitive cases) provided by the HMRC to revise the numbers of tax credit claimants to sample in each PSU to maintain equal selection probabilities across the tax credits sample. (This was not possible with the DWP sample as the selection was made by the DWP, and as such selection probabilities varied slightly across the DWP groups at this stage due to the removal of cases). The required numbers of cases were then sampled by Ipsos MORI, using an appropriate interval for each PSU and after sorting by postcode.

² For a description of the method see Lynn, P. Noble, I. and Smith, P. (2005). *A new method for sample designs with disproportionate stratification*, AAPOR conference.

4 Sample design

A total of 20 addresses were selected on average (across DWP and HMRC benefits/tax credits) across the PSUs (9,260 addresses for the main sample in total). This comprised the sample for the survey. Ipsos MORI sent opt-out letters to each household, and those that did not opt-out were issued to interviewers for fieldwork (see Section 4.5 for details on response rates).

In the first two weeks of fieldwork it became apparent that eligibility and response rate assumptions for the survey were conservative, and hence that substantially more interviews than budgeted would be achieved. To limit the impact of this a random selection of addresses were removed from a small number of sample points where interviewers had not yet started their assignments. A total of 288 addresses were removed in this way. Interviews achieved in these points have been weighted to adjust their revised selection probabilities.

2.4 Selection of respondent to interview

The information provided by DWP included a single named contact per household, whereas the HMRC provided names for both parties in a joint claim where this information was available.

Interviewers first established that at least one of the named contacts was resident at each sampled address where they were able to make contact. The interviewer then established that a named contact, or in some cases their current co-habiting partner (providing they could confirm this), was in receipt (or had been within the past six months) of at least one of the eligible benefits/tax credits. This established eligibility for the survey.

Interviews were permitted with named contacts (or their current co-habiting partners) only. If a named contact had moved address and the interviewer was able to find out the new address, and this was also within the area, then they were permitted to attempt an interview at this new address. Interviews were not permitted with new (non-named) householders at a sampled address irrespective of benefits receipt. Due to constraints on the length of fieldwork movers were not followed if they had moved outside of an interviewer's area, and special efforts to trace movers were not incorporated into the fieldwork procedures.

Screeners questions were included at the start of the CAPI interview programme to confirm respondents' eligibility for the survey. These questions also established the benefits/credits status of the first responder's partner (if applicable), and based on screener answers, a priority of 'main respondent' was given to one respondent in partner households. The priority was based on the benefits/credits of most interest to the DWP³. Main respondents completed a slightly longer interview than their partners.

³ The main respondent was chosen in the following priority order. JSA; WTC; IB or ESA or IS or SDA; HB; CTC. Current claims took precedence over lapsed claims irrespective of which benefits were being claimed (e.g. a CTC current claim would preside over a JSA lapsed claim).

3 Questionnaire design

3.1 Questionnaire development

The questionnaire was developed for the specific needs of this project. However, where possible the questions were harmonised with the following surveys (in particular, the ‘attitudes to work’ questions used in the cluster analysis drew heavily on a previous cluster analysis study commissioned by Department for Work and Pensions (DWP) - Beliefs About Work Survey):

- BAWS – Beliefs About Work Survey.
- BSAS – British Social Attitudes Survey.
- ESS – European Social Survey Round 5.
- FACS – Families and Children’s Survey (wave 10).
- FRS – Family Resources Survey.
- LFS – Labour Force Survey.
- TCCC – HMRC Tax Credits and Child Benefits Study (wave 3).

A full version of the questionnaire including programming and routing instructions can be found in the Appendix. In summary, the questionnaire covers the following areas:

- 1 Screening household eligibility and identification of main respondent.
- 2 Current/last job.
- 3 Attitudes to work – ‘attitudes to work’ cluster analysis questions.
- 4 Current job search behaviour.
- 5 Discrete choice (asked of main claimant only).
- 6 Budgeting.
- 7 Childcare.
- 8 Contact channel (asked of main claimant only).
- 9 Demographics.

Respondents in full-time work and those in the ESA support group were not asked the ‘Attitudes to work’ cluster analysis questions. The latter were also not asked to complete the discrete choice task as this is not relevant to their circumstance. The discrete choice section was also only asked of main claimant respondents.

3.2 Screening for eligible respondents

The section 1 screener questions were asked once in each household and could have been completed by the main claimant or their partner.

The questions were asked of the person that the DWP/HMRC database had highlighted as the main claimant/or their partner if that person was not at home. As the screener also determined the interview hierarchy (i.e. in couple households where both were in receipt of eligible benefits

who should complete the main claimant version of the interview) we were able to change who we considered to be the main claimant after the screener had been completed, so the first person asked for by name (whether or not they were the person completing the screener) may not have been the final main claimant for the household.

3.3 Cognitive testing

The content of the discrete choice was cognitively tested alongside new questions on budgeting and contact channels. The objectives of this exercise were to:

- test the instructions to ensure respondents understood what they were being asked to do.
- test respondents' understanding of the attributes in the discrete choice, as well as how well they managed with a four-attribute and a five-attribute model.
- measure the length of time respondents took to undertake each task to help determine the optimal number of tasks.

In total ten face-to-face cognitive interviews were conducted with benefit and tax credit recipients. Participants were recruited in person to include a range of age, gender and work status. The interviews were conducted face-to-face and lasted between 45 to 60 minutes.

Respondents were presented with either a long or short introduction to the discrete choice task, and either a four or five attribute model. The questions were asked as if part of an interview but were followed up with a series of probes to understand the respondent's cognitive processes; for example: what the question meant to them, what made them give the response they gave, and which factors influenced their answer. Participants were encouraged to 'think out loud'.

Respondents found the five-attribute model easier to digest; this was because they preferred to see hours spent job-seeking and frequency of Jobcentre interviews as two separate attributes rather than grouped. It was also agreed that the maximum number of tasks should be eight. Finally, the introduction to the task was revised to ensure that respondents were taken through an example choice task by the interviewer.

Some minor amendments were also made to the budgeting support questions, and it was decided that respondents would be asked to make a choice between 'telephone' and 'online' only for the contact channel questions (i.e. removing a face-to-face option) as this was a more accurate reflection of the main options that will be available to claimants.

3.4 Piloting

Ipsos MORI carried out a pilot of the questionnaire over the weekend of 18-19 June 2012. Due to the tight timescale available, the pilot focused only on testing: the screening procedure, interview length and the flow of the questionnaire. We also sought interviewer feedback on the interviewer instructions issued.

The pilot was conducted across three areas in England: Ramsgate, Romford and Crystal Palace – four households were interviewed in each area. There was insufficient time to send advance letters for the pilot. Instead respondents were recruited in person. Quotas were set to ensure a spread of single and couple households, and of households with children under the age of 16. A cash incentive of £10 was given to each main claimant and partner interview. A total of 12 main claimant and six partner interviews were conducted.

The three interviewers taking part in the pilot attended a briefing beforehand and an interviewer debriefing was held after the pilot to discuss any problems and suggestions that arose during the pilot fieldwork. As a result of the feedback minor amendments were made to the pre-codes to Budge12 and Budge13, clarification was sought as to the types of jobs applied for in the last month at Search12, and SIC coding was used to gather information about previous employment and the types of jobs applied.

The experience of the pilot suggested that households would be willing to take part in the survey and that no incentive was needed for the mainstage fieldwork.

4 Fieldwork

4.1 Briefings

Across the 463 sample points, 317 interviewers worked on the project. All interviewers received a set of interviewer instructions and an hour-long DVD briefing, which contained information on the background to the survey including the aims and objectives, specific requirements for fieldwork including respondent eligibility and selection procedures, tips on making contact and maximising response, and the detail of the questionnaire and Computer Assisted Personal Interviewing (CAPI) script.

In particular, the briefing took interviewers through an example of the screening process and the collection of SIC coding (categorisation of job type). Test questions were added into the briefing to ensure that interviewers watched the DVD and each interviewer was required to conduct at least one practice interview before starting fieldwork.

4.2 Advance letters and opt-out

An advance letter introducing the survey was sent out to every selected household prior to interviewer contact. Depending on whether customers' details had been obtained from Department for Work and Pensions (DWP) or HM Revenue & Customs (HMRC) the letter was adapted to identify the source. Copies of both versions of the letter are appended to this report. Letters were posted ten days prior to the start of fieldwork to allow households to 'opt-out' of taking part in the research. The letter contained a free-phone helpline number and email address which respondents could contact for more information or if they would like to be removed from the sample. A total of 392 households opted-out of the research and were not contacted by interviewers.

4.3 Data linking

At the end of the survey, respondents were asked if they would be willing for the answers they gave to be matched to DWP and HMRC databases, which contain further information about their benefit claims, employment and tax records. If they agreed, respondents were asked to sign a consent form which was returned to Ipsos MORI.

In total 3,517 (64 per cent) of respondents agreed to data linking, and the relevant DWP (DWP_UNIQUEID) and HMRC (HMRC_application_ins_id) IDs for those who gave consent can be found at the start of the SPSS dataset.

4.4 Fieldwork management and quality control

A number of processes were put in place to ensure fieldwork quality and to enable any problems to be swiftly identified and immediate remedial action to be taken:

- Interviewers uploaded their completed interviews and reported final outcomes on their addresses on a daily basis. This information was fed into our field database in order to monitor fieldwork progress as well as the performance of individual interviewers.

- Ten per cent of interviews were back-checked to ensure that the interview was carried out as it should have been. Interviews were selected at random across all interviewers and the respondent was called back by someone from Ipsos MORI's field quality team. In addition, the first completed interview returned by each interviewer was reviewed in order to identify any problems at an early stage. As additional quality checks, we also monitored the average length of the interviews conducted by each interviewer, and the number of answers given to multi-code questions.

4.5 Response rates

This section presents the response rates and survey. First the overall response rate and summary response breakdown are presented, followed by a more detailed breakdown of outcomes for the survey including the fieldwork response rate and cooperation rate.

4.5.1 Response rate

The household level response rate for the survey is presented in Table 4.1. The overall weighted response rate for the survey was 49 per cent. Following best practice guidelines⁴ the overall response rate has been weighted by inverse selection probabilities to reflect the population profile in terms benefits/tax credits proportions (which were sampled disproportionately). However, there is no difference between this and the unweighted response rate, also 49 per cent, and hence figures in the tables below are unweighted.

In line with good practice guidelines the response rate is calculated as the proportion of eligible cases (issued addresses) at which an interview was achieved. In order to establish eligibility, contact was required with at least one of the named individuals issued with each address. The survey population was defined as being in receipt of survey-eligible benefits or tax credits within the last six months. We have assumed that every issued case did relate to a DWP or HMRC customer, even if the address provided appears not to be valid or their past or present residency at the address could not be confirmed, and hence benefits/tax credits receipt is the only eligibility criterion in the calculation of the response rate. It was not possible to determine this for a sizeable proportion of the sample (31 per cent of issued cases), and hence eligibility has been estimated for this group based on the eligibility ratio in the known population. This has very little impact on the response rate as eligibility was near total, at 99 per cent.

At the summary level, the main component of non-response for the survey was non-contact (30 per cent comprising of two major 'screener not completed' outcomes shown below) and secondly refusals (17 per cent). A high non-contact rate was to be expected given the reduced (due to time constraints) fieldwork call pattern and period (with no re-issues), and that provisions were not made for the location and attempted interview of movers.

⁴ Lynn, Peter; Beerten, Roeland; Laiho, Johanna and Martin, Jean (October 2001) 'Recommended Standard Final Outcome Categories and Standard Definitions of Response Rate for Social Surveys', *Working Papers of the Institute for Social and Economic Research*, paper 2001-23. Colchester: University of Essex.

Table 4.1 Summary outcomes and survey response rate

	<i>N</i>	% Issued sample	% Estimated eligible
Issued addresses	8,972	100	
Ineligible	58	1	
Named contact not in receipt of benefits/ credits in past six months	58	1	
Estimated eligible	8,888	99	100
Unknown eligibility	2,800	31	32
Screeners not completed due to non-contact/ address move	2,423	27	27
Screeners not completed due to vacant/non- residential/etc address	263	3	3
Contact made but unable to establish information	114	1	1
Eligible	6,115	68	69
Unproductive	1,800	20	20
Refusal	1,485	17	17
Other non-response	315	3	4
Full interviews	4,315	48	49

4.5.2 Individual interview response rate

In summary, we achieved the following rates of response:

- unadjusted response rate: 48 per cent;
- adjusted response rate: 51 per cent;
- co-operation rate: 74 per cent.

Across the 4,315 households included in the survey, the named respondents in 1,499 (35%) households were living with a spouse or partner. Hence 5,779 adults were eligible for the survey in all interviewed households (4,280 main respondents plus 1,499 partners). A total of 5,529 individual interviews were achieved, an individual-level response rate of 96% out of eligible individuals in interviewed households. The level of response amongst partners only was 83% (1,249 partner interviews out of 1,499 partners).⁵

The ‘net’ overall response rate could hence be expressed as the overall household response rate multiplied by the individual response rate (49 per cent x 96 per cent), which gives 47 per cent.

4.5.3 Detailed response outcomes and measures of fieldwork performance

Table 4.2 contains the detailed response outcomes for the survey. Two measures of fieldwork performance are calculated:

- A ‘fieldwork response rate’ (51 per cent), which is the proportion of achieved household interviews out of estimated eligible cases which were actually issued to interviewers. Opt-outs were received from 392 addresses prior to fieldwork (four per cent of the issued sample, to whom opt-out letters were sent), and these were hence not issued for fieldwork.

⁵ 4,315 households were interviewed; however, in 35 instances successful interviews were achieved with partners only and not main claimants.

- **The cooperation rate (74 per cent)**, which is the proportion of achieved household interviews out of households at which contact was made (at a household containing a named respondent)⁶. Given that the survey protocol comprised less intensive efforts to make contact with respondents than most face-to-face surveys; and a small number of the addresses provided appear to have been inaccurate (three per cent); this presents a more accurate measure of fieldwork performance. It is usual when calculating the cooperation rate to include cases where any contact was made in the base of the calculation. In this case we have also excluded addresses where the final outcome was the household had moved (nine per cent of issued addresses). There would of course have been contact made at these addresses to establish this information, but as provision was not made to trace and interview movers they have been excluded to better reflect fieldwork performance.

Table 4.2 Detailed response rates

	<i>N</i>	% Issued sample	% Issued for fieldwork	% Estimated eligible
Issued addresses (sent opt out letter)	8,972	100		
Refusal: opt out before survey	392	4		
Issued addresses (to interviewers for fieldwork)	8,580	96	100	
Ineligible	58	1	1	
Named contact not in receipt of benefits/credits in past six months	58	1	1	
Estimated eligible	8,494	95	99	100
Unknown eligibility	2,800	31	33	33
Screeners not completed due to non-contact	1,630	18	19	19
Moved - unable to attempt contact at new address	793	9	9	9
Address vacant/empty	166	2	2	2
Contact made but unable to establish information	114	1	1	1
Unable to locate address	57	1	1	1
Address demolished/non-residential/other	40	0.4	0.5	0.5
Eligible	5,723	64	67	67
Refusal: in person	679	8	8	8
Refusal: broken appointment, no recontact	308	3	4	4
Refusal: by proxy	106	1	1	1
Other: away or in hospital	125	1	1	1
Other: physically or mentally unable/incompetent	61	1	1	1
Other: language	28	0.3	0.3	0.3
Other: ill at home during survey period	28	0.3	0.3	0.3
Other: lost interview	16	0.2	0.2	0.2
Other: non-response	57	1	1	1
Full interviews	4,315	48	50	51

⁶ Full interviews/(Eligible + Contact made but unable to establish information).

As mentioned above, non-contact was the main reason for non-response on the survey. This was compounded by address moves. An address move was established for nine per cent of the issued sample; however, the original survey assumptions were for a rate of 16 per cent. It is likely that further address moves are hidden within the general non-contact outcome (i.e. interviewers were unable to establish at these addresses the whereabouts of the named respondents). We would expect that an extended fieldwork period, including the use of re-issues and procedures for mover tracing, would have been effective at reducing the non-contact rate, i.e. the response rate could be improved.

The refusal rate for the survey was fairly modest (hence the co-operation rate is high). This suggests that the survey was well received by the public. It is likely that the refusal rate could have been reduced further via field re-issues had they been conducted.

The high non-contact rate does increase the risk of biased survey estimates. Higher non-contact rates are usually associated with address moves, flats, single person households, working households, households without children, and addresses in urban areas particularly in inner London. If these items are also associated with survey variables then there could be bias.

The weighting scheme devised for the survey has however been able to control for some of the differential non-response by these factors: the weights have brought the proportion of single person households in line with comparable Labour Force Survey estimates of benefit beneficiaries; weighting by tax credits (who make up the majority of working people) has had a similar effect on employment levels; and the data are also weighted by country and English government office region which would have brought London proportions in line with the population. Non-response weights by age and gender are also likely to have countered some potentially biasing non-response related to refusal – refusal is typically higher amongst younger respondents and men.

5 Weighting

All weights were constructed at the household level. Respondents in the same household were given the same weight. Weights were calculated to equalise selection probabilities (design weights) and to counter differential non-response by weighting to sample frame information (non-response weights). Procedures for both are described below.

5.1 Design weights

Sample design weights were required to equalise household selection probabilities. Differential selection probabilities arose in two main respects, i) a disproportional sampling design, which boosted certain benefit/tax credit subgroups; and ii) households which were listed on both the Department for Work and Pensions (DWP) and HM Revenue & Customs (HMRC) sample frames at the time of sampling could have been selected from either frame. Each of these is discussed below.

i) **Stratum design weights (to equalise probabilities from disproportional sampling of benefits/credits subgroups) (DStratWt)**

The selection probabilities were calculated for each issued sample unit, as the product of the probability of selection of the PSU (from which each unit was sampled – this was based on the size measure previously described) and the probability of selection of the units within that PSU (the number of cases of a particular benefit type selected divided by the number from which these cases were selected).

ii) **Frame overlap design weights – discussion**

Sampling from the DWP and HMRC frames was carried out independently (without de-duplication against one another). Hence a household in receipt of DWP benefits and HMRC tax credits simultaneously could have been sampled from both frames.

The DWP databases did not contain information about HMRC tax credits, hence tax credit recipients (either Working Tax Credit (WTC) or Child Tax Credit (CTC) could not be excluded, and overlap with HMRC tax credits was expected. The HMRC database did contain data indicating which households were also in receipt work-related DWP benefits Jobseeker's Allowance (JSA) and Income Support (IS). HMRC tax credit claimants also in receipt of JSA or IS were hence excluded from the HMRC sample frame prior to selection (in order to provide relatively more cases in receipt of tax credits and not DWP benefits). However, this was not possible for other DWP benefits and hence some overlap was to be expected.

As information about potential membership of the other frame was not provided with sample data, respondent reports have instead been used to indicate whether a household could have been sampled from both frames. Ipsos MORI have considered carefully the appropriateness of making additional adjustment for frame overlap and concluded that this should be done. See further discussion on this in Appendix A.

5.1.1 **Calculation of DWP overlap weights (deswt)**

Calculation of overlap weights was most straightforward for cases sampled from the DWP frame. It was assumed that all cases sampled from DWP's database were in receipt of DWP benefits when sampled (irrespective of current receipt). It was also assumed that respondents reporting HMRC tax credit receipt at the time of interview were in receipt of tax credits at the time of sampling (in reality it is likely that some began receipt after sampling but information on award start dates was

not collected). The probability of selection of cases sampled from DWP and in receipt of tax credits was calculated as their DWP PSU/benefits stratum probability (DStratWt) plus the average HMRC tax credit probability⁷. The design weight was calculated as the reciprocal of this combined probability.

5.1.2 Calculation of HMRC overlap weights (deswt)

For cases sampled from HMRC probabilities are more complicated to calculate for several reasons. Firstly HMRC removed some DWP cases, meaning it would not be appropriate for all to inherit a DWP selection probability. Secondly, DWP frame probabilities vary across benefits types, and hence the DWP probabilities which should be inherited by HMRC cases which overlap are less easily determined.

In order to understand the HMRC overlap we attempted to adjust the overlap portion of the sample taken from the DWP frame in the same way as had been done for cases sampled from HMRC. The expectation was that, if the adjustments were correct, the overlap samples should be similar irrespective of which frame they were sampled from.

Based on what we knew about the adjustments made by HMRC prior to sampling, two adjustments were required for the DWP overlap sample to match the HMRC sample:

- i) Removal of all cases which the HMRC would have been able to remove (i.e. IS and JSA cases, as per frame information); and
- ii) Removal of all cases in receipt of tax credits and IS or JSA, based on questionnaire data (rationale: in the HMRC sample we proposed to assume that any cases subsequently in receipt of IS or JSA had begun the award post-sampling).

These adjustments brought the benefits status combinations of both overlap samples, based on questionnaire data, within sampling tolerances of one another (see appendix for further details). We were hence confident that the DWP-sampled overlap could be used to estimate the composition of the HMRC overlap sample. It was necessary to do this to determine which DWP benefits stratum HMRC units could have been sampled from, so that probabilities could be assigned to them.

A typology of benefits combinations was derived (using questionnaire data) and the proportions of DWP sample frame benefits each comprised (using the DWP sample overlap) noted. Probabilities for the overlap part of the HMRC sample were calculated as the sum of the HMRC stratum design weight (DStratWt described above) and the weighted average of the DWP benefits design weights (DStratWt) based on the DWP sample proportions noted above. Table 5.1 below shows these proportions and probabilities.

Table 5.1 Calculation of weighted probabilities for the HMRC overlap units

<i>% which fall into each DWP benefits stratum (typology based on questionnaire data)</i>				
DWP benefits stratum (frame)	Average DWP stratum probability	Tax Credit and HB only	Tax Credit and not HB and one or more others	Tax Credit and HB and one or more others
ESA Support	0.003042	.3%	6.8%	1.9%
ESA Unknown	0.002603	.9%	1.1%	2.1%
ESA WRA	0.002656	.2%	18.9%	13.7%
HB	0.000407	81.2%	5.8%	19.4%
IB/SDA	0.000459	17.3%	67.5%	63.0%
Weighted probability		0.000450	0.00107	0.000844

⁷ The true probability is as described less the probability of being selected on both frames – but this can safely be ignored given how small it is.

The number of households to which the standard non-overlap stratum design weights were applied, and the numbers weighted for the overlap, are shown in the Table 5.2.

Table 5.2 Numbers of households and additional probabilities inherited

	<i>N</i>	%	Overlap p (to add to original stratum p)
No overlap adjustment required	2,592	60.1	N/A
Sample from DWP and in receipt of Tax Credit	1,410	32.7	0.000702
Sampled from HMRC and in receipt of HB only	225	5.2	0.000450
Sampled from HMRC and in receipt of benefits besides HB	56	1.3	0.00107
Sampled from HMRC and in receipt of HB and other benefits	32	.7	0.000844
Total	4,315	100.0	N/A

5.2 Non-response weights (NRwt)

The data were also weighted for non-response, using cell weighting to sample frame proportions. Age, sex and GOR/country were chosen as they correlated with both response rates and key survey variables. The weights were calculated using unweighted data. Non-response weights are often calculated based on design weighted data, however in this instance it was not possible to determine the overlap design weights of issued non-responders, hence instead non-response weights were calculated first and design weight calculations were based on non-response weighted data.

Additional weighting for non-responding partners was considered but the response rate at this level was high and differential non-response (by age, gender) minimal.

5.3 Final weights and design effect

The design weights (inverse of probabilities described above) were multiplied with the non-response weight and rescaled (final weight). Both individuals in households where two interviews were conducted inherited the household weight. Weights were rescaled to average 1.

The overall design effect from weighting the sample at the household level was 1.78. The design effect indicates the factor by which the overall sample size should be decreased in order to provide the same level of precision as a simple random sample (also called the effective base size). In other words the household level sample size, of 4,314, has the same level of precision, after weighting, as a simple random sample size of 2,424. An additional reduction in precision is likely from clustering (see further discussion in Appendix A.1).

5.4 Summary of weighting procedure

- 1 Cell based non-response weights (NRwt) calculated separately for HMRC and DWP frames; using unweighted data.
- 2 Calculate design weights for DWP sample ($DstratWt = 1/DWP$ stratum selection probability) and HMRC sample ($DstratWt = 1/HMRC$ selection probability); these will be used for the non-overlap portion of the sample (deswt).
- 3 Combine non-response weights with stratum design weights ($DstratWt$) by multiplying together ($DstratWt * NRwt$).
- 4 Construct typology of DWP benefit combinations, to approximate using questionnaire data; call this 'benefit combination typology'.
- 5 Remove cases (which the HMRC has removed from its frame prior to sampling) from the overlap. Apply $DstratWt * NRwt$ weights and look at DWP sampled cases who get both DWP and HMRC benefits; crosstabs (weighted) of sample stratum by benefit combination typology; record column %s.
- 6 Calculate design weights for overlap part of DWP sample ($deswt = 1/(DWP$ stratum selection probability + $HMRC$ selection probability)).
- 7 For overlap part of HMRC sample calculate mean step 6 weight for each cell in benefit combination typology; calculated as weighted mean using col %s calculated such that for each benefit combination typology cell mean wt is calculated as sum of step 5 col %s multiplied by relevant design wt for each DWP sample stratum (as calculated at step 2): treat these as design weights for corresponding benefit combination typology cells in the HMRC part of the sample.
- 8 This provides design weights (real or estimated) and non-response weights (step 1) for every sample member; final unscaled weight = $deswt * NRwt$.

6 Data and analysis

6.1 Coding

In agreement with Department for Work and Pensions (DWP), selected questions were coded to allow for more detailed analysis. All relevant questions were coded by the Ipsos MORI Coding Team using the Ascribe coding package. The ‘Other’ answers were back-coded or given new codes as required, depending on the total number of mentions. All code frames were sent to the Research Team for approval.

6.2 Key variables

6.2.1 SPSS datafile

The SPSS file contains data relevant to the interviewer screener, interview questions, discrete choice task, weighting, derived variables and additional sample information. The data file is accompanied by a data dictionary and the SPSS syntax for derived variables.

For ease of reference, explanation of several key variables can be found in the grid below.

Serial	A unique fieldwork number for every respondent
Eprog1x	The fieldwork number assigned to each household. Respondents from the same household will have the same ‘Eprog1x’ number
Claimant	This variable should be used to distinguish between Main Claimant, Partner and Proxy Interviews
DWP_UNIQUEID	DWP unique ID for data linking
HMRC_application_ins_id	HMRC application ID for data linking
datlin	Confirmation of whether or not the respondent agreed to have their survey responses linked to DWP/HMRC data
Wght_final_INDIVID_rscl	This is the standard weight for the project
Wght_final_MC_rscl	This weight should only be used when analysing Main Claimant only data
Dumjob1	This variable should be used to clarify whether respondents are currently out of work, working part-time, or working full-time This supersedes variable Job1 which does not account for the number of hours worked at Job14c

In line with best practice, ‘don’t know’ responses have been included as a valid response throughout the data, and receive a value of ‘-97’. This enables analysts to decide where ‘don’t know’ should be classified as an invalid response on a question by question basis. Missing values have been treated consistently across all variables: -96 ‘not asked’; -98 ‘refused’; and -99 ‘not stated’.

6.2.2 Computer tables

Weighted computer tables have been provided for every question after the screening process. In agreement with DWP, a series of crossbreaks have been set up to allow for easy analysis. Each crossbreak is presented as a derived variable in the SPSS. Some crossbreaks originate from DWP/HMRC sample information; however where others have been created from the questionnaire, detail of how they have been derived can be found in the syntax file.

6.3 Cluster analysis

A cluster analysis was performed to explore the extent to which claimants can be grouped by their attitudes.

The cluster analysis was performed on all main claimants who were either out of work or working part-time. Those working full-time or designated as Employment Support Allowance (ESA) support group members from the DWP sample were excluded from the cluster analysis.

The analysis clustered the target population into groups based on their attitudes and behaviour in relation to work and job-seeking.

6.3.1 Identification of cluster analysis input variables

The first stage of the analysis process was to identify and confirm the key questions to be used to drive apart and identify the segments. The question/variables were divided into two groups - inputs and subsequent segment profiling variables.

Cluster analysis inputs: variables such as specific attitudes which are used to drive the segments apart. Segments identified during the analysis will differentiate most clearly on these input variables. When the questionnaire was designed it was intended that the questions in Section 3 would be used for the cluster analysis. The attitudinal questions in Section 3 originated from a previous DWP study and cluster analysis. We reviewed these questions in discussion with DWP and ensured that each of the seven underlying dimensions of attitudes to work were covered.

These dimensions were developed by DWP and consisted of:

- perceived importance of work;
- norms;
- financial needs;
- response efficacy;
- attitudes to job-seeking behaviour;
- attitudes towards risk; and
- attitudes towards change.

In addition to these dimensions, we included one input variable that related to reported job-seeking behaviour to ensure that the segments were divided by a combination of their attitudes and behaviour towards work.

The questionnaire was reviewed and the choice of input variables was restricted to those asked of all people in our target audience, which meant that a number of attitudes in Section 3 – Attitudes to Work could not be used for the cluster analysis. Section 3 asked respondents who were out-of-work a slightly different set of questions to those in part-time work. However, to ensure that we maximised the potential number of questions available for the cluster analysis we reviewed the Section 3 questions to identify and include those questions that would have the same meaning for respondents, for example the out of work respondents were asked whether they agreed or disagreed with the statement:

- I would be a happier, more fulfilled, person if I was in paid work.

While the part-time work respondents were asked if they agreed or disagreed that;

- I would be a happier, more fulfilled, person if I was working full-time.

We concluded that these questions would have been answered in a similar way by both out-of-work and part-time work populations and that it was reasonable to combine the data for the populations here. We agreed the questions to be combined in discussions with DWP.

Cluster analysis profiling variables: any other information collected during the research that we can use to profile the segments (therefore creating a fuller picture of each). We expect clear differences between the segments on some (but probably not all) of these profiling variables, but these differences are likely to be less marked than for the input variables.

Variables allocated as profiling rather than input variables included perceived barriers to work (e.g. childcare/health), budgeting behaviour and technology confidence.

A long list of attitudinal statements was drawn up as potential inputs to the cluster analysis model; factor analysis was conducted on these attitudes to check if there was evidence of any strong associations (correlations) between them. We then met with DWP to discuss the output of this stage of the analysis and agreed that we should proceed to the next stage.

Based on the results of this analysis a shortened list of attitudes covering off all the underlying dimensions was used as input variables for the cluster analysis. The choice to use individual questions as inputs to the cluster analysis rather than factors was driven by the very low correlations between these attitudes, with only a handful (the three Q7 statements) having correlations above 0.42. In Table 6.1 we have highlighted the reduced set of attitudes from the long list that were used as inputs.

Table 6.1 Final cluster analysis input variables

Question number	Statement	Underlying factors influencing job seeking behaviours
Comb	Looking for job/longer working hours	Reported current job searching behaviour
Q2A	I would be a happier, more fulfilled, person if I was in paid work / working full time	Importance of paid work/full-time paid work
Q2B	It is important to me to earn my own money, rather than rely on benefits/other people	Norms (social norms to find work/increase hours)
Q2C	It would be difficult for me to accept paid work / increase my hours now, even if it was offered	Efficacy (self-efficacy – perceived ability)
Q2D	The thought of being in paid work/increasing my hours makes me nervous	Efficacy (self-efficacy – perceived ability)
Q3A	I respect people who try hard to get paid work/People who work full-time gain more respect	Norms (social norms to find work/increase hours)
Q4A	I have got used to not having paid work so I get by okay/ I don't need to work more hours because I get by okay on what I currently earn	Financial need (to find work/increase hours)
Q4B	Jobs on offer do not pay enough to make working (full-time) financially worthwhile	Financial need (to find work/increase hours)

Continued

Table 6.1 Continued

Question number	Statement	Underlying factors influencing job seeking behaviours
Q5C	There just aren't enough (full-time) vacancies for everyone at the moment	Efficacy (response efficacy – perception of external factors)
Q5F	I wouldn't be able to find someone to replace my role at home	Efficacy (response efficacy – perception of external factors)
Q5G	There isn't enough advice and support available to help me get paid work/increase my hours	Efficacy (response efficacy – perception of external factors)
Q6A	I have made a commitment to myself to find a job/full time work by a certain date	Intention to look for/increase hours of work
Q7A	I would try a job that may not be ideal for me/I would be more likely to work full-time if I didn't have to reapply for benefits if the job didn't work out	Perceived barriers to working/working full-time

6.3.2 Initial data checks

The second stage of the analysis was to clean the dataset and prepare the variables for clustering. In order to assign respondents to a cluster, missing values need to be imputed or the respondent removed from the analysis; therefore for each statement missing values were imputed into the middle category.⁸ The questionnaire was designed with this in mind, such that the mid-point on a seven point scale represented 'no opinion' as well as 'neither agree nor disagree' - those respondents for whom a statement was not applicable could therefore use this point on the scale rather than give no information.

The data was also examined for respondents who had not engaged in the questionnaire properly, who may have given unconsidered answers that were not reflective of their true feelings (i.e. responded in the same response category (e.g. strongly agree) to all attitudinal statements). To identify these respondents the standard deviation across all the attitudinal variables was computed for each respondent. We found that in total only nine respondents showed little or no variation in their responses (i.e. a standard deviation of less than 0.5). Further exploration of these respondents did show that they had quite differing behaviours and demographics which suggests that the views they gave to the attitudinal questions are probably reflective of their true feelings and so their responses were included in the analysis. It is worth noting that given the small number, the inclusion or exclusion of these respondents would not have much, if any, influence on the final solution.

Finally, prior to clustering the data was transformed onto the same scale for all statements, the attitudinal statements were left on a seven point scale and the job searching behaviour was re-coded onto a four point scale as described below⁹.

- 1 Looking for work, have applied for at least one job and attended an interview.
- 2 Looking for work, have applied for at least one job but not attended an interview.

⁸ Rather than exclude respondents from the sample of the segmentation because they had responded 'Don't know' or 'No opinion' to one of any of the relevant attitudinal questions, these responses were we assigned to the middle of the likert scale: 'neither/nor'. Given the relatively small number of instances, this approach ensures minimal impact on the creation of the cluster solutions. Alternatives to either respondents or placing such responses at the end of a likert scale would have had caused greater disruption to the analysis.

⁹ Looking for work is a combination of answers to dumjob1, search1 and search4a. Whether a respondent has applied for work is from search11 and whether they have attended an interview is from search12.

- 3 Looking for work, but have not applied for any jobs yet.
- 4 Not looking for work.

All input variables used in the clustering were assigned equal weighting in the analysis. It was recognised that any weighting applied would be arbitrary and subjective. The attribution of undue weight was avoided through the standardisation of the scale of the input variables (as described above) and by the selection of ‘exemplar’ statements where there were high correlations between the statements (e.g. Q7A as a proxy for Q7A, Q7B and Q7C) to represent several questions.

6.3.3 Cluster analysis

When segmenting respondents based on a number of different questions in a survey, there are two main approaches commonly taken by market research companies; agglomerative hierarchical and non-hierarchical (commonly K-means). More information on each technique can be found here (http://www.norusis.com/pdf/SPC_v13.pdf). In brief, there are pros and cons of both.

The major issue with the agglomerative hierarchical approach is that once a respondent is assigned to a cluster they cannot be unassigned, even if the cluster takes on very different characteristics as it grows. Two major issues with the K-means are 1) you need to pre-define the number of clusters and 2) the final cluster solution can be dependent on the original starting cluster centres you use. Therefore, to avoid the issues inherent with both techniques we used the hierarchical approach to help us identify the optimal number of clusters and then the K-means approach to identify the final cluster solution that minimises the within cluster differences between individuals and maximises the between cluster differences by targeting the reduction in the Euclidean Sum of Squares (ESS).

Three criteria (CCC, PSF and PST2)¹⁰ were used to identify the ‘optimal’ number of segments in the hierarchical approach; however the results were inconclusive in the choice of a solution within the four to eight cluster range. Analysis of the criteria ruled out a cluster solution above eight on the grounds that the increased level of granularity was limited above an eight cluster solution. It was also felt that there would be a loss in accuracy when replicating the segments if we had more than eight, as many would be fairly similar, perhaps only discriminating from one another on one or two input variables. To choose between the four to eight cluster solutions we tested how robust they were. A K-means clustering approach was used to avoid the issue inherent with a hierarchical approach as discussed earlier on. When running the K-means clustering five random initial cluster centres for each solution were used to avoid the issue of the choice of initial cluster centre, which is an inherent problem of K-mean clustering. The most robust solution would be the one where respondents are classified into the same clusters irrespective of the initial cluster centres. The level of consensus in the classification of respondents to the same cluster across the five random initial cluster centres for each solution is given in Table 6.2. As we can see the five and six cluster solutions show the most amount of stability across the five random starting strategies.

¹⁰ The Cubic Clustering Criterion (CCC), pseudo F (PSF), and t2 (PST2) statistics can all be used to identify the optimal number of segments.

Table 6.2 Random initial cluster centres for each solution

Number of clusters	Overall level of consistency across the five random starting strategies %
4 clusters	70
5 clusters	80
6 clusters	82
7 clusters	65
8 clusters	73

Upon closer examination (along with DWP) of the five and six cluster solution across the input variables used to define the segments and a number of key profiling variables the six cluster solution was chosen as the final preferred option.

6.4 Discrete choice

The survey included a discrete choice or trade-off exercise to measure the relative importance of different factors influencing people's decisions to work more hours or at all. By presenting people with a series of choices, this approach sought to simulate the decision-making process that individuals undergo in real-life situations, thereby producing a more accurate assessment of the relative importance of different factors compared with reported stated preferences. As noted above, the discrete choice task was only completed by main claimants.

6.4.1 Discrete choice design

Each respondent was presented with eight Choice Tasks – see below for an explanation on the derivation of the optimum number of Choice Tasks. An example Choice Task is presented in Table 6.3. Each task contained four options: Job A, Job B, Job C and No Job and the respondent was required to choose a preferred option for each Choice Task.

Each option contains five attributes:

- the number of hours the respondent would spend working;
- the number of hours the respondent would spend looking for work;
- how often the respondent would be required to attend an interview with Jobcentre staff;
- the type of job the respondent would be doing; and
- the amount the respondent would be financially better-off or worse-off.

Table 6.3 Example of scenario options presented to respondents

	Job A	Job B	Job C	No job
Work	36 hours per week	36 hours per week	16 hours per week	None
Jobseeking requirement	None	None	16 hours per week	30 hours per week
Frequency of Jobcentre interviews	None	None	Every three months	Every fortnight
Type of job taken	Job that you don't really want to do	Job that you don't mind doing for a while	Job that you don't really want to do	(No job taken)
Amount better-off per week	£119	£109	£23	£0
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

As mentioned, each respondent was given eight Choice Tasks to complete. Whilst the attributes remained consistent across the different Choice Tasks, the levels of the attributes shown to respondents varied. Table 6.4 presents the possible levels for each attribute.

Table 6.4 Attributes and the categories/levels within each presented in the conjoint analysis screens

Attribute	Level	Rate of pay (associated with amount better-off)
Work	8 hours per week	
	16 hours per week	
	24 hours per week	
	36 hours per week	
Jobseeking requirement	24 hours per week	
	16 hours per week	
	8 hours per week	
	None	
Frequency of Jobcentre interviews	Every fortnight	
	Every three months	
	Every six months	
	None	
Type of job taken	Happy doing this job	
	Don't mind doing this job for a while	
	Don't really want to do this job	
Amount better-off per week (assuming working 8 hours)	£15	£6.00 p/h
	£18	£7.04 p/h
	£21	£8.08 p/h
	£24	£9.12 p/h
	£27	£10.16 p/h
Amount better-off per week (assuming working 16 hours)	£30	£11.20 p/h
	£35	£6.00 p/h
	£39	£7.04 p/h
	£43	£8.08 p/h
	£47	£9.12 p/h
Amount better-off per week (assuming working 24 hours)	£51	£10.16 p/h
	£55	£11.20 p/h
	£50	£6.00 p/h
	£56	£7.04 p/h
	£62	£8.08 p/h
Amount better-off per week (assuming working 36 hours)	£68	£9.12 p/h
	£74	£10.16 p/h
	£80	£11.20 p/h
	£65	£6.00 p/h
	£83	£7.04 p/h
Amount better-off per week (assuming working 36 hours)	£101	£8.08 p/h
	£119	£9.12 p/h
	£137	£10.16 p/h
	£155	£11.20 p/h

For each Choice Task, the respondent was asked to consider which Job Option they might select if they were seeking work, and assuming that all their other personal circumstances were the same, thus allowing those in-work and out-of-work to participate¹¹. Respondents were given the Showcard 6.1 information instructions:

Figure 6.1 Discrete choice task showcard

Choice task showcard	
Works	<ul style="list-style-type: none"> The number of hours you would work per week
Job seeking requirement	<ul style="list-style-type: none"> Hours spent looking for work to get the benefit These hours would be in addition to hours of paid work Proof of this job seeking would be needed for Jobcentre interviews
Frequency of Jobcentre interviews	<ul style="list-style-type: none"> How often you would need to attend the Jobcentre for an interview to get the benefit payment
Type of job taken	<ul style="list-style-type: none"> A job you are happy doing; or A job you don't mind doing for a while; or A job you really don't want to do
Amount better off per week	<ul style="list-style-type: none"> The additional money your household would get from wages and benefits under the new system compared with being unemployed It is income that you would have left over after major expenses such as rent/mortgage and childcare are paid for

When making their decision between the job options, respondents currently employed were asked:

- Please consider the issues you would face if you had to make a choice over these work opportunities if you were not working and imagine that these opportunities are being offered to you. Have a look at the card and tell me which of the opportunities, if any, you would do if they were offered to you if you were not currently working.

And respondents who were unemployed were asked:

- Please think about your current employment, financial and personal situation and imagine that these job opportunities are being offered to you. In a moment, have a look at the screen and tell me which of the opportunities, if any, you would do if they were offered to you in real life.

Our interviewers then explained to all respondents:

- While the three jobs may appear similar, the features for each are slightly different so please read them carefully before you decide. Although the choices may not present a perfect job option for you, please think carefully about whether you might pick any of them. If you definitely wouldn't do any of them, you can choose 'Continue job search'. But if you pick this option, you will need to spend 30 hours a week actively seeking work, and meet with an advisor at a Jobcentre on a fortnightly basis. These criteria will need to be met before your benefits can be paid to you, and you will be no better off financially compared to now.

We started with the premise that the total number of hours worked plus the total number of hours spent looking for work should sum to 32 hours. Similarly, they would be required to attend more

¹¹ Only main claimant respondents completed the discrete choice exercise. Those in the ESA Support group and partners were screened out.

frequent Jobcentre Plus interviews the fewer hours they work. The first three columns in Table 6.5 below show the ‘default’ position. For example, someone working eight hours per week would be required to spend 24 hours searching for work and attend a Jobcentre Plus interview every fortnight; someone working 16 hours per week would be required to spend 16 hours searching for work and attend a Jobcentre Plus interview every three months, and so on.

Table 6.5 Links between the hours worked and the resulting job-seeking and Jobcentre interview frequency requirements

	(Default) Worked hours	(Default) hours Jobseeking	(Default) interview frequency	Jobseeking Adjustment			Interview Adjustment		
				Down 2 levels	Down 1 level	Default	Down 2 levels	Down 1 level	Default
	8	24	Every fortnight	8 hours per week	16 hours per week	24 hours per week	Every 6 months	Every 3 months	Every fortnight
Work, job seeking and Interview package	16	16	Every 3 months	None	8 hours per week	16 hours per week	None	Every 6 months	Every 3 months
	24	8	Every 6 months	N/A	None	8 hours per week	N/A	None	Every 6 months
	36	None	none	N/A	N/A	None	N/A	N/A	None

However, we also built in the option for doing less job-seeking and/or less frequent Jobcentre Plus interviews than the default position **for less income** (i.e. a reduction in the amount they’d be ‘better-off’).

For example, someone working eight hours per week could choose to do 16 hours of job-seeking instead of the default 24 hours (this is presented as ‘down 1 level’ in Table 6.5) but they would be £10 per week less better-off. They could also choose to do just eight hours of job-seeking per week (this is presented as ‘down 2 levels’ in Table 6.5) but they would be £20 per week less better-off.

A similar ‘penalty’ was employed for those choosing less frequent Jobcentre Plus interviews than the ‘default’. For example, the default for someone working eight hours is Jobcentre Plus interviews every fortnight. They could choose every three months instead but this would attract a £10 deduction from the ‘better-off’ amount; choosing every six months would attract a £20 deduction from the ‘better-off’ amount.

The ‘better-off’ attribute is calculated primarily as a function of the underlying variable ‘rate of pay’. Using financial information provided by DWP we set up six rates of pay with £5.93 (rounded to £6.00 for convenience) as the lowest figure, national average wage (£11.20) as the highest figure and four equally-spaced rates within this range.¹²

A limit was set on the number of attributes to be included in order that the task was kept as simple as possible. It was important that respondents could quickly and easily weigh up the options and

¹² For reference, the rates of national wage as of 1st October 2011 are:
£6.08 - the main rate for workers aged 21 and over.
£4.98 - the 18-20 rate.
£3.68 - the 16-17 rate for workers above school leaving age but under 18.
£2.60 - the apprentice rate, for apprentices under 19 or 19 or over and in the first year of their apprenticeship.

make a judgement in order to give a meaningful response for each task. If too complex they would be likely to focus on just one of the attributes rather than weighing up one combination against another, or to pick options randomly in order to proceed quickly onto the next task.

6.4.2 Design

The experimental design (or set of choice tasks) was determined using the statistical analysis software package SAS (specifically, a series of macros written by Warren Kuhfeld of the SAS Institute) to determine the optimum design. This involved the following steps:

- 1 Putting the attributes together into work packages using all the different combinations of the categories and levels of the attributes. The key criteria is ensuring that the design is balanced: all levels/categories of each attribute have to appear with equal frequency in order to avoid over-representation of any one attribute or category over the others.
- 2 Putting packages together into tasks using all the different combinations of the packages generated. The key criteria is ensuring that the design is orthogonal: packages must be combined so that the effects of each attribute can be measured independently of each other. All packages must be shown against each other package an equal number of times.
- 3 Putting the tasks together into blocks¹³ so that all the tasks are covered equally across all respondents.

These three aspects of the design are inter-dependent on the number of attributes, the number of levels or categories within each attribute, the number of packages per task, the number of tasks per respondent and the number of respondents.

There were 96 choice tasks (i.e. 96 unique bitmap images) in total. It was determined that respondents should complete no more than eight tasks each. As such the 96 tasks were divided into twelve blocks of eight. Taking this into field the blocks were systematically assigned to respondents by rotation¹⁴ to ensure each block was presented with equal frequency.

6.4.3 Outputs

The data were analysed using Sawtooth CBC/HB¹⁵ software. This software allows for the computation of individual level utility scores through the use of Hierarchical Bayes Estimation.

The analysis provides an assessment of the relative importance of the different attributes (i.e. the importance of work hours relative to type of job) as well as the value of each 'level' within each attribute (i.e. the value that respondents attach to working 36 hours a week a week versus 24 hours a week versus accepting a job that they 'didn't really want to do'). Results are analysed by various demographic sub-groups, as well as by segment.

¹³ It would not be possible to present every task to each respondent since there are too many for one person to complete. Instead, the tasks are partitioned into a number of 'blocks'. The partitioning is mathematically generated to ensure balance across the blocks.

¹⁴ Each interviewer worked through the blocks of tasks in sequence with each successive respondent being presented with the next block in the sequence. However, in order to ensure all the blocks were shown with equal frequency the interviewers had different starting points, so for example Interviewer A would show their first respondent Block 1, second respondent Block 2 etc whereas Interviewer B would show their first respondent Block 2, second respondent Block 3 etc. Similarly to avoid order effects, the order in which the tasks within a block were presented was also rotated.

¹⁵ CBC/HB stands for Choice Based Conjoint/Hierarchical Bayes, however, Sawtooth CBC/HB is the name of the software package.

An interactive simulator tool was also produced based on the discrete choice utility values. This simulator allows the comparison of respondent preferences between hypothesised “work packages” – defined by the attributes and levels – and estimates the proportion of respondents likely to work in if this package were available. The simulator uses each individual’s utilities to predict their response to any possible work combination. Adding all responses together allows us to forecast the behaviour of groups’ attitudes towards specific work packages. The simulator can also look at sub-groups of the respondents separately.

Appendix A

Additional weighting information

A.1 Consideration of whether the overlap should be weighted

The following table shows the extent of overlap, in terms of the benefits/credits the main respondent or their partner was in receipt of (figures are weighted for disproportional benefit/credits selection –DStratWt). Households' current benefit status is based on answers provided to screener questions by the first person to be interviewed in each household. Households not currently in receipt of benefits/credits eligible for the survey were asked whether they had been in receipt of any of these benefits within the last six months, and if they had been, were included in the survey. In addition to the 4.4 per cent not currently in receipt of any eligible benefits/credits, a small number (<1 per cent overall) of those screened said they had never been in receipt of any eligible benefits/credits and were excluded from the survey altogether.

Table A.1 Frame and questionnaire benefits (data weighted by DStratWt)

Respondent (household level) reported receipt:	DWP benefits (frame) %	HMRC tax credits (frame) %	Total (both frames) %
No longer in receipt of any benefits/tax credits (but were in last six months)	5.8	2.3	4.4
DWP benefits only	56.2	2.0	34.5
HMRC tax credits only	5.7	66.8	30.1
Both DWP and HMRC	32.4	29.0	31.0

Overlap was fairly high for both frames and more so for those drawn from Department for Work and Pensions (DWP) (38 per cent were claiming HMRC benefits at the time of interview) than HM Revenue & Customs (HMRC) frame respondents (31 per cent were claiming DWP benefits).

We would expect that some claimants apparently in receipt of the other type of benefit had only recently started their claims, meaning that at the time of sampling they could not have been drawn from both frames, but had no start date of claim information from respondents on which to determine this. We were hence reliant on using respondents' current receipt reports to determine frame membership at the time of sampling.

Under the assumption that frame information, with respect to benefits/credits receipt, was correct at the time of sampling, then the natural 'off-flow' of the benefits/credits population is 11.5 per cent for DWP and 4.3 per cent for HMRC (summing those no longer in receipt at all/of the applicable benefit/credits group). If the total claimant populations remain constant then similar proportions should have started a claim since sampling.

This gives an indication that the size of the overlap is substantially larger than we would expect to occur through natural flow onto the different benefits/credits, leading us to conclude that we should compensate for the possibility of selection from multiple frames.

A.2 Estimating the composition of the overlap sample

As described in the technical report the DWP and HMRC overlap samples were adjusted to mimic the adjustments made by HMRC prior to sampling. To recap these were:

- i) Removal of all cases which the HMRC would have been able to remove (i.e. IS and JSA cases, as per frame information); and
- ii) Removal of all cases in receipt of tax credits and Income Support (IS) or Jobseeker's Allowance (JSA), based on questionnaire data (rationale: in the HMRC sample we proposed to assume that any cases subsequently in receipt of IS or JSA had begun the award post-sampling).

Following these adjustments and with application of weights calculated up to this stage (stratum design weights, DStratWt, and non-response weights, NRwt) the samples should be similar. As shown in the following tables this was the case.

Table A.2 Overlap sample composition prior to adjustments (weighted by DstratWt*NRwt)

Benefits/credits combination (questionnaire)	Sample frame drawn from	
	DWP	HMRC
Tax Credit and HB only	10.7%	54.4%
Tax Credit and IS only	11.5%	2.1%
Tax Credit and IB/SDA only	1.7%	10.7%
Tax Credit and ESA only	1.9%	4.0%
Tax Credit and JSA only	2.6%	6.7%
Tax Credit and HB and IS only	51.4%	5.5%
Tax Credit and HB and one or more others (except IS)	19.4%	16.2%
Tax Credit and not HB and two or more others	.7%	.3%
<i>Base sizes (unweighted)</i>	1,270	327

Table A.3 Overlap sample composition after adjustment (weighted by DstratWt*NRwt)

Benefits/credits combination (questionnaire)	Sample frame drawn from	
	DWP	HMRC
Tax Credit and HB only	71.0%	74.3%
Tax Credit and IB/SDA only	7.5%	11.9%
Tax Credit and ESA only	2.0%	4.1%
Tax Credit and HB and one or more of the other two	19.3%	9.8%
<i>Base sizes (unweighted)</i>	222	298

This provided evidence that the DWP overlap (i.e. cases sampled from DWP and now in receipt of tax credits according to respondents) could be used to represent the HMRC portion of the overlap, once the adjustments (described above) to mimic HMRC sampling procedures had been made. This was hence used to determine which DWP frame probabilities to assign to the HMRC overlap groups.

The overlap combinations were rationalised (from those described above when sense checking the overlap sample) for weighting by combining small cells. Overlap with HB accounted for most of the overlap. HB also had the smallest selection probability of the DWP benefits strata, and it hence made sense to differentiate it from the other groupings. The following benefit typologies were derived.

Table A.4 Overlap sample composition after adjustment, rationalised (weighted by DstratWt*NRwt)

Benefits/credits combination (questionnaire)	Sample frame drawn from	
	DWP	HMRC
Tax Credit and HB only	71.0%	74.3%
Tax Credit and not HB and one or more others	9.6%	16.0%
Tax Credit and HB and one or more others	19.3%	9.8%
<i>Base sizes (unweighted)</i>	222	298

These groupings were then used to determine how the probabilities fell out across the DWP sample frame (based on the overlap sample). These could then be taken to represent the distribution as it would occur in the HMRC frame (where we did not know which DWP frame strata cases belonged to). The figures showed that, with the exception to some extent of the Tax Credit and HB only combination (where most cases came from the DWP = HB stratum), units had been sampled from several frame strata. Hence, as the next step we calculated a weighted probability based on the distribution of the groups across the DWP strata (as shown in Table A.5).

Table A.5 Composition of DWP overlap sample (weighted by DstratWt*NRwt, n=222)

DWP sample stratum	Overlap benefit typologies (excluding IS and JSA; combinations based on questionnaire data)		
	Tax Credit and HB only	Tax Credit and not HB and one or more others	Tax Credit and HB and one or more others
	%	%	%
ESA support	.3	6.8	1.9
ESA unknown	.9	1.1	2.1
ESA WRA	.2	18.9	13.7
HB	81.2	5.8	19.4
IB/SDA	17.3	67.5	63.0
Total	100.0	100.0	100.0

Overlap probabilities were then applied to the following cases:

- DWP – any unit which was in receipt of Tax Credit (based on questionnaire data), irrespective of whether still in receipt of DWP benefits, inherited the Tax Credit probability (the probability of the stratum from which it was sampled summed with the Tax Credit probability).
- HMRC – any unit which was in receipt of HB, ESA or IB/SDA (based on questionnaire data) inherited the weighted average probability based on the typology it fell into, also irrespective of whether still in receipt of Tax Credit.

A.3 Standard errors and significance

The Universal Credit survey used a clustered, stratified two-stage sample design. In addition, weights were applied to obtain survey estimates. The effect of this is that standard errors for survey estimates are larger than the standard errors that would be obtained from an unweighted simple random sample of the same size. The ratio of the standard error of the sample to that of a simple random sample of the same size is the design factor (deft). In other words, the design factor is the factor by which the standard error of an estimate from a simple random sample has to be multiplied to give the true standard error of this survey design.

We have highlighted in Section 5 (Weighting) that the design effect of the sample, after weighting, is 1.78. This translates into a design factor of 1.33 (design effect = design factor squared). Further increases would most likely derive from the impact of clustering on the standard errors of the survey. However with a mean cluster size of 9.3 interviews (per PSU) the impact of clustering will be relatively modest (many surveys use larger clusters of around 20). The design effect from clustering is given by the formula $Deft^2 = 1 + roh*(b-1)$, where b is the mean cluster size and roh the intra-class correlation coefficient, a measure of within-cluster respondent homogeneity. Roh varies from variable to variable, tends to be higher for attitudinal variables, and is often in the range 0.02 to 0.05 (although on some variables such as tenure can be as high as 0.3). The following table shows what the design effects and factors would be under different scenarios of roh , based on the full sample. We note that the final scenario, of a roh of 0.3, is an extreme case rarely seen on behavioural/attitudinal survey variables.

Table A.6 Design effects and design factors from clustering and clustering and weighting combined

Roh	Deft² (design effect) from clustering	Overall Universal Credit Deft² (weighting and clustering)	Deft (design factor) from clustering	Overall Universal Credit Deft (weighting and clustering)
0.02	1.17	2.08	1.08	1.44
0.05	1.42	2.52	1.19	1.59
0.3	3.49	6.21	1.87	2.49

The impact on standard errors would be smaller when conducting sub-group analysis based on sub-groups spread across the survey sample (i.e. other than region). For example if analysing a sub-sample of men or women, the mean cluster size would be approximately halved, and loss of precision limited accordingly.

We note that a small decrease in standard errors would also be due from the positive impact of stratification. This is typically modest.

Appendix B

Questionnaire

Survey of Benefits and Tax Credits 2011

Final Questionnaire

27 June 2011

Questionnaire sources

- BAWS – Beliefs About Work Survey
- BSAS – British Social Attitudes Survey
- ESS – European Social Survey Round 5
- FACS – Families and Children’s Survey (wave 10)
- FRS – Family Resources Survey
- LFS – Labour Force Survey
- TCCC – HMRC Tax Credits and Child Benefits Study (wave 3)

Confidentiality statement

INTERVIEWERS ARE REMINDED THAT THEY MUST CONDUCT ALL INTERVIEWS IN ACCORDANCE WITH THE REQUIREMENTS OF THE MARKET RESEARCH SOCIETY CODE OF CONDUCT, AND THAT ALL PERSONAL DATA MUST BE COLLECTED AND PROCESSED IN COMPLIANCE WITH THE REQUIREMENTS OF THE DATA PROTECTION ACT 1998

READ OUT TO EVERYONE:

All your answers will be treated in strict confidence unless you give us permission to do otherwise at the end of the interview.

INTERVIEWER NOTE: At the end of the interview, we will ask respondents for their permission for DWP to link their survey responses with administrative data on DWP and HMRC databases in order to conduct additional research analysis. This is completely voluntary and respondents can refuse if they want to. If they refuse permission, the survey responses will be kept completely confidential. We will provide more information at the end of the interview for them to decide.

1 Screening household eligibility and identification of main respondent
--

SAM (FROM SAMPLE)

- 1 SINGLE PERSON - DWP
- 2 COUPLE – DWP
- 3 SINGLE PERSON – HMRC
- 4 COUPLE – HMRC

ESA SUPPORT GROUP (FROM SAMPLE)

- 1 Yes
- 2 No

ENTER HOUSEHOLD REFERENCE NUMBER

THIS INTERVIEW IS BEING CONDUCTED AT [ADDRESS FROM SAMPLE]

INTERVIEWER: THE ADDRESS SHOULD MATCH THE HOUSEHOLD CONTACT SHEET. IF YOU HAVE CORRECTIONS CLICK CONFIRM AND UPDATE THE ADDRESS AT THE END OF THE INTERVIEW

- 1 Confirm – proceed
- 2 Go back and re-enter household reference number

S3. INTERVIEWER: CONFIRM NAME OF PERSON BEING INTERVIEWED

- 1 Name 1
- 2 Name 2

I'd like to ask you some questions to help me work out which questions are relevant to your household.

ASK ALL

SHOWCARD S1

S1A. Which of these describe your living situation with other adults? Please read out the letters that apply on card S1. PROMPT IF NECESSARY Please only include people who usually live here. INCLUDE PEOPLE WHO NORMALLY LIVE AT ADDRESS BUT ARE AWAY AS LONG AS AWAY FOR LESS THAN SIX MONTHS

MULTICODE FOR CODES 2 TO 6

- 1 A Not living with other adults
- 2 B Living with partner
- 3 C Living with spouse (husband/wife)
- 4 D Living with parents
- 5 E Living with friends
- 6 F Living with other adults

DK/REF NOT PERMISSABLE

ASK IF S1A=2 OR 3

S1B. May I take the name of your partner/spouse?

INTERVIEWER IF REFUSE PROBE FOR INITIALS

WRITE IN

REFUSED – [DP TO REFER TO AS ‘PARTNER/SPOUSE’ IN TEXT SUBS WHICH FOLLOW]

ASK ALL

SHOWCARD S2

S3A. Which, if any, of these benefits or tax credits are you currently claiming in your own name? Please don't include benefits or tax credits that someone else is claiming for you. Just read out the letters that apply on card S2.

CODE ALL THAT APPLY (SC ONLY FOR NONE OF THESE)

1. A Jobseeker's Allowance (JSA)
2. B Working Tax Credits
3. C Incapacity Benefit (IB)
4. D Employment and Support Allowance (ESA)
5. E Income Support (IS)
6. F Severe Disablement Allowance (SDA)
7. G Child Tax Credits
8. H Housing Benefit
9. I Council Tax
10. J Carers' Allowance
11. K Disability Living Allowance
12. None of these

ASK IF S3A≠1,2,3,4,5,6,7 OR 8

SHOWCARD S2

S3B. Were you claiming any of these in your own name at any time in the last 6 months?

IF YES Which ones? Please read out the letters that apply on card S2.

CODE ALL THAT APPLY (SC ONLY FOR NONE OF THESE)

1. A Jobseeker's Allowance (JSA)
2. B Working Tax Credits
3. C Incapacity Benefit (IB)
4. D Employment and Support Allowance (ESA)
5. E Income Support (IS)
6. F Severe Disablement Allowance (SDA)
7. G Child Tax Credits
8. H Housing Benefit
9. I Council Tax
10. J Carers' Allowance
11. K Disability Living Allowance
12. None of these

IF (S1A ≠ 2 OR 3) AND (S3A≠1 TO 8) AND (S3B ≠1 TO 8). CLOSE INTERVIEW.

IF (S1A ≠ 2 OR 3) AND (S3A=1 TO 8 OR S3B=1 TO 8). CONDUCT SINGLE HOUSEHOLD INTERVIEW.

FINAL SAMPLE TYPE: SINGLE – SOLE INTERVIEW WITH <S31>

.....

SCREENING COUPLE HOUSEHOLDS

ASK IF S1A=2 OR 3

SHOWCARD S2

S4A. Which, if any, of these benefits or tax credits does your <S1A=2: partner><S1A = 3: spouse> claim in their name? Please do not include benefits or tax credits that you are claiming for them. Just read out the letters that apply.

CODE ALL THAT APPLY (SC ONLY FOR NONE OF THESE)

1. A Jobseeker’s Allowance (JSA)
2. B Working Tax Credits
3. C Incapacity Benefit (IB)
4. D Employment and Support Allowance (ESA)
5. E Income Support (IS)
6. F Severe Disablement Allowance (SDA)
7. G Child Tax Credits
8. H Housing Benefit
9. I Council Tax
10. J Carers’ Allowance
11. K Disability Living Allowance
12. None of these

DP: ALLOW DK – IF SELECTED TREAT THE SAME AS NONE OF THESE FOR ROUTING BELOW

ASK IF S4A≠1,2,3,4,5,6,7 OR 8

S4B. Was your <S1A=2: partner><S1B = 3: spouse> claiming any of these at any time in the last six months?

IF YES Which ones? Please read out the letters that apply.

CODE ALL THAT APPLY (SC ONLY FOR NONE OF THESE)

1. A Jobseeker’s Allowance (JSA)
2. B Working Tax Credits
3. C Incapacity Benefit (IB)
4. D Employment and Support Allowance (ESA)
5. E Income Support (IS)
6. F Severe Disablement Allowance (SDA)
7. G Child Tax Credits
8. H Housing Benefit
9. I Council Tax
10. J Carers’ Allowance
11. K Disability Living Allowance
12. None of these

IF (S1A =2 OR 3) AND (S3A≠1 TO 8) AND (S3B ≠1 TO 8) AND (S4A≠1 TO 8) AND (S4B ≠1 TO 8). CLOSE INTERVIEW. FINAL SAMPLE TYPE: COUPLE – NOT ELIGIBLE.

OTHERS FOLLOW THIS PRIORITY ORDER FOR COUPLES. CURRENT CLAIM > PRIORITY LAPSED CLAIM.

PRIORITY ORDER FOR SELECTION OF MAIN INTERVIEW:

1. CURRENT CLAIM IS JSA (S3A OR S4A = 1). IF S3A =1 AND S4A=1, MAIN RESPONDENT IS THE ONE BEING SCREENED
2. CURRENT CLAIM IS WTC (S3A = 2 OR S4A = 2). IF S3A=2 AND S4A=2, ASK S5A
3. CURRENT CLAIM IS IB OR ESA OR IS OR SDA (S3A =3,4,5 OR 6) OR (S4A = 3, 4, 5 OR 6). IF BOTH S3A=3-6 AND S4A=3-6, MAIN RESPONDENT IS THE ONE BEING SCREENED
4. CURRENT CLAIM IS HB (S3A =8 OR S4A=8). IF (S3A =8 AND S4A =8), ASK S5A
5. CURRENT CLAIM IS CTC (S3A =7 OR S4A=7). IF (S3A =7 AND S4A =7), ASK S5A

ASK IF (S3A=2 AND S4A=2) OR (S3A =7 AND S4A =7) OR (S3A=8 AND S4A=8)

S5A. You mentioned that both you and your partner/spouse claim(ed) <insert: Working Tax Credit (S3A=2 AND S4A=2)/Housing Benefit (S3A = 8 AND S4A = 8)/Child Tax Credit (S3A =7 AND S4A =7)>. Who is the main claimant – that is the person who made the application and/or has the most dealing with the claim? SINGLECODE ONLY

IF RESPONDENT IS REALLY UNSURE, CODE 'RESPONDENT'

1. Respondent
2. Partner/spouse

IF NEITHER PEOPLE HAVE A CURRENT CLAIM (S3A≠1 TO 8 AND S4A≠1 TO 8) THEN SAME PRIORITY ORDER APPLIES FOR LAPSED CLAIM.

6. CURRENT CLAIM IS JSA (S3B OR S4B = 1). IF S3B =1 AND S4B=1, MAIN RESPONDENT IS THE ONE BEING SCREENED
7. CURRENT CLAIM IS WTC (S3B = 2 OR S4B = 2). IF S3B=2 AND S4B=2, ASK S5B
8. CURRENT CLAIM IS IB OR ESA OR IS OR SDA (S3B =3,4,5 OR 6) OR (S4B = 3, 4, 5 OR 6). IF BOTH S3B=3-6 AND S4B=3-6, MAIN RESPONDENT IS THE ONE BEING SCREENED
9. CURRENT CLAIM IS HB (S3B =8 OR S4B=8). IF (S3B =8 AND S4B =8), ASK S5B
10. CURRENT CLAIM IS CTC (S3B =7 OR S4B=7). IF (S3B =7 AND S4B =7), ASK S5B

ASK IF (S3B=2 AND S4B=2) OR (S3B =7 AND S4B =7) OR (S3B=8 AND S4B=8)

S5B. You mentioned that both you and your partner/spouse claim(ed) <insert: Working Tax Credit (S3B=2 AND S4B=2)/Housing Benefit (S3B = 8 AND S4B = 8)/Child Tax Credit (S3B =7 AND S4B =7)>. Who is the main claimant – that is the person who made the application and/or has the most dealing with the claim? SINGLECODE ONLY

IF RESPONDENT IS REALLY UNSURE, CODE 'RESPONDENT'

3. Respondent
4. Partner/spouse

ASK IF CURRENTLY RECEIVING WORKING TAX CREDITS, S3A=2 OR S4A=2

WTC-CHILDCARE

SC9 (FACS)

<Do you (IF S3A=2)/Does your partner/spouse (IF S4A=2)/Do you and your partner/spouse (IF S3A=2 AND S4A=2) receive extra money as part of <your/his/her/your> Working Tax Credit payments to cover the costs of childcare, this is called the Child care element on <your/his/her /your tax credit award notice?

INTERVIEWER: PAGE 3 OF TAX CREDIT AWARD WILL SHOW IF PARENTS ARE IN RECEIPT OF THE CHILDCARE ELEMENT

- 1 Yes
- 2 No
- 3 Not sure

FINAL SAMPLE: DP TO DERIVE
SINGLE – SOLE INTERVIEW WITH XX
COUPLE - MAIN INTERVIEW IS WITH XX
COUPLE - PARTNER INTERVIEW IS WITH XX
SINGLE HOUSEHOLD – NOT ELIGIBLE
COUPLE HOUSEHOLD – NOT ELIGIBLE

INT TODAY

INTERVIEWER CODE WHO IS BEING INTERVIEWED TODAY AND PROCEED TO SCRIPT (PRIORITISE INTERVIEW WITH MAIN RESPONDENT FIRST WHEREVER POSSIBLE)

1. SINGLE – SOLE INTERVIEW WITH XX. YOU MUST INTERVIEW THIS PERSON
2. COUPLE - MAIN INTERVIEW IS WITH XX. YOU MUST INTERVIEW THIS PERSON
3. COUPLE - PARTNER INTERVIEW IS WITH XX. PROXY INTERVIEW **MAY** BE ALLOWED WITH XX [DP: MAIN RESPONDENT].

IF INT TODAY = CODE 3

PROXY1

Is this interview in person or by proxy?

YOU MUST HAVE MADE AT LEAST 2 PREVIOUS VISITS TO THIS ADDRESS BEFORE ACCEPTING A PROXY INTERVIEW (IE. ON YOUR THIRD VISIT). YOU MAY ONLY CONDUCT A PROXY INTERVIEW EARLIER THAN YOUR THIRD VISIT IF THE PARTNER/SPOUSE IS AWAY OR ILL/NOT CAPABLE FOR THE WHOLE FIELDWORK PERIOD OR HAS PERSONALLY REFUSED TO TAKE PART.

1. In person
2. By proxy

ASK IF PROXY1=2

PROXY2

CODE THE REASON FOR DOING A PROXY INTERVIEW

1. <INSERT NAME OF PARTNER/SPOUSE> IS AWAY
2. <INSERT NAME OF PARTNER/SPOUSE> HAS REFUSED TO TAKE PART
3. <INSERT NAME OF FIRST RESPONDENT> HAS REFUSED ACCESS TO <INSERT NAME OF PARTNER/SPOUSE>
4. I HAVE ALREADY MADE MORE THAN 2 VISITS TO THIS ADDRESS
5. OTHER (SPECIFY)

INTERVIEWER CONFIRM: THIS INTERVIEW IS BEING CONDUCTED WITH XX (MAIN INTERVIEW)/XX (PARTNER INTERVIEW)/XX ON BEHALF OF XX (PARTNER INTERVIEW BY PROXY)

1. Confirm
2. Go back and re-do [DP: BACK TO INT TODAY]

2 Current/last job

Routing Key

ASK ALL... (MC only) = question asked of main claimant only.

ASK ALL... (MC & PARTNER) = question asked of main claimant and partner only.

ASK ALL... (MC & PARTNER, PROXY) = question asked of main claimant, partner and proxy.

ASK ALL (MC, PARTNER, PROXY)

JOB1

BAWS S1

SHOWCARD A

I would like to start by finding out what you are currently doing. Which of the following on card A best describes your current working status? Just read out the letter that applies.

SINGLE CODE ONLY

1. A Not working, but actively looking for paid work
2. B Not working and not looking for paid work
3. C Working part-time including self-employment (under 30 hours)
4. D Working full-time including self-employment (30+ hours)
5. E Retired early and claiming benefits (ESA or JSA)
6. F Retired early and not claiming benefits
7. G Retired and receiving state pension
8. H Student
9. Other (Specify)

DP: ALLOW DK/REF

ASK ALL WITH A PARTNER OR SPOUSE IN HOUSEHOLD (S1A = 2 OR 3) (MC only)

JOB2

BAWS - S11

SHOWCARD B

Which of these best describes the working status of your <partner /spouse>? Please read out the letter that applies on card B.

SINGLE CODE ONLY

1. A In paid work, claiming benefits and/or tax credits
2. B In paid work, not claiming benefits and/or tax credits
3. C Not in paid work, claiming benefits and/or Child Tax Credits
4. D Not in paid work, not on benefits and/or Child Tax Credits

DP: ALLOW DK/REF

ASK ALL (MC, PARTNER, PROXY)

JOB3

BAWS - Q1

SHOWCARD C (R)

Which of the following on card C best describes the time you have spent doing paid work since leaving education? Please think about the paid work you have done as either an employed or self-employed person. Please read out the letter that applies.

SINGLE CODE ONLY

1. A Never worked
2. B Spent most of my time not working
3. C Spent about as much time working as not working
4. D Worked solidly with one or two breaks
5. E Worked solidly without a break

DP: ALLOW DK/REF

Hard check: <IF JOB1 = CODE 3 OR 4 AND JOB 3 = CODE 1> PLEASE CHECK ANSWER, RESPONDENT IS CURRENTLY WORKING PART-TIME OR FULL-TIME.

ASK ALL EVER WORKED (JOB3 CODE 2 OR 3 OR 4 OR 5) (MC, PARTNER, PROXY)

JOB4

BAWS - Q2

SHOWCARD D (R)

Which of the following types of paid work on card D have you spent most of your working life doing? You can give more than one answer if your time has been evenly divided between different types.

MULTI CODE OK (SC ONLY ON DK)

1. A Mainly temporary/casual work
2. B Mainly part-time work or job shares
3. C Mainly full-time work
4. D Mainly self-employed

DP: ALLOW DK

ASK ALL EVER WORKED (JOB3 CODE 2 OR 3 OR 4 OR 5) (MC only)

JOB5

BAWS - Q3

On average, how long <<IF EMPLOYED, JOB1 CODES 3 OR 4, = have you tended to stay in one job/ ALL OTHERS = have you tended to stay working at any one time, or how long have your contracts tended to last>>? PROMPT TO CODE

ADD IF NECESSARY: Please think about the paid work you have done as either an employed or self-employed person.

SINGLE CODE ONLY

1. Less than six months
2. 7-12 months
3. 1-2 years
4. 3-4 years
5. 5-6 years
6. 7-10 years
7. 11-19 years
8. 20 or more years
9. Too varied to say

DP: ALLOW DK/REF

ASK ALL WITH EMPLOYMENT BREAKS (JOB3 CODE 2 OR 3 OR 4) (MC only)

JOB6

BAWS - Q5a

You told me earlier that you have had breaks in your employment. Which, if any, of these have been reasons why you have stopped working in the past?

RANDOMISE ORDER OF CODES 1-9 (BUT ALWAYS HAVE CODE 5 IMMEDIATELY AFTER CODE 4)

READ OUT, MULTI CODE OK (SC ONLY ON DK/REF)

1. Taken maternity/paternity leave
2. Been made redundant
3. Been dismissed or fired
4. Taken time off to care for a child, another relative or friend
5. Taken a break for other personal reasons
6. Taken time off to re-train or get new qualifications
7. Taken time off for health reasons
8. Contract came to an end
9. Left previous employer voluntarily, without another job to go to
10. Other reasons (please specify)

DP: ALLOW DK/REF

ASK ALL WITH MORE THAN ONE ANSWER TO JOB6 (BUT NOT DK/REF) (MC only)

JOB7

Adapted BAWS - Q5a

And what was your main reason for leaving your last job?

LIST ANSWERS GIVEN AT JOB6, SINGLE CODE ONLY

1. Taken maternity/paternity leave
2. Been made redundant
3. Been dismissed or fired
4. Taken time off to care for a child, another relative or friend
5. Taken a break for other personal reasons
6. Taken time off to re-train or get new qualifications
7. Taken time off for health reasons
8. Contract came to an end
9. Left previous employer voluntarily, without another job to go to
10. Other reasons (please specify)

DP: ALLOW DK

CREATE DERIVED VARIABLE:
JOB76-7 = SINGLE CODE JOB6 + JOB 7 (BASE ALL)

ASK ALL EVER WORKED (JOB3 CODE 2 OR 3 OR 4 OR 5) (MC, PARTNER, PROXY)

JOB8a

ESA - Q25

In total, how many jobs have you had in the last 2 years?

INTERVIEWER NOTE: FOR AGENCY WORKERS, 'JOBS' REFERS TO THE NUMBER OF AGENCIES THEY HAVE WORKED FOR, NOT THE NUMBER OF AGENCIES THEY ARE SIGNED UP WITH OR NUMBER OF COMPANIES THEY WORKED FOR UNDER THAT AGENCY.

WRITE IN NUMBER

RANGE = 0 TO 25. SOFT CHECK IF >10

Code if estimate

DP: ALLOW DK

DP: IF CURRENTLY IN WORK (CODE 3-4 AT JOB1), RESPONDENTS SHOULD NOT BE ALLOWED TO SAY 0

ASK ALL CURRENTLY WORKING (JOB1 CODES 3 OR 4) (MC, PARTNER, PROXY)

JOB8b

NEW

How many jobs do you currently have? Please include both work done as an employee and self-employed work.

INTERVIEWER NOTE: FOR AGENCY WORKERS, 'JOBS' REFERS TO THE NUMBER OF AGENCIES THEY HAVE WORKED FOR, NOT THE NUMBER OF AGENCIES THEY ARE SIGNED UP WITH OR NUMBER OF COMPANIES THEY WORKED FOR UNDER THAT AGENCY.

ENTER NUMBER

RANGE = 1 TO 10. SOFT CHECK IF >5

DP: ALLOW DK/REF

ASK ALL CURRENTLY WORKING (JOB1 CODES 3 OR 4) (MC, PARTNER, PROXY)

JOB9

FACS - Wrk6a

When did you start your current (main) job? IF MORE THAN ONE JOB AT JOB8b: Your main job is the one you spend the most number of hours doing.

(JOB = PERIOD OF PAID WORK WITH ONE EMPLOYER OR PERIOD OF CONTINUOUS SELF-EMPLOYMENT.)

IF MORE THAN ONE JOB, ASK FOR **MAIN** JOB ONLY.

ENTER THE YEAR.

Range = 1930 TO 2011

DP: NO DK

Soft check:
IF JOB9 < 1970
ARE YOU SURE? POST SURVEY EDIT AGAINST AGE/YEAR OF BIRTH

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ASK ALL EVER WORKED BUT CURRENTLY NOT WORKING ((JOB1 CODES 1 OR 2 OR 5 OR 6 OR 7 OR 8 OR 9) AND (JOB3 CODES 2 OR 3 OR 4 OR 5)) (MC, PARTNER, PROXY)

JOB10

New

When did you leave your last job?

(JOB = PERIOD OF PAID WORK WITH ONE EMPLOYER OR PERIOD OF CONTINUOUS SELF-EMPLOYMENT.)

IF MORE THAN ONE JOB, ASK FOR **MAIN** JOB ONLY.

ENTER THE YEAR.

Range = 1930 TO 2011

DP: DK

Soft check:

IF JOB9 < 1970

ARE YOU SURE? EDIT CHECK AGAINST AGE/YEAR OF BIRTH

ASK ALL EVER WORKED (JOB3 CODE 2 OR 3 OR 4 OR 5) (MC, PARTNER, PROXY)

JOB11

FACS - WrkStat

I'd like to ask you now about [your present/last job]. [Are/Were] you an employee or [are/were] you self-employed in this job? IF MORE THAN ONE JOB AT JOB8b: Please answer this and the following questions in relation to your main job only.

DP: IF JOB1=3 OR 4 = Present job/present tense; ALL OTHERS = Last job/past tense

SINGLE CODE ONLY

1 Employee

2 Self-employed

3 Government scheme (e.g. Flexible New Deal, work Programme)

4 Unpaid family worker

DP: ALLOW DK

ASK ALL EVER WORKED AS EMPLOYEE OR SELF-EMPLOYED (JOB11 CODE 1 OR 2) (MC, PARTNER, PROXY)

JOB12a

NEW

What [is/was] your (main) job?

ENTER JOB TITLE.

IF HAS/HAD MORE THAN ONE JOB, THE MAIN JOB IS THE ONE THEY WORK(ED) IN THE MOST HOURS/ IF WORK(ED) IN BOTH JOBS FOR THE SAME NUMBER OF HOURS THE MAIN JOB IS THE MOST RENUMERATIVE.

OPEN VARIABLE.

ASK ALL EVER WORKED AS EMPLOYEE OR SELF-EMPLOYED (JOB11 CODE 1 OR 2) (MC, PARTNER, PROXY)

JOB12b

NEW

What [did/do] you mainly do in your job?

DESCRIBE FULLY - PROBE FOR DETAILS OF WHAT THEY DO. FOR EXAMPLE, IF A TEACHER, PROBE FOR WHETHER TEACH PRIMARY OR SECONDARY PUPILS. IF AN ENGINEER, PROBE FOR TYPE OF ENGINEER - ELECTRICAL, CHEMICAL, CIVIL ETC.

ENTER DESCRIPTION.

OPEN VARIABLE.

ASK ALL CURRENTLY WORKING AND AN EMPLOYEE ((JOB1 CODES 3 OR 4) AND (JOB11 CODE 1)) (MC, PARTNER, PROXY)

JOB13

FACS – Wrk15

Do you think your job is considered by your employer to be...?

SINGLE CODE ONLY, READ OUT

1. A temporary job, lasting less than 12 months,
2. A fixed term job, lasting between 1 and 3 years,
3. Or, a permanent job with no fixed time for ending?

DP: ALLOW DK

ASK ALL EVER WORKED AS EMPLOYEE OR SELF-EMPLOYED (JOB11 CODE 1 OR 2) (MC, PARTNER, PROXY)

JOB14A

LFS PAY_GROSS

What is your usual pay<was your usual pay in your last job> BEFORE any deductions for tax, National Insurance, pensions, union dues etc. ADD IF MORE THAN ONE JOB AT JOB8b: Please include your pay for all your current jobs. PROBE FOR ESTIMATE IF NECESSARY.

ENTER EXACT AMOUNT AND CODE FREQUENCY (I.E. WHETHER WEEK, MONTH, YEAR). IF INCOME VARIES, GIVE AN AVERAGE AND CODE 'AMOUNT VARIES'. IF REFUSED OR UNSURE, CODE BAND

DP: IF JOB1=3 OR 4 = **usual pay BEFORE . . .**; ALL OTHERS = **was your usual pay in your last job BEFORE . . .**

SOFT RANGE CHECK (CHECK IF OUTSIDE THESE RANGES - >£30,000 PER YEAR, >£2500 PER MONTH; >£600 PER WEEK): PLEASE CHECK WITH RESPONDENT THAT THIS FIGURE IS CORRECT.

SOFT RANGE CHECK (CHECK IF OUTSIDE THESE RANGES - <£480 PER YEAR, <£40 PER MONTH, <£10 PER WEEK): PLEASE CHECK WITH RESPONDENT THAT THIS FIGURE IS CORRECT.

1. Amount per WEEK
2. Amount per MONTH
3. Amount per YEAR

DP: ALLOW DK/REF

ASK IF DON'T KNOW OR REFUSED AT JOB14A (MC, PARTNER, PROXY)

JOB14B

LFS PAYBAND

We put answers into income bands. Would you tell me which band represents your income from work before all deductions. Is it . . . ? READ OUT

DP: IF JOB1=3 OR 4 = present tense; ALL OTHERS = past tense

- 1) Less than £100 a week
- 2) £100 but less than £200 a week
- 3) £200 but less than £300 a week
- 4) £300 but less than £400 a week
- 5) £400 but less than £500 a week
- 6) £500 but less than £600 a week
- 7) £600 but less than £700 a week
- 8) £700 but less than £800 a week
- 9) £800 but less than £900 a week
- 10) £900 but less than £1,000 a week
- 11) Over £1,000 a week

DP: ALLOW DK/REF

ASK ALL EVER WORKED AS EMPLOYEE OR SELF-EMPLOYED (JOB11 CODE 1 OR 2) (MC, PARTNER, PROXY)

JOB14C

HOURS-WK

In total, how many hours a week did you/do you normally spend in paid work, including self-employment? If you have/had more than one jobs, please include the combined total of all your jobs. PROBE FOR ESTIMATE IF NECESSARY

DP: IF JOB1=3 OR 4 = Main job/present tense; ALL OTHERS = Last job/past tense

ENTER NUMBER.

ALLOW REF AND DK. NULL NOT ALLOWED

HARD CHECK IF >30 HOURS AND JOB 1=3:

Can I check that this is correct because you mentioned earlier that you are currently working part-time for less than 30 hours per week?

Yes, correct - respondent working 30 hours or more per week – CREATE DUMMY JOB1 = CODE 4

No, not correct - respondent working for less than 30 hours per week – GO BACK AND AMEND JOB14C

HARD CHECK IF <30 HOURS AND JOB 1=4:

Can I check that this is correct because you mentioned earlier that you are currently working full-time for at least 30 hours per week?

Yes, correct - respondent working less than 30 hours per week – CREATE DUMMY JOB1 = CODE 3

No, not correct - respondent working 30 hours or more per week – GO BACK AND AMEND JOB14C

DP: ADD AN UPDATED **DUMMY JOB 1** CODES 3-4 FOR FILTERING IN SECTIONS 3 AND 4.

ASK ALL EVER WORKED AS EMPLOYEE OR SELF-EMPLOYED (JOB11 CODE 1 OR 2) (MC, PARTNER, PROXY)
JOB15

Saving Gateway

How often [are/were] you paid in your [last] job?

INTERVIEWER: SUGGEST RESPONDENT CONSULTS PAYSLLIP IF NECESSARY

SINGLE CODE ONLY

DP: IF JOB1=3 OR 4 = Main job/present tense; ALL OTHERS = Last job/past tense

1. Daily
2. Weekly
3. Fortnightly
4. Monthly
5. Other (Specify)

DP: ALLOW DK/REF

ASK ALL CURRENTLY WORKING AND AN EMPLOYEE ((JOB1 CODES 3 OR 4) AND (JOB11 CODE 1)) (MC, PARTNER, PROXY)

JOB16A-H

FACS (adapted) – Friend1

I'm going to read out a list of things that may or may not be available to you at your workplace. For each one I'd like you to tell me if it is available – even if you don't use it – and then tell me if you have used it.

IF RESPONDENT HAS MORE THAN ONE JOB, ANSWER FOR HER/HIS MAIN JOB.

SINGLE CODE FOR EACH, A-H. ROTATE LIST.

1. JOB16A Part-time work, allowing me to work fewer days per week
2. JOB16B Part-time work, allowing me to work fewer hours per day
3. JOB16C Flexible working, so I can have some choice over when to work my required hours
4. JOB16D Working from home, at least some of the time
5. JOB16E Paid overtime
6. JOB16F Job-sharing, where part-timers share one full-time job
7. JOB16G Paid time off when the children are ill
8. JOB16H Unpaid time off when the children are ill

1. Available, and use
2. Available, and do not use
3. Not available

DP: ALLOW DK/REF

DP: PLEASE COMPUTE DUMMY VARIABLE FOR THE ANSWER NONE AT JOB16A-H. ALL RESPONDING NOT AVAILABLE TO ALL A-H TO BE CODED 1 AT JOB16NONE.

3 ‘Attitudes to work’ questions

ASK ALL APART FROM PEOPLE IN ESA SUPPORT GROUP (IDENTIFY FROM SAMPLE); PEOPLE WORKING FULL-TIME DUMJOB1=4 (MC & PARTNER)

DUMJOB1=1,2,5,6,7,8,9, READ OUT ‘OUT OF WORK’ STATEMENTS

DUMJOB1 = 3, ASK ‘IN PART-TIME WORK’ STATEMENTS

DP: ROTATE SECTIONS A – G. ROTATE STATEMENTS WITHIN EACH SECTION ALSO.

SINGLE CODE ONLY

1. A Agree strongly
2. B Agree
3. C Agree slightly
4. D Neither agree nor disagree
5. E Disagree slightly
6. F Disagree
7. G Disagree strongly
8. Don’t know
9. No opinion

SECTION A: Perceived importance of work

SHOWCARD E (R)

I am now going to read out <some statements that people have made about what it’s like not having paid work/ a statement about what it’s like not having paid work>. <For each>, please tell me how strongly you agree or disagree by reading out the relevant letter on card E.

Out of work	In part-time work
GOLD 1A Being out of paid work, I feel like my life is stuck in a rut	NA
GOLD 1B Being out of paid work I struggle to keep myself busy	NA
GOLD 1C If I’m honest, I quite enjoy not having to go to work at the moment	
GOLD 1D Not having paid work reduces your self-confidence	
NA	GOLD 1E Working part-time gives me the chance to spend more time on what’s really important in life

SHOWCARD E (R)

Here are some statements that people have made about what <IF DUMJOB 1 = 3 = full-time> paid work means to them. How strongly do you agree or disagree with each. Just read out the letter that applies on card F.

Out of work	In part-time work
GOLD 2A I would be a happier, more fulfilled, person if I was in paid work	GOLD 2A I would be a happier, more fulfilled, person if I was working full-time
GOLD 2B It is important to me to earn my own money, rather than rely on benefits/other people	GOLD 2B It is important to me to earn my own money, rather than rely on benefits/other people
GOLD 2C It would be difficult for me to accept paid work now, even if I was offered it	GOLD 2C It would be difficult for me to increase my hours of work now, even if I was offered more hours
GOLD 2D The thought of being in paid work makes me nervous	GOLD 2D The thought of increasing my hours of work makes me nervous
GOLD 2E The idea of not finding paid work fills me with dread	

SECTION B: Norms

SHOWCARD E (R)

Here are some statements that people have made about what their friends and family think about them not having <IF DUMJOB 1=1,2,5,6,7,8,9 = paid work><IF DUMJOB 1 = 3: full-time paid work>. Please tell me how strongly you agree or disagree with each. Just read out the letter that applies on card E.

Out of work	In part-time work
GOLD 3A I respect people who try hard to get paid work	GOLD 3A People who work full-time gain more respect
GOLD 3B I feel under a lot of pressure from people in my family to get paid work	GOLD 3B The people who depend on me would rather I did not work more hours
GOLD 3C It is normal to be out of paid work where I live	GOLD 3C Most of my friends think that it's not right for parents with young kids to both work full-time
GOLD 3D Although I am not in paid work I have strong sense of purpose in my daily life	
GOLD 3E Not having paid work is something I have come to accept	

SECTION C: Financial needs

SHOWCARD E (R)

I am now going to read out some statements that people have made about the financial implications of not having < IF DUMJOB 1 = 3: full-time> paid work. Please tell me how strongly you agree or disagree with each. Just read out the letter that applies on card E.

Out of work	In part-time work
GOLD 4A I have got used to not having paid work so I get by okay	GOLD 4A I don't need to work more hours because I get by okay on what I currently earn
GOLD 4B The types of jobs I can get do not pay enough to make it worthwhile for me to work	GOLD 4B It would not be worth me working more hours as I wouldn't be better off financially

SECTION D: Response efficacy

SHOWCARD E (R)

Here are some practical things that people have said can stop them, or get in the way of them, being offered a < IF DUMJOB 1 = 3: full-time> job. Please tell me how strongly you agree or disagree with each. Just read out the letter that applies on card E.

Out of work	In part-time work
GOLD 5A I don't have access to adequate transport to travel to/from interviews or a job	NA
GOLD 5B I have the resources to find out about the latest vacancies	NA
GOLD 5C There just aren't enough vacancies for everyone at the moment	GOLD 5C There just aren't enough full-time vacancies for everyone at the moment
GOLD 5D I worry I am over-qualified for jobs that are on offer	NA
GOLD 5E I expect that the hassle of getting back into the benefits system means it's not worth taking paid work if you have started claiming	
GOLD 5F I wouldn't be able to find someone to replace my role at home	GOLD 5F I wouldn't be able to find someone to replace my role at home
GOLD 5G There isn't enough advice and support available to help me get paid work	GOLD 5G There wouldn't be enough advice and support available to help me increase my hours
	GOLD 5H I wouldn't feel confident asking my employer for more hours
	GOLD 5I I would work more hours if I could get a job locally
	GOLD 5J Combining full-time work and family brings more problems than benefits

SECTION E: Jobseeking behaviour

SHOWCARD E (R)

Here is a statement on how people approach looking for work. How strongly do you agree or disagree with it? Just read out the letter that applies on card E.

Out of work	In part-time work
GOLD 6A	GOLD 6A
I have made a commitment to myself to find a job by a certain date	I have made a commitment to myself to find full-time work by a certain date

SECTION F: Attitudes towards risk

SHOWCARD E (R)

Here are some statements people have made about how claiming benefits affects the work they'd be willing to do. How strongly do you agree or disagree with each? Just read out the letter that applies on card E

Out of work	In part-time work
I'd try a job that may not be ideal for me if . . .	I'd be more likely to work full-time if . . .
GOLD 7A	GOLD 7A
I didn't have to reapply for benefits if the job didn't work out	I didn't have to reapply for benefits if the job didn't work out
GOLD 7B	GOLD 7B
I was certain that I would not have to wait for my benefit if the job didn't work out	I was certain that I would not have to wait for my benefit if the job didn't work out
Gold7c	Gold7c
I could confidently work out whether I'd be financially better-off by working	I could confidently work out whether I'd be financially better-off by working full-time

SECTION G: Attitudes towards change

SHOWCARD E (R)

Thinking of your own situation, how strongly do you agree or disagree with the following statements. Just read out the letter that applies on card E.

Out of work	In part-time work
GOLD 8A	GOLD 8A
I generally cope well when things don't go to plan	I generally cope well when things don't go to plan
GOLD 8B	GOLD 8B
I find it very difficult to adapt to changes in my daily routines	I find it very difficult to adapt to changes in my daily routines

4 Current job search behaviour

ASK ALL CURRENTLY WORKING, JOB1 CODES 3 OR 4 (MC, PARTNER, PROXY)

SEARCH1

LFS (adapted) – DIFJOB

Are you looking for a different or additional paid job or self-employment?

SINGLE CODE ONLY

1. Yes
2. No

DP: ALLOW DK

ASK ALL CURRENTLY WORKING AND LOOKING FOR WORK, SEARCH1 CODE 1 (MC, PARTNER, PROXY)

SEARCH2

LFS - ADDJOB

Are you looking...?

SINGLE CODE ONLY, READ OUT

1. for a new job to replace your present
2. or for an additional job?

DP: ALLOW DK

ASK ALL CURRENTLY WORKING AND LOOKING FOR WORK, SEARCH1 CODE 1 (MC, PARTNER, PROXY)

SEARCH3

LFS - LOOKM8

Why are you looking for another job?

MULTICODE UP TO 3

1. Present job may come to an end
2. Present job is to fill in time before finding another job
3. Pay unsatisfactory in present job
4. Journey to work unsatisfactory in present job
5. Want to work longer hours than in present job
6. Want to work shorter hours than in present job
7. Other aspects of present job unsatisfactory
8. Wants to change occupation/sector
9. Other reasons

DP: ALLOW DK

ASK IF CURRENTLY RETIRED/STUDENT/OTHER JOB1=5,6,7,8 OR 9 (MC, PARTNER, PROXY)

SEARCH4A

NEW

Are you looking for a paid job or self-employment?

SINGLE CODE ONLY

1. Yes
2. No

DP: ALLOW DK

ASK IF CURRENTLY OUT OF WORK AND NOT SEEKING PAID WORK, JOB1 CODE 2 OR SEARCH 4A=2 (MC, PARTNER, PROXY)

SEARCH4B

LFS - NOLOWA (ADAPTED)

May I just check, what are the reasons for you not seeking paid work including self-employment?

Any other reasons?

MULTICODE OK

1. Waiting for the results of an application for a job/being assessed by a training agent
2. Student
3. Want to look after children
4. Can't find/afford childcare
5. Don't want to use formal childcare
6. Have caring responsibilities
7. Want to spend time with family/friend
8. Work doesn't pay enough
9. Get enough from benefits
10. Concerned about loss of free school meals/free prescriptions
11. No suitable job available
12. Do not need to work
13. Lack of confidence
14. Lack of qualifications/experience
15. Temporarily sick or injured
16. Long-term sick or disabled
17. Retired from paid work
18. Other (specify)

DP: ALLOW DK/REF

IF CURRENTLY OUT OF WORK AND NOT SEEKING PAID WORK AND NOT WAITING TO FOR A JOB APPLIC (SEARCH4B IS NOT 1) (MC, PARTNER, PROXY)

SEARCH4C

NEW

Do you intend to look for paid work or self-employment in the future? IF YES: Would that be in the next . . .

SINGLE CODE ONLY, READ OUT

1. 3 months
2. 6 months
3. 9 months
4. 12 months
5. Few years
6. Yes – but don't know when
7. Do not plan to go back to work
8. Don't know

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ASK ALL CURRENTLY WORKING, JOB1 CODES 3 OR 4 (MC, PARTNER, PROXY)

SEARCH5

NEW

SHOWCARD F (R)

Are you currently thinking of increasing or decreasing the number of hours you work? Is that a great deal, a moderate amount or a little? Please read out the letter that applies on card F.

SINGLE CODE ONLY

1. A Increasing a great deal
2. B Increasing a moderate amount
3. C Increasing a little
4. D Making no change
5. E Decreasing a little
6. F Decreasing a moderate amount
7. G Decreasing a great deal

DP: ALLOW DK

ASK ALL CURRENTLY WORKING PART-TIME, DUMMY JOB1 CODE 3 (MC, PARTNER, PROXY)

SEARCH6

TCCC -- PHoursWRK27

Why do you work the number of hours you do? Any other reasons?

MULTICODE OK

1. Want to spend time with family/friends
2. Doing unpaid work or study
3. Have caring responsibilities
4. For health-related reasons
5. Standard hours for the job
6. Financially you do not need to work more hours
7. Full-time work is not available
8. In order to qualify for tax credits or benefits
9. Childcare is only available for these hours
10. Childcare is only affordable for these hours
11. It's the only job/hours you can get
12. Other (please specify)

DP: ALLOW DK

ASK ALL WITH MORE THAN ONE RESPONSE TO SEARCH6 (MC, PARTNER, PROXY)

SEARCH7

TCCC - PHrMain

And what is the main reason you are doing the hours you do?

SINGLE CODE ONLY FROM ANSWERS SELECTED AT SEARCH6

READ OUT

13. Want to spend time with family/friends
14. Doing unpaid work or study
15. Have caring responsibilities
16. For health-related reasons
17. Standard hours for the job
18. Financially you do not need to work more hours
19. Full-time work is not available
20. In order to qualify for tax credits or benefits
21. Childcare is only available for these hours
22. Childcare is only affordable for these hours
23. It's the only job/hours you can get
24. Other (please specify)

DP: ALLOW DK

CREATE DERIVED VARIABLE:

SEARCH6-7 = SINGLE CODE SEARCH 6 AND 7 (BASE ALL)

ASK IF OUT OF WORK AND LOOKING FOR WORK (JOB1=1 OR SEARCH4A=1) (MC, PARTNER, PROXY)
BARRIER1

NEW

What , if anything, makes it difficult for you to find paid work including self-employment? Any other reasons?

MULTICODE OK DO NOT READ OUT

1. Not having the right qualifications
2. Not having the right skills/work experience
3. Lack of suitable vacancies
4. Lack of jobs in my local area
5. Lack of suitable transport
6. Cost of travelling to/from work
7. Lack of confidence
8. Health issues
9. Criminal record
10. Lack of affordable childcare
11. Lack of good quality childcare
12. Another reason (specify)

DP: ALLOW DK

{If more than one code at PWhynot} (MC, PARTNER, PROXY)

BARRIER_MAIN

NEW

And what is the main reason that makes it difficult for you to find paid work?

SINGLE CODE ONLY

1. Not having the right qualifications
2. Not having the right skills/work experience
3. Lack of suitable vacancies
4. Lack of jobs in my local area
5. Lack of suitable transport
6. Cost of travelling to/from work
7. Lack of confidence
8. Health issues
9. Criminal record
10. Lack of affordable childcare
11. Lack of good quality childcare
12. Another reason (specify)

DP: ALLOW DK

CREATE DERIVED VARIABLE:

BARRIER_SINGLE = SINGLE_CODE BARRIER1 AND BARRIER_MAIN (BASE ALL)

ASK ALL CURRENTLY WORKING AND LOOKING FOR WORK OR UNEMPLOYED SEEKING PAID WORK
(JOB1 CODE 1 OR SEARCH1 CODE 1 OR SEARCH4A CODE 1) (MC & PARTNER)

SEARCH9

BAWS - Q16a
SHOWCARD G (R)

Which, if any, of these types of support have you already accessed in order to help you find or get ready to look for paid work including self-employment?

MULTICODE OK (SC ONLY FOR NONE OF THESE/DK/REF)

1. Training to refresh and learn new skills
2. Help with CV, application forms or interview techniques
3. Information about in-work financial assistance (e.g. Tax Credits)
4. Information about financial support whilst looking for work
5. Information about childcare/adult care provision
6. Information about flexible working opportunities
7. Information about working with a health condition or disability
8. Information about voluntary work or work experience
9. Information about doing a different type of job to the one you are trained for/skilled in
10. Information about how to work for yourself/being self-employed
11. None of these

DP: ALLOW DK/REF

ASK ALL CURRENTLY OUT OF WORK AND NOT SEEKING PAID WORK AND INTENDING TO START WORK IN NEXT 12 MONTHS (JOB1 CODE 2 AND SEARCH4C CODES 1-4) (MC & PARTNER)

SEARCH10

BAWS - Q16a

Please look at card G and tell me which, if any, of these types of support would help you find or get ready to look for paid work including self-employment?

SHOWCARD G (R)

MULTICODE OK (SC ONLY FOR NONE OF THESE/DK/REF)

1. A Training to refresh and learn new skills
2. B Help with CV, application forms or interview techniques
3. C Information about in-work financial assistance (e.g. Tax Credits)
4. D Information about financial support whilst looking for work
5. E Information about childcare/adult care provision
6. F Information about flexible working opportunities
7. G Information about working with a health condition or disability
8. H Information about voluntary work or work experience
9. I Information about doing a different type of job to the one you are trained for/skilled in
10. J Information about how to work for yourself/being self-employed
11. 11 None of these

DP: ALLOW DK/REF

DP: PLEASE COMPUTE DUMMY VARIABLE FOR THE ANSWER O AT SEARCH10- A-E. ALL RESPONDING O TO ALL A-E TO BE CODED 1 AT SEARCH10NONE.

ASK ALL CURRENTLY WORKING AND LOOKING FOR WORK OR UNEMPLOYED SEEKING PAID WORK, SEARCH1 CODE 1 OR JOB1 CODE 1 OR SEARCH4A CODE 1 (MC & PARTNER)

SEARCH1

NEW

How many jobs have you applied for in the last month?

ENTER NUMBER

RANGE = 0 TO 10. SOFT CHECK IF >10

DP: ALLOW DK/REF

ASK IF SEARCH11 = >1 (MC & PARTNER only)

SEARCH11A

NEW

How many different types of job have you applied for in the last month?

ENTER NUMBER

RANGE = 1 TO 10. SOFT CHECK IF >10

DP: ALLOW DK/REF

ASK ALL CURRENTLY WORKING AND LOOKING FOR WORK OR UNEMPLOYED SEEKING PAID WORK, SEARCH1 CODE 1 OR JOB1 CODE 1 OR SEARCH4A CODE 1 (MC only)

SEARCH12

NEW

How many job interviews have you attended in the last month?

ENTER NUMBER

RANGE = 0 TO 10. SOFT CHECK IF >10

DP: ALLOW DK/REF

ASK ALL CURRENTLY WORKING AND LOOKING FOR WORK OR UNEMPLOYED SEEKING PAID WORK OR UNEMPLOYED AND NOT SEEKING PAID WORK AND INTENDING TO START WORK IN THE NEXT 12 MONTHS SEARCH1=CODE1 OR JOB1=CODE1 OR SEARCH4A=CODE1 OR ((JOB1=CODE2 AND (JOB4B=CODES 1 OR 2 OR 3 OR 4)). (MC, PARTNER, PROXY)

IF SEARCH11= >0

Search 13a

NEW

What type(s) of job(s) have you applied for? (JOB TITLE)

INTERVIEWER: PLEASE RECORD THE JOB TITLE FIRST (e.g. Driver, Manager)

ON THE NEXT SCREEN GIVE A DESCRIPTION OF THEIR AREA OF WORK

RECORD UP TO A MAX OF 4 TYPES OF JOBS. IF THEY HAVE BEEN LOOKING FOR MORE THAN 4 TYPES OF JOBS, ASK THEM TO LIST THE 4 MAIN TYPES.

NOTE: If they applied for two Bus Driver job, this counts as one type of job. If they have applied for one Bus Driver and one Lorry Driver jobs, this counts as two types of jobs.

OPEN VARIABLE.

Search 13b

NEW

What type(s) of job(s) have you applied for? (JOB DESCRIPTION)

INTERVIEWER: PLEASE GIVE A DESCRIPTION OF THEIR AREA OF WORK (e.g. Van Driver, Bus Driver, Manager of food store, Manager of a restaurant).

RECORD UPTO A MAX OF 4 TYPES OF JOBS. IF THEY HAVE BEEN LOOKING FOR MORE THAN 4 TYPES OF JOBS, ASK THEM TO LIST THE 4 MAIN TYPES.

NOTE: If they applied for two Bus Driver job, this counts as one type of job. If they have applied for one Bus Driver and one Lorry Driver jobs, this counts as two types of jobs.

OPEN VARIABLE.

IF SEARCH11 =0

OFFER THE FULL FOUR OPPORTUNITIES TO RECORD JOBS WITH INTERVIEWER SKIP BUTTON IF THEY HAVE MORE THAN 1 BUT LESS THAN 4 AND REVISE WORDING AS FOLLOWS

ASK search 13a **What type(s) of job(s) have you been searching for?** (JOB TITLE)

ASK search 13b **What type(s) of job(s) have you been searching for?** (JOB DESCRIPTION)

OPEN VARIABLE.

ASK ALL (CURRENTLY WORKING AND LOOKING FOR WORK OR UNEMPLOYED SEEKING PAID WORK) - (SEARCH1 CODE 1 OR JOB1 CODE 1 OR SEARCH4A CODE 1)

ASK CURRENTLY UNEMPLOYED AND NOT SEEKING PAID WORK AND INTENDING TO START WORK IN NEXT 12 MONTHS (JOB1 CODE 2 AND JOB4B CODES 1-4) (MC & PARTNER)

SEARCH14A&B

Adapt ESS – PROJOB

SHOWCARD H (R)

SEARCH14A Which types of jobs would you like to do given your experience, qualifications and level of skills? Please read out the letters that apply on card H.

SHOWCARD H (R) AGAIN

SEARCH14B Which types of jobs would you be willing to do if you have no other job offers, taking into account your experience, qualifications and level of skills? Please read out the letters that apply on card H.

MULTICODE OK (SC ONLY FOR NONE OF THESE/DK/REF)

INTERVIEWER NOTE: RESPONDENTS MUST CHOOSE A CATEGORY THEMSELVES.

- 1 **A Professional and technical occupations**
such as: doctor – teacher – engineer – artist – accountant
- 2 **B Higher administrator occupations**
such as: banker – executive in big business – high government official – union official
- 3 **C Clerical occupations**
such as: secretary – clerk – office manager – book keeper
- 4 **D Sales occupations**
such as: sales manager – shop owner – shop assistant – insurance agent
- 5 **E Service occupations**
such as: restaurant owner – police officer – waiter – caretaker – barber – armed forces
- 6 **F Skilled worker**
such as: foreman – motor mechanic – printer – tool and die maker – electrician
- 7 **G Semi-skilled worker**
such as: bricklayer – bus driver – cannery worker – carpenter – sheet metal worker – baker
- 8 **H Unskilled worker**
such as: labourer – porter – unskilled factory worker
- 9 **I Farm worker**
such as: farmer – farm labourer– tractor driver– fisherman

Other (specify)

DP: ALLOW DK

ASK ALL CURRENTLY WORKING AND LOOKING FOR WORK OR UNEMPLOYED SEEKING PAID WORK,
SEARCH1 CODE 1 OR JOB1 CODE 1 OR SEARCH4A CODE 1
ASK CURRENTLY OUT OF WORK AND NOT SEEKING PAID WORK AND INTENDING TO START WORK IN
NEXT 12 MONTHS (JOB1 CODE 2 AND JOB4B CODES 1-4) (MC, PARTNER, PROXY)

SEARCH14C&D

NEW

SHOWCARD I (R)

SEARCH14C: Which is the most important factor when you are searching for a job? Please read out the letters that apply on card I.

SEARCH14D: And which is the second important factor?

SINGLE CODE ONLY

1. A Type of occupation
2. B Type of contract (whether permanent or temporary)
3. C Number of hours worked per week
4. D Availability of flexible working (ie. can adapt hours or work from home)
5. E Time required to travel to and from work
6. F Cost of travelling to and from work
7. G Salary
8. Another factor (specify)

DP: ALLOW DK

ASK ALL CURRENTLY UNEMPLOYED SEEKING PAID WORK, JOB1 CODE 1 (MC only)

SEARCH15

FRS - Start

If a job or a place on a government scheme had been available in the week ending Sunday the (READ OUT DATE AND MONTH OF PREVIOUS SUNDAY), would you have been able to start within 2 weeks?

SINGLE CODE ONLY

1. Yes
2. No

DP: ALLOW DK/REF

ASK ALL CURRENTLY WORKING AND LOOKING FOR WORK OR UNEMPLOYED SEEKING PAID WORK,
SEARCH1 CODE 1 OR JOB1 CODE 1 OR SEARCH4A CODE 1) (MC & PARTNER)

SEARCH16A-J

BAW (adapted) - Q15

SHOWCARD J (R)

In the next section I am going to show you some of the activities that people have said have improved their chances of getting paid work. Using the scale on showcard J, please indicate how willing or unwilling you would be to do each one in the next three months assuming you haven't found <a job – IF UNEMPLOYED> <another job – IF CURRENTLY WORKING> by then.

- A Extremely unwilling/have already rejected
- B Very unwilling
- C Fairly unwilling
- D Neither willing nor unwilling/no opinion
- E Fairly willing
- F Very willing
- G Extremely willing/have already undertaken

DP: ALLOW DK/REF

RANDOMISE ORDER A-J. SINGLE CODE ONLY FOR EACH

SEARCH16A Compromise on the level of pay

SEARCH16B Compromise on the level of responsibility

SEARCH16C Compromise on the flexibility of the working hours

SEARCH16D Compromise by taking an interim job until you were able to find something else

SEARCH16E Consider an industry sector you haven't worked in before / aren't trained for

SEARCH16F Train to refresh or get new skills or qualifications

SEARCH16G Arrange for someone else to take your place at home

SEARCH16H Compromise on the time taken to travel to work

SEARCH16I Do voluntary work or work experience

SEARCH16J Work for yourself/become self-employed

ASK ALL CURRENTLY WORKING (JOB1 CODES 3 OR 4) (MC & PARTNER)

SEARCH17

FACS (ADAPTED) – STAYWORK1

SHOWCARD K (R)

People who work can sometimes find it hard to stay in their job. Taking your answer from card K, how easy or difficult is it for you to stay in the job you are currently doing? Just read out the letter that applies.

SINGLE CODE ONLY

1. A Extremely difficult
2. B Very difficult
3. C Fairly difficult
4. D Neither easy nor difficult
5. E Fairly easy
6. F Very easy
7. G Extremely easy

DP: ALLOW DK/REF

ASK ALL WHO FIND IT DIFFICULT, SEARCH17 CODE 1 OR 2 OR 3 (MC & PARTNER)

SEARCH18

NEW

What, if anything, would help you to stay in work? MULTICODE OK

1. Support from my family
2. Help with travel cost
3. Help with cost of buying work clothes
4. Help to find good quality childcare
5. Help with childcare costs
6. Having employer who allows some flexibility, e.g. working hours/working from home
7. If I could reduce my hours
8. Having a mentor at work who I could go to for help/support
9. Provision of specialist equipment/workplace adaptations for my health/disability
10. Other (specify)
11. Nothing

DP: ALLOW DK

ASK ALL CURRENTLY NOT WORKING, JOB1 CODES 1 OR 2 OR 5 OR 6 OR 7 OR 8 OR 9 (MC & PARTNER)
SEARCH19

NEW

Some people find it hard to make the move from not working to working. If you were to find work what, if anything, would help you move into work? MULTICODE OK

1. Support from my family
2. Help with travel cost
3. Help with cost of buying work clothes
4. Help to find good quality childcare
5. Help with childcare costs
6. Having employer who allows some flexibility, e.g. working hours/working from home
7. Having a mentor at work who I could go to for help/support
8. Other (specify)
9. Nothing – I don't need any help (SINGLECODE)
10. Nothing – I don't intend to work (SINGLECODE)

DP: ALLOW DK

5 Discrete choice section goes here
--

ASKED ONLY OF MAIN CLAIMANTS. ALSO EXCLUDE ESA SUPPORT GROUP MEMBERS FROM THIS SECTION. GO TO SECTION 6

READ OUT ALL

The government is thinking about introducing a new benefit for people of working age. This benefit will replace most existing benefits and Tax Credits with one payment which will be delivered by one Government organisation. People who are capable of working will need to agree to certain conditions to receive payments.

[Introduction for those currently employed]

READ OUT

Although you are currently working, we need you to think about the decisions you would make if you were unemployed and looking for work. For this task, please imagine that you are unemployed, but that the rest of your personal circumstances are the same as they are now.

READ OUT ALL

I'm going to show you eight different sets of work options under this new system. For each set, I would like to you to tell me which of them, if any, you would do.

But first I am going to show you an example.

INTERVIEWER: PRESENT RESPONDENT WITH SHOWCARD

READ OUT THE SHOWCARD

Work - The number of hours you would work per week.

Job seeking requirement - Hours spent looking for work - to get the benefit payment. These hours would be in addition to hours of paid work. Proof of this job seeking would be needed for Jobcentre interviews.

Frequency of Jobcentre interviews - How often you would need to attend the Jobcentre for an interview - to get the benefit payment.

Type of job you'd take - A job you are happy doing, or a job you don't mind doing for a while, or a job you really don't want to do.

Amount better off per week - The additional money your household would get from wages and benefits under the new system compared with being unemployed. It is income that you would have left over after major expenses such as rent/mortgage and childcare are paid for.

[Introduction for those currently employed] Please consider the issues you would face if you had to make a choice over these work opportunities if you were not working and imagine that these opportunities are being offered to you. Have a look at the card and tell me which of the opportunities, if any, you would do if they were offered to you if you were not currently working.

[Introduction for those currently unemployed and capable of working] Please think about your current employment, financial and personal situation and imagine that these job opportunities are being offered to you. In a moment, have a look at the screen and tell me which of the opportunities, if any, you would do if they were offered to you in real life.

[ALL] While the three jobs in the example screen may appear similar, the features for each are slightly different so please read them carefully before you decide.

Although the choices may not present a perfect job option for you, please think carefully about whether you might pick any of them. If you definitely wouldn't do any of them, you can choose 'Continue job search'. But if you pick this option, you will need to spend 30 hours a week actively seeking work, and meet with an advisor at a Jobcentre on a fortnightly basis. These criteria will need to be met before your benefits can be paid to you, and you will be no better off financially compared to now.

INTERVIEWER: TURN SCREEN TO RESPONDENT TO COMPLETE EXAMPLE TASK

<example conjoint image choice task>

[Text above each image for those currently employed]

Please choose your preferred job situation from the following options. Options A, B and C represent potential employment situations. Only choose the 'continue job search' option if the three employment options are less preferable to being unemployed.

[Text above each image for those currently unemployed and capable of working]

Please choose your preferred job situation from the following options. Options A, B and C represent potential employment situations. Only choose the 'continue job search' option if the three employment options are less preferable to continuing to be unemployed.

<New screen>

Please return the computer to the interviewer

<New screen>

Now I am going to show you eight more screens, and for each I would like you to make a selection, whether that be for job option A, B, C or continue to job search.

<show first of eight conjoint image screens>

Please return the computer to the interviewer

<New screen>

ASK ALL DISCRETE CHOICE EXERCISE RESPONDENTS WHO OPTED TO CONTINUE TO JOB SEARCH ON AT LEAST ONE OCCASION

sanc1

Q: You have chosen to continue to jobsearch in <one/some/all> of the tasks just presented. I am going to show you <one of> the option<s> where you chose continue to job search.

SHOW IMAGE <if respondent selected continue to job search at one scenario show this image, if s/he selected none at more than one scenario select randomly from the images where continue to job search was selected>

INTERVIEWER NOTE: TURN CAPI SCREEN TO RESPONDENT, GIVE THEM TIME TO REMEMBER THE DECISION THAT THEY MADE BEFORE TURNING BACK TO MOVE SCRIPT ON TO THE QUESTION TEXT

If selecting continue to job search had meant that you were £15 worse off per week, would you still have selected continue to job search or would you have chosen one of the employment options?

SINGLE CODE ONLY

1. Continue to job search
2. One of the employment options

DK

ASK ALL CODE 1 AT SANC1

sanc2

If selecting continue to job search had meant that you were £65 worse off per week, would you still have selected continue to job search or would you have chosen one of the employment options?

SINGLE CODE ONLY

1. Continue to job search
2. One of the employment options

DK

6 Budgeting

GREEN HIGHLIGHTS = TAKE FROM SCREENER.

I would now like to ask you some questions about how you manage your income and outgoings. This is to enable us to get an accurate picture of people's budgeting behaviour.

ASK ALL (MC, PARTNER, PROXY)

BUDGE1

New

Do you regularly work out how much money you are getting from work, benefits and tax credits, and how much you are spending?

SINGLE CODE ONLY

1. Yes
2. No

DP: ALLOW DK/REF

ASK ALL WHO BUDGET, BUDGE1 CODE 1 (MC, PARTNER, PROXY)

BUDGE2

New

How frequently do you do this? Is it... READ OUT

SINGLE CODE ONLY

1. daily
2. weekly
3. fortnightly
4. monthly, or
5. less frequently than monthly.
6. Do not budget regularly (DO NOT READ OUT)

DP: ALLOW DK/REF

ASK ALL

ASK ALL (MC & PARTNER)

BUDGE3

FACS - Savmm7

SHOWCARD L (R)

And how often, would you say, you run out of money before the end of the week or if you budget by the month, at the end of the month? Please read out the letter that apply on card L.

SINGLE CODE ONLY

1. A Always
2. B Most weeks/months
3. C More often than not
4. D Sometimes
5. E Hardly ever
6. F Never

DP: ALLOW DK/REF

ASK ALL, APART FROM THOSE WHO NEVER RUN OUT OF MONEY, BUDGE3 CODE 1, 2, 3,4, OR 5 INCL. DK/REF (MC & PARTNER)

BUDGE4

FACS (adapt) - Exp16

SHOWCARD M (R)

Please look at card M. Have you used any of these ways to borrow money when you run out of money? Just read out the letters that apply.

MULTICODE OK (NOT ON NONE/DK/REF). READ OUT

1. A A bank overdraft
2. B A fixed term loan from the Bank or Building Society (NOT MORTGAGE)
3. C A loan from a finance company
4. D A loan from a money lender or 'tally man'
5. E A loan from a friend or relative
6. F A loan, or advance on wages, from your employer
7. G A Social Fund loan
8. H Re-mortgage house/equity release/increase mortgage
9. I Student loan
10. Other (specify)
11. None of these

DP: ALLOW DK/REF

ASK ALL (MC & PARTNER)

BUDGE5

Saving Gateway

Do you <and/or your partner/spouse> have a current account or basic bank account with a bank or building society or at the Post Office?

1. Yes
2. No
3. DP: ALLOW DK/REF

ASK IF BUDGE5=YES AND LIVING WITH PARTNER OR SPOUSE (CODE 2 OR 3 AT S1A) (MC & PARTNER)

BUDGE6

NEW

Is this account in your name only or is it a joint account with your <partner/spouse>? Can I just check, do you have more than one account in your or your <your partner's / spouse's name>?

MULTICODE OK PLEASE PROBE WHETHER RESPONDENT HAS MORE THAN ONE ACCOUNT AND MULTICODE ANSWERS FOR ALL ACCOUNTS.

1. Own name only
2. Partner/spouse's name only
3. Joint Account
4. Don't know
5. Refused

IF S1A=2 OR 3, AND ON THE HOUSEHOLD'S MAIN CLAIMANT SCREENING DK IS GIVEN AT S4A ASK S4ADK. THEN ROUTE BENEFITS/TAX CREDITS AT BUDGE7 FROM S4ADK (MC & PARTNER)

SHOWCARD S2 (AGAIN)

ASK RESPONDENT TO TURN BACK TO THE SECOND SHOWCARD FOR THIS QUESTION

S4adk

NEW

Which, if any, of these benefits or tax credits are you currently claiming in your own name? Please don't include benefits or tax credits that someone else is claiming for you. Just read out the letters that apply on card S2.

CODE ALL THAT APPLY (SC ONLY FOR NONE OF THESE)

1. A Jobseeker's Allowance (JSA)
2. B Working Tax Credits
3. C Incapacity Benefit (IB)
4. D Employment and Support Allowance (ESA)
5. E Income Support (IS)
6. F Severe Disablement Allowance (SDA)
7. G Child Tax Credits
8. H Housing Benefit
9. I Council Tax
10. J Carers' Allowance
11. K Disability Living Allowance
12. None of these

ASK ALL WHO CURRENTLY CLAIM BENEFITS/TAX CREDITS AT (SCREENER) AND (HAVE PARTNER ACCOUNT OR JOINT ACCOUNT, BUDGE6=2 OR 3) (MC & PARTNER)

BUDGE7

NEW (REPEAT FOR EACH BENEFIT)

SHOWCARD N

You mentioned earlier that you are receiving <a number of benefits or tax credits/a benefit or tax credit>. Could you tell me into which account <each of these benefits or tax credits/ this benefit or tax credit> is paid?

Is <INSERT BENEFIT/TAX CREDITS> paid

SINGLE CODE ONLY

1. Account in my name only
2. Account in my partner/spouse's name only
3. Joint Account
4. None of these

DP: ALLOW DK/REF

ASK ALL (MC & PARTNER)

BUDGE8

NEW

If the Government were to pay all benefits and tax credits for the whole household into one account, would you find it easier or harder to budget, or would it make no difference at all?

SINGLE CODE ONLY

NOTE: IF RESPONDENT IS ALREADY HAVING ALL OF THEIR BENEFITS/TAX CREDITS PAID INTO ONE ACCOUNT, PLEASE SELECT CODE 4

1. Harder
2. Easier
3. No difference
4. All benefits/tax credits already being paid into one account

DP: ALLOW DK/REF

ASK ALL (MC & PARTNER)

BUDGE9

NEW

If the Government were to pay all benefits and tax credits as a single payment, would you find it easier or harder to budget, or would it make no difference at all?

SINGLE CODE ONLY

1. Harder
2. Easier
3. No difference

DP: ALLOW DK/REF

IF BUDGE8 = 1 OR BUDGE9=1 (MC & PARTNER)

BUDGE10

NEW

In what ways would it be harder for you to budget?

MULTICODE OK (NOT ON NONE/DK/REF). DO NOT READ OUT KEEP OPEN FOR COGNITIVE TESTING AND PILOT TO BUILD UP ANSWER LIST

1. I would have less control over how the payments are spent
2. I would need to rearrange when certain bills were due/paid
3. I would have to reorganise when I buy essentials
4. I would need to reorganise when my rent is paid
5. I would not be able to buy essentials throughout the month
6. I might run out of money before the end of the month
7. No change
8. Other (Specify)

DP: ALLOW DK/REF

ASK ALL (MC & PARTNER)

BUDGE11

NEW

If payments of benefits and tax credits are made monthly, would you find it easier or harder to budget, or would it make no difference at all?

SINGLE CODE ONLY

NOTE: IF RESPONDENT IS ALREADY HAVING ALL OF THEIR BENEFITS/TAX CREDITS PAID MONTHLY, PLEASE SELECT CODE 4

1. Harder
2. Easier
3. No difference
4. Tax credits/benefits already being paid monthly

DP: ALLOW DK/REF

IF BUDGE11 = 1 (MC & PARTNER)

BUDGE12

NEW

Why do you say it'd be harder for you to budget?

MULTICODE OK (NOT ON DK/REF). DO NOT READ OUT

1. I might run out of money before the end of the month
2. I might not have enough money for unexpected expenses
3. I would be tempted to spend the money immediately on things that are not essential
4. My partner would be tempted to spend the money immediately on things that are not essential
5. Other (Specify)

DP: ALLOW DK

ASK ALL WHO WILL FIND IT DIFFICULT, BUDGE8 OR BUDGE9 OR BUDGE 11 = CODE 1 (MC & PARTNER)

BUDGE13

NEW

What types of help or support would be most useful in helping you manage your budget? Anything else?

MULTICODE OK (NOT ON NONE/DK/REF). DO NOT READ OUT

1. Help with working out what money I have left to spend each day/week/month
2. Advice on how to **spread** my spending so I don't run out of money
3. Advice on how to reduce my spending
4. Advice on how to reduce my debt
5. Advice on how to increase my income
6. Help with setting up a direct debit/standing order
7. Help with setting up a budget tool (e.g. excel spreadsheet)
8. Help with opening a bank account
9. Other (specify)
10. Nothing

DP: ALLOW DK/REF

7	Childcare
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I would now like to find out what, if any, childcare you <and your partner/spouse> use.

ASK ALL (MC & PARTNER)

SHOWCARD O

CHILD1

BAWS - S6b

Firstly, which of these best describes your family situation? Please read out the letter that applies on card O.

MULTICODE OK

- 1) A Have children at home, at least one under 16
- 2) B Have children at home, all aged over 16
- 3) C Have children not living at home, at least one under 16
- 4) D Have children not living at home, all aged over 16
- 5) E Don't have children

DP: ALLOW DK/REF

DP: DO NOT ALLOW CODES 1&2 MULTICODED TOGETHER, NOR CODES 3&4 MULTICODED TOGETHER

IF CHILDREN UNDER 16 AT HOME (CHILD 1 CODE 2) (MC only)

CHILD 2A

NEW

How many children under 16 years do you have living at home?

ENTER NUMBER: _____

DP: NO DK/REF

DP: SOFT CHECK ON >10

ASK FOR EACH CHILD UNDER 16 AT CHILD 2A (MC only)

CHILD 2B

NEW

How old is your <child/are your children>?

ENTER NUMBER: _____

MAX. AGE 15

DP: NO DK/REF

ASK IF HAVE CHILDREN UNDER 16 YEARS AT HOME OR ELSEWHERE (CHILD 1 = 1 OR 3) (MC only)

CHILD3

TCCC - Nintro

SHOWCARD P

This question is about childcare that you may use to look after your child[ren]. By 'childcare' I mean care carried out by anyone other than yourself <or your partner/spouse>. This does not include time when your child<ren> <is/are> at school during school hours but it does include both formal and informal childcare arrangements like the ones on this card.

Looking at card P do you use any of these types of childcare for <your child/any of your children/ your children>? Just read out the letter or letters that apply.

INTERVIEWER: ALLOW THE RESPONDENT TIME TO READ THROUGH THE WHOLE CARD BEFORE ANSWERING

MULTICODE OK

- 1 A Nursery school, nursery class or reception class
- 2 B Special day school or nursery or unit for children with special educational needs
- 3 C Day nursery
- 4 D Playgroup or pre-school
- 5 E Childminder
- 6 F Nanny or au pair
- 7 G Baby-sitter who came to home
- 8 H Breakfast club or After school club/ activities
- 9 I Holiday club/scheme
- 10 J My ex-husband/wife/partner (the child's other parent who does not live in this household)
- 11 K The child's grandparent(s)
- 12 L The child's older brother/sister
- 13 M Another relative
- 14 N A friend or neighbour
- 15 O Other nursery education provider (Please describe)
- 16 P Other childcare provider (Please describe)
- 17 No, cared for by respondent (or respondent and partner)

DP: ALLOW DK/REF

ASK IF HAVE CHILDREN UNDER 16 YEARS AND NOT WORKING FULL-TIME (CHILD 1 = 1 OR 3) AND JOB1≠4 (MC & PARTNER)

CHILD4

NEW

To what extent would you say the lack of good quality, affordable childcare makes it difficult for you to <IF JOB 1 =1,2, 5, 6, 7, 8, 9 get back into work>/< IF JOB1=3 work more hours>?

READ OUT. SINGLE CODE ONLY.

DP: REVERSE CODES.

1. To a large extent
2. To some extent
3. To a small extent
4. Not at all

DP: ALLOW DK/REF

8	Contact Channel
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I would now like to ask you some questions about your use of different communications to enable the government to plan services.

ASK ALL (MC only)

CONCHAN1

CIS - Q33

Do you use the Internet? If yes, how often do you use the Internet? DO NOT READ OUT.
PROMPT TO CODE. SINGLE CODE ONLY

1. Every day
2. 2-3 times a week
3. Once a week
4. 2-3 times a month
5. Once a month
6. Less often
7. Don't use internet at all

DP: ALLOW DK/REF

ASK ALL WHO USE THE INTERNET, CONCHAN1 CODE 1,2,3,4,5, OR 6 (MC only)

CONCHAN2

ONS - M309_18M

SHOWCARD Q

Which of these places have you used to access the Internet? Please read out the letters that apply on card Q.

MULTICODE OK

INTERVIEWER NOTE: IF RESPONDENT REPORTS THAT HE/SHE USES A MOBILE PHONE, OR A LAPTOP IN PLACES NOT LISTED, OR A UK ONLINE CENTRE CODE AS 'SOMEWHERE ELSE' (11). FOR MOBILE DEVICES LIKE THESE ANSWERS HOME, WORKPLACE OR SCHOOL SHOULD ONLY BE USED IF IT IS NOT THE RESPONDENT'S WORKPLACE.

1. A My own home
2. B Another person's home
3. C My workplace
4. D A school
5. E A college, university or other educational or training institution
6. F A public library
7. G A government office
8. H An Internet cafe or shop
9. I A community or voluntary organisation
10. J A post office
11. K Somewhere else

DP: ALLOW DK/REF

ASK ALL WHO GAVE MORE THAN ONE ANSWER TO CONCHAN2 (MC only)

conchan2a

NEW

And which one of these places do you use most often to access the internet?

READ OUT SINGLE CODE ONLY

DP: LIST ALL ANSWERS GIVE AT CONCHAN2

ASK ALL (MC only)

conchan3

ASD - B.5

Do you have a Broadband connection at home, even if you don't personally use it?

SINGLE CODE ONLY

1. Yes
2. No

DP: ALLOW DK/REF

ASK ALL (MC only)

CONCHAN4A-G

ASD – B1

SHOWCARD R

I would like you to think about different ways that people can do things nowadays. For each one, I would like you to tell me which of the categories on card R best describes you.

READ OUT TO PEOPLE WHO DO NOT USE THE INTERNET: Not all of the things listed on this card are relevant to you. Just read out the ones that best apply to you.

SINGLE CODE ONLY FOR EACH STATEMENT

1. A I already do this
2. B I have done this but would like to do it more
3. C I have done this but am not interested in doing it again
4. D I have never done this but would like to do it
5. E I have never done this and am not interested in doing it
6. F This doesn't apply to me/I never use this service

DP: ALLOW DK/REF

STATEMENTS ROTATED

CONCHAN4A Communicate with friends or family through social network sites like Twitter, Facebook or Bebo

CONCHAN4B Internet or online shopping (for example, grocery shopping, travel tickets)

CONCHAN4C Use a self-service till in a supermarket or shop

CONCHAN4D Use online banking

CONCHAN4E Find out about government services online (e.g. which benefits you might be entitled to)

CONCHAN4F Put in a new claim for any benefits online

CONCHAN4G Search for a new job online

ASK ALL (MC only)

CONCHAN9

New – INTACUUC

The Government is planning to simplify benefits and tax credits into a new service to help people back into work and provide a single payment for all working age benefits and tax credits. The main way in which people will use the new service will be online.

Would you be willing to make an application for a benefit or Tax Credit Online?

SINGLE CODE ONLY

1. Yes
2. No

DP: ALLOW DK/REF

ASK ALL WHO WOULD NOT BE WILLING TO MAKE AN APPLCIATION ONLINE (CONCHAN9=2 OR DK)
(MC only)

CONCHAN8A AND B

NEW (answer scale from ASD B7)

CONCHAN8A Why would you be unwilling to make an application for a benefit or Tax Credits online?
MULTICODE OK.

ASK IF MULTICODE – DP: PLEASE DERIVE ‘MAINCONCHAN’ (BASE ALL) = CONCHAN8A + CONCHAN8B

CONCHAN8B And which one is the main reason? SINGLE CODE ONLY.

INTERVIEWER: PROBE TO PRECODES

1. Cost of buying own computer
2. Cost of internet access at home
3. Cost of internet access at locations outside of home (e.g. internet café)
4. No suitable place for me to access the internet
5. Broadband speed locally/too slow or not available
6. Lack of skills/don't know how to use it
7. Don't know how to install the internet at home
8. Concerned about privacy or security
9. Need aids/equipment to use it
10. Disability/ill-health
11. Have difficulties reading/writing
12. Worried I'd make a mistake/provide incorrect information
13. Employer/someone else restricts use of internet
14. Friends/family do this for me
15. Just not interested/wouldn't use it
16. Already use the internet enough
17. Other (specify)
18. No reason [SINGLECODE]

DP: ALLOW DK/REF

ASK ALL (MC only)

CONCHAN5

NEW

Would you need help or support to use the benefits and tax service online?

SINGLE CODE ONLY

1. Yes
2. No

DP: ALLOW DK/REF

ASK ALL WHO NEED HELP/SUPPORT (CONCHAN5=1 OR DK) (MC only)

CONCHAN6

NEW

SHOWCARD S (R)

Which of the following support, if any, would help you to use the service online? Please read out the letters that apply on card S. Anything else?

MULTICODE OK.

1. A A telephone helpline to answer queries if you get stuck online
2. B A telephone helpline to talk you through the application online
3. C Online help where you can look up the answers to queries
4. D Free use of a computer at a Jobcentre Plus office where you have the option to ask an adviser for help
5. E Free use of a computer at a local advice centre where you have the option to ask an adviser for help
6. F A group training session to learn how to use the new service online
7. None

DP: ALLOW DK/REF

ASK ALL (MC only)

CONCHAN7A-E

NEW

Now, I am going to read out a number of different situations. For each situation, can you tell me whether you would prefer to make your application for benefits/Tax Credits online or by telephone?

INTERVIEWER NOTE: PLEASE REMIND RESPONDENTS TO THINK ABOUT EACH SITUATION INDEPENDENTLY OF EACH OTHER.

SINGLE CODE ONLY FOR EACH STATEMENT

RANDOMISE SITUATIONS A-E

1. **Online**
2. **Telephone**

DP: ALLOW DK/REF

CONCHAN7A: Calls to the telephone application line cost 10 pence per minute.

CONCHAN7B: Calls to the telephone application line cost 25 pence per minute.

CONCHAN7C: Calls to the telephone application line cost 50 pence per minute.

CONCHAN7D: There is a waiting time of at least 5 minutes to speak to an adviser on the phone.

CONCHAN7E: There is a waiting time of at least 10 minutes to speak to an adviser on the phone.

Demographics

We are nearing the end of the interview. I would like to finish with some questions about you and your household. This information will enable us to see how services need to be tailored for different groups of people.

INTERVIEWER CODE (DO NOT ASK): (MC & PARTNER)

GENDER

1. Male
2. Female

ASK ALL (MC, PARTNER, PROXY)

AGE1

How old were you at your last birthday?

ENTER ACTUAL NUMBER. RANGE 16-100. SOFT CHECK IF >75 YEARS.

DP: ALLOW DK/REF

IF AGE1 = DK/REF (MC, PARTNER, PROXY)

AGE2

SHOWCARD T

In that case could you please tell me which of the following age groups applies to you? Just read out the letter that applies on card T.

SINGLE CODE ONLY

1. A 16 – 17
2. B 18 – 24
3. C 25 – 29
4. D 30 – 34
5. F 35 – 39
6. G 40 – 44
7. H 45 – 49
8. I 50 – 54
9. J 55 – 59
10. K 60 – 64
11. L 65 or over

DP: ALLOW DK/REF

DP: PLEASE CREATE VARIABLE WHICH MERGES ANSWERS FROM AGE1 AND AGE 2

ASK ALL (MC, PARTNER, PROXY)

QUALI

BAWS - D2

SHOWCARD U

Which, if any, is the highest educational or professional qualification you have obtained? Please read out the letter that applies on card U.

SINGLE CODE ONLY

1. A Skills for Life /Entry level (IT/Reading/Maths)
2. B GCSE/O-level/CSE (Grades D-G)
3. C GCSE/O-level/CSE (Grades A*-C)
4. D Vocational qualification (=NVQ1+2)
5. E A level or equivalent (=NVQ3)
6. F HND/HNC or equivalent)
7. G Bachelor Degree or equivalent (=NVQ4)
8. H Masters/PhD or equivalent
9. I Professional qualification
10. J Other qualification
11. K No formal qualifications

DP: ALLOW DK/REF

ASK ALL (MC, PARTNER, PROXY)

HEALTH1

FRS – Health ADAPTED (ODI)

Do you have any long standing illness, disability or infirmity? By ‘long-standing’ I mean anything that has troubled you over a period of at least 12 months or that is likely to affect you over a period of at least 12 months.

INTERVIEWER: THIS IS A QUESTION OF OPINION.

SINGLE CODE ONLY

1. Yes, physical illness or disability
2. Yes, mental illness or disability
3. Yes, both physical and mental illness/disability
4. No

DP: ALLOW DK/REF

ASK IF HEALTH 1 CODE 1 OR 2 OR 3 (MC, PARTNER, PROXY)

HEALTH2

FRS – Hprob

Does this physical or mental illness or disability limit your activities in any way?

SINGLE CODE ONLY

1. Yes
2. No

DP: ALLOW DK/REF

ASK ALL (MC, PARTNER, PROXY)

ETHNIC

FRS - EthGrp

SHOW CARD V

To which of these ethnic groups do you belong? Please read out the letter that applies on card W.

THIS IS A QUESTION OF RESPONDENT’S (OR PROXY’S) OPINION. SINGLE CODE ONLY

1. A White – British
2. B White – Irish
3. C Any other white background (please describe)
4. D Mixed – White and Black Caribbean
5. E Mixed – White and Black African
6. F Mixed – White and Asian
7. G Any other mixed background (please describe)
8. H Asian or Asian British – Indian
9. I Asian or Asian British – Pakistani
10. J Asian or Asian British – Bangladeshi
11. K Any other Asian/Asian British background (please describe)
12. L Black or Black British – Caribbean
13. M Black or Black British – African
14. N Any other Black/Black British background (please describe)
15. O Chinese
16. Any other (please describe)

DP: ALLOW DK/REF

ASK ALL (MC only)

TENURE

FRS - Tenure

SHOW CARD W

In which of these ways do you occupy this accommodation? Please just read out the letter that applies on card X.

SINGLE CODE ONLY

1. A Own it outright
2. B Buying it with the help of a mortgage or loan
3. C Pay part rent and part mortgage (shared ownership)
4. D Rent it from the Council
5. E Rent it from a Housing Association
6. F Rent from Registered Social Landlord
7. G Rent it from a private landlord
8. H Live here rent free (including in a relative's/friend's property; excluding squatting)
9. I Squatting

DP: ALLOW DK/REF

SOFT CHECK IF TENURE = 8 (LIVING HERE RENT FREE)

Can I just check do you live rent free because you receive 100% housing benefit?

PLEASE CHECK THEIR RENT/MORTGAGE IS NOT PAID BY BENEFITS. ONLY ACCOMMODATION PROVIDED BY SOMEONE ELSE (EMPLOYER, RELATIVE, ETC) IS 'RENT-FREE'.

INTERVIEWER: IF YES recode Tenure to Code 4 OR 5 OR 6 OR 7 (Rent it).

ASK ALL LIVING IN HOUSEHOLDS IN RECEIPT OF HOUSING BENEFIT (FILTER ON SCREENER) (MC only)
RENT

NEW

You mentioned that your household receives Housing Benefit. Is your housing benefit paid directly to your household, or directly to your landlord? SINGLE CODE ONLY

1. Directly to household
2. Directly to landlord

DP: ALLOW DK/REF

ASK ALL MAIN AND HAVE PARTNER OR SPOUSE (FILTER ON SCREENER) (MC only)

LENGTH

NEW

How long have you been living with your <partner/spouse>?

SINGLE CODE ONLY

1. Under 1 year
2. 1 to 3 years
3. 4 to 5 years
4. 6 to 10 years
5. Over 10 years

DP: ALLOW DK/REF

ASK ALL (MC only)

INCOME

TCCC - WIncTot

SHOW CARD X

Thinking of the income of the household as a whole, which of the groups on this card represents the total income of the whole household before deductions for income tax, National Insurance etc. Please read the letter that applies from card X.

SINGLE CODE ONLY

	Weekly	Monthly	Annual
A	Up to £49	Up to £216	Up to £2,599
B	£50 up to £99	£217 up to £432	£2,600 up to £5,199
C	£100 up to £199	£433 up to £866	£5,200 up to £10,399
D	£200 up to £299	£867 up to £1,299	£10,400 up to £15,599
E	£300 up to £399	£1,300 up to £1,732	£15,600 up to £20,799
F	£400 up to £499	£1,733 up to £2,166	£20,800 up to £25,999
G	£500 up to £599	£2,167 up to £2,599	£26,000 up to £31,199
H	£600 up to £699	£2,600 up to £3,032	£31,200 up to £36,399
I	£700 up to £769	£3,033 up to £3,332	£36,400 up to £39,999
J	£770 up to £799	£3,333 up to £3,466	£40,000 up to £41,599
K	£800 up to £899	£3,467 up to £3,899	£41,600 up to £46,799
L	£900 up to £999	£3,900 up to £4,332	£46,800 up to £51,999
M	£1,000 or more	£4,333 or more	£52,000 or more

DP: ALLOW DK/REF

ASK ALL (MC & PARTNER)

RECONTACT

NEW

The Department for Work and Pensions may want to do further research in the future about the issues we have discussed today. Would you be happy for the Department or their appointed contractor to contact you again as part of this research in six to 12 months' time?

Yes

No

DP: NO DK/REF

READ OUT

Thank you for participating in this survey. The Department for Work and Pensions (DWP) would like to add information held on your benefits, employment and/or tax records to the answers you have provided us with during this interview. This will give them a better picture of how you and people like you would be likely to be affected by proposed changes to the benefits and tax credit systems.

If you agree, we will pass your name, address, sex, date of birth and the answers you gave to Ipsos MORI during this interview to DWP. DWP will combine this with information already held on you by DWP and HMRC Tax Credits Office. After linking, your name will not be held with the information. All of this information will be used by DWP for their own internal research and statistical purposes only. Your personal details will be kept completely confidential by DWP. Your dealings with DWP and HMRC will not be affected in any way now or in the future as a result of Ipsos MORI passing over the results to DWP to undertake this further analysis.

ASK ALL (MC & PARTNER)

datlin1

Would it be okay to pass your name, address, sex and date of birth and answers to the questions you were asked as part of this survey to DWP?

Yes

No

DP: NO DK/REF

INTERVIEWER: IF RESPONDENT SAID YES ENSURE THEY SIGN THE CONSENT FORM. ENSURE YOU LEAVE A COPY OF THE CONSENT FORM WITH THE RESPONDENT

ASK ALL (MC & PARTNER)

datlin2

Can you confirm that you have heard and understood the information given to you explaining this survey and how your data will be used?

Yes

No

DP: NO DK/REF

WORDING FOR PAPER CONSENT FORM

Thank you for participating in this survey. The Department for Work and Pensions (DWP) would like to add information held on your benefits, employment and/or tax records to the answers you have provided us with during this interview. This will give them a better picture of how you and people like you would be likely to be affected by proposed changes to the benefits and tax credit systems.

If you agree, we will pass your name, address, sex, date of birth and the answers you gave to Ipsos MORI during this interview to DWP. DWP will combine this with information already held on you by DWP and HMRC Tax Credits Office. After linking, your name will not be held with the information.

All of this information will be used by DWP for their own internal research and statistical purposes only. Your personal details will be kept completely confidential by DWP. Your dealings with DWP and HMRC will not be affected in any way now or in the future as a result of Ipsos MORI passing over the results to DWP to undertake this further analysis.

I confirm that I consent to pass my name, address, sex and date of birth and answers to the questions I answered as part of this survey to DWP. I understand that this will not affect any claims for benefits now or in the future.

SIGNED:

NAME (CAPITAL LETTERS)

DATE

Appendix C

Advance letters

C.1 Advance letter – DWP sample

Ref No.: RFXXXXX

[Date]

Dear [Customer Name],

Tell us your views and experiences

You may have heard that the Government is planning to make big changes to the benefits and tax credits systems. This does not affect you now and no changes will be made until 2013 or later.

We are writing to ask for your help with a research study to feed into the design of the new system which will be administered by the Department for Work and Pensions (DWP). Your name has been selected at random from people claiming benefits now or who have claimed them in the past.

Any benefits you may receive will not be affected in any way by taking part in this research, either now or in the future.

This research is being conducted on behalf of the Department for Work and Pensions by Ipsos MORI, an independent research organisation. It will not be possible to identify you from your answers to the research and any information you provide:

- Will be held in strict confidence.
- Will be handled securely throughout the study.

If you have any questions about the research or if you do not wish to take part, please contact Ipsos MORI on 0808 238 5404 or via email Benefitssurvey@ipsos.com. Please quote the reference number at the top of this letter. Or you can just let the researcher know when they visit you.

We hope that you will take this opportunity to help shape the design of the new system.

Yours sincerely

Lucy Lowton
Project Manager
Department for Work and Pensions

Kirstin Couper
Project Manager
Ipsos MORI

C.2 Advance letter – HMRC sample

Ref No.: RFXXXXX

[Date]

Dear [Customer Name],

Tell us your views and experiences

You may have heard that the Government is planning to make big changes to the benefits and tax credits systems. This does not affect you now and no changes will be made until 2013 or later.

We are writing to ask for your help with a research study to feed into the design of the new system which will be administered by the Department for Work and Pensions (DWP). Your name has been selected at random from HM Revenue & Customs (HMRC) records of people claiming tax credits now or who have claimed them in the past.

Any benefits or tax credits you may receive will not be affected in any way by taking part in this research, either now or in the future.

This research is being conducted on behalf of the Department for Work and Pensions by Ipsos MORI, an independent research organisation. It will not be possible to identify you from your answers to the research and any information you provide:

- Will be held in strict confidence.
- Will be handled securely throughout the study.

If you have any questions about the research or if you do not wish to take part, please contact Ipsos MORI on 0808 238 5404 or via email Taxcreditsurvey@ipsos.com. Please quote the reference number at the top of this letter. Or you can just let the researcher know when they visit you.

We hope that you will take this opportunity to help shape the design of the new system.

Yours sincerely

Lucy Lowton
Project Manager
DWP Department for Work and Pensions

Kirstin Couper
Project Manager
Ipsos MORI

C.3 Data linking consent form

Consent for data linkage

Thank you for participating in this survey. The Department for Work and Pensions (DWP) would like to add information held on your benefits, employment and/or tax records to the answers you have provided us with during this interview. This will give them a better picture of how you and people like you would be likely to be affected by proposed changes to the benefits and tax credit systems.

If you agree, we will pass your name, address, sex, date of birth and the answers you gave to Ipsos MORI during this interview to DWP. DWP will combine this with information already held on you by DWP and HMRC Tax Credits Office. After linking, your name will not be held with the information.

All of this information will be used by DWP for their own internal research and statistical purposes only. Your personal details will be kept completely confidential by DWP. Your dealings with DWP and HMRC will not be affected in any way now or in the future as a result of Ipsos MORI passing over the results to DWP to undertake this further analysis.

Please ask the interviewer about anything that concerns you, or you can call Steven Ginnis or Kirstin Couper for more information on the Freephone number 0808 238 5404.

I confirm that I consent to pass my name, address, sex and date of birth and answers to the questions I answered as part of this survey to DWP. I understand that this will not affect any claims for benefits now or in the future.

SIGNED:

NAME (CAPITAL LETTERS)

DATE

This report provides the technical and methodological details for the quantitative survey of benefits and tax credits recipients carried out in 2011. As well as the background to the survey, the report covers sample design, questionnaire development, fieldwork materials, response rates, the weighting strategy, and data analysis.

In total 5,531 individuals in 4,315 households took part in the survey (this includes 1,216 partner interviews). The sample was randomly selected from the Department for Work and Pensions (DWP) and HM Revenue & Customs (HMRC) claimant databases and covered Great Britain. The main aim of this research was to gather information to gain a better understanding of individuals who are likely to be eligible for Universal Credit according to their attitudes towards work.

If you would like to know more about DWP research, please contact:
Carol Beattie, Central Analysis Division, Department for Work and Pensions,
Upper Ground Floor, Steel City House, West Street, Sheffield, S1 2GQ.
<http://research.dwp.gov.uk/asd/asd5/rrs-index.asp>

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