

FAMILY RESOURCES SURVEY

Annual Technical Report: 2001/2002

**Prepared for the
Department for Work and Pensions**

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1 Overview

1.1 Purpose of Technical Report

The purpose of the FRS Technical Report is to cover the survey process from sample design to delivery of data to the Department for Work and Pensions (DWP). Included is information about the Consortium, questionnaire development, sample design and coverage, fieldwork, response and the collection of data, the quality assurance process and data delivery. Excluded is the data conversion, pre-imputation cleaning, imputation and benefit validation conducted by DWP and detailed in their annual Report (published on the web at www.dwp.gov.uk/asd/frs).

1.2 Background and history

The Family Resources Survey (FRS) was launched in October 1992 to meet the specific information requirement of the Department for Work and Pensions (DWP), then the Department of Social Security (DSS). After a six month lead-in the survey has been running continuously since April 1993. This report details the Survey year from April 2001 to the end of March 2002.

Prior to the conception of the FRS, the Department had relied upon other government social surveys, notably the Family Expenditure Survey and the General Household Survey for their information. However, as these surveys had relatively small sample sizes and did not provide sufficient information on many groups in society of particular interest to the Department, it became apparent that a unique survey was required.

The FRS was therefore established to provide facts and figures about living standards in Great Britain and to examine people's relationship, and interaction, with the social security system. Although the survey was designed with DWP's needs in mind, it also collected information which was expected to be of interest to other government departments and agencies, as well as external researchers. Although some of this information is available elsewhere, the FRS provides more detailed information in a number of areas and gathers certain topics together on one survey. Additionally, the large sample size of the FRS sample allows users more confidence in the analyses of smaller sub groups, for example regional breakdowns or recipients of certain benefits.

The Survey data are deposited at ESRC Data Archive, University of Essex and are made available directly to other government departments. These include the Inland Revenue, HM Treasury, and Department for the Environment, Food and Rural Affairs (formerly Department of the Environment, Transport and the Regions), as well as the Office for National Statistics.

The questionnaire, which forms the basis of the survey, is designed to allow core data to be collected on an annual basis and permit trends to be monitored and analysed by users. The FRS also has the capacity to incorporate questions to measure the success and impact of new initiatives

upon the population, but is naturally restricted in the total number of questions it can accommodate without excessive respondent burden.

FRS data are incorporated into the Department for Work and Pensions' Policy Simulation Model which is used extensively by DWP economists for policy monitoring and analysis. In addition, FRS data play a vital role in the analysis of patterns of benefits receipt for policy evaluation and benefit forecasting. FRS data are also used in figures for take-up of income related benefits and are additionally being used to produce analyses of incomes using Households Below Average Income (HBAI) and the Pensioner's Income Series. The data are also widely used by other departments concerned with tax and benefit issues.

1.3 Department for Work and Pensions (DWP)

Department for Work and Pensions (DWP), formerly the Department for Social Security (DSS), have been the government department responsible for the sponsorship of the FRS since its' conception in October 1992. DWP publish an annual report presenting FRS data on such subjects as household characteristics, income and state support receipt, tenure and housing costs, assets and savings, carers, occupation and employment, and details the work undertaken to ensure statistical accuracy. A copy of the current report, together with additional information on the FRS is available on DWP's website (www.dwp.gov.uk/asd/frs).

Examples of information presented in the 2000–01 FRS annual report published by the DWP

It is important for the DWP to understand how households are resourced.

- *64% of gross weekly household income was from wages and salaries.*
- *69% of households received at least one social security benefit.*
- *The benefits most frequently received by households were Retirement Pension (29%) and Child Benefit (28%) followed by Council Tax Benefit (21%).*
- *Most single parents received no maintenance from a former partner for dependent children (78%).*

It is important for predicting the state of the economy to know how much people are saving and the types of investments people choose to make.

- *The south of the country had the highest proportion of households with accounts (96%).*
- *Those in the 45 to 54 year age group had the highest proportion of accounts and assets held (94%) compared with other groups.*
- *28% of households in Great Britain had no savings at all. 15% had savings of £20,000 or more.*

The DWP are also interested in knowing such things as who in the community needs care and who is providing that care, for how long and at what cost to themselves?

- *Care was provided by 11% of adults in the sample.*
- *Over a third of carers lived in households where the main source of income was Social Security benefits.*

Other examples are: what proportion of people's income is spent on accommodation and how does this vary between private and public sector renting?

- *38% of households in the privately rented furnished sector had housing costs of £100 or more per week compared with 18% of households buying with a mortgage.*
- *55% of one adult households with children were social rented sector tenants.*
- *68% of households had housing costs of less than £60 per week.*

1.4 The Consortium

The consortium of Social Survey Division of the Office for National Statistics (ONS) and the National Centre for Social Research (NatCen) has been conducting the FRS since 1992. The consortium was successful each time the contract was retendered. The contract which started in April 2001, was awarded for a minimum of 3 years with a possible extension to a maximum of 5 years. This report details the first year of this new contract, covering the period from April 2001 to the end of March 2002.

1.4.1 Office for National Statistics (ONS)

ONS is the official government survey research organisation. It carries out major complex government surveys, all of which use computer-assisted interviewing (CAI). They include: continuous surveys, such as the Labour Force Survey, Expenditure and Food Survey, General Household Survey, International Passenger Survey, National Statistics Omnibus Survey, English House Conditions Survey; and many original research projects on matters of public policy.

1.4.2 National Centre for Social Research (NatCen)

The National Centre for Social Research is Britain's foremost independent survey research institute. It carries out a wide range of original research projects on issues of social policy. The majority of its work utilises CAI. In addition to the FRS it carries out a number of other continuous or serial surveys, including the Health Survey for England, the Survey of English Housing, the National Travel Survey, the British Social Attitudes series and the British Election surveys.

1.5 General summary of Survey process

1.5.1 In consortium

The work is divided evenly between ONS and NatCen. NatCen are primarily responsible for the questionnaire program development whilst ONS are responsible for reformatting and delivering the data to DWP. ONS also draw the initial sample. Fieldwork and editing are split equally between the organisations.

1.5.2 Planning

On 9 November 2000 a meeting was called of the Information Priorities Group (IPG) where requests for questions to be added to the FRS interview were considered and decisions taken on whether questions were no longer required. Feedback from the annual report completed by interviewers was also taken into account. The FRS questionnaire was then redesigned and programmed in Blaise¹ for the start of fieldwork in April 2001.

1.5.3 Sample selection

The FRS sample was drawn in 2001 from the small users Postcode Address File (PAF) as a stratified, clustered, probability sample of addresses which, for the first time, included the Scottish Highlands (north of the Caledonian Canal) and Islands. The 2001–02 set sample size was 42,567 addresses. The addresses selected from the PAF were allocated into monthly interviewer assignments in such a way that each quarter's sample was nationally representative. An interviewer assignment contained 25 addresses.

1.5.4 The interview

In advance of the interviewer's first call a letter was sent to each sampled address to introduce the survey and explain that an interviewer would call shortly.²

The FRS field period allocation month ran from the beginning to the end of each calendar month. The interviewer usually made contact with the selected households at the start of the calendar month and aimed to have transmitted all of the allocation of work by the end of the same month.

Data were collected by face-to-face interviewing using CAI in the form known as computer assisted personal interviewing (CAPI). In 2001–02 the average

¹ Blaise is the CAI software used by ONS and NatCen; it is the de facto international standard for official statistics. Blaise is produced by Statistics Netherlands.

² See Appendices 1, 2 and 3.

interview length was 1 hour 14 minutes.³

Before transmitting data interviewers checked through their work, completed their administration and calls tables, entered any information on non-responding households and reasons for non-contact or refusal details. ONS interviewers also coded any occupation and industry data. Data were transmitted back to head office weekly or more frequently.

Throughout the field period HQ staff monitored the progress of interviewers' work and answered coding and technical queries.

1.5.5 Data transmission and editing

Once transmitted the data were organised for editing by HQ and, at NatCen, freelance editing staff. Editing was mostly based on specific edit checks and any notes made by interviewers, including when a warning was suppressed. Clerical imputation was carried out where appropriate. NatCen editors also coded occupation and industry data.

1.5.6 Response

Only households classed as 'fully co-operating'⁴ were included in response calculations. In 2001–02 the FRS achieved a response rate of 66% for Great Britain.

1.5.7 Data reformatting and delivery

Once processed, the data were reformatted in SAS readable format, to the requirements of DWP. In total, 25 tables of fully co-operating data were produced for delivery.

Tables delivered:

Accounts	Admin	Adult
Assets	Benefits	Benunit
Care	Child	DSSPay
Endowmnt	Extchild	Househol
Insuranc	Job	Maint
Mortcont	Mortgage	Oddjob
Owner	Penamt	PenProv
Pension	Rentcont	Renter
Vehicle		

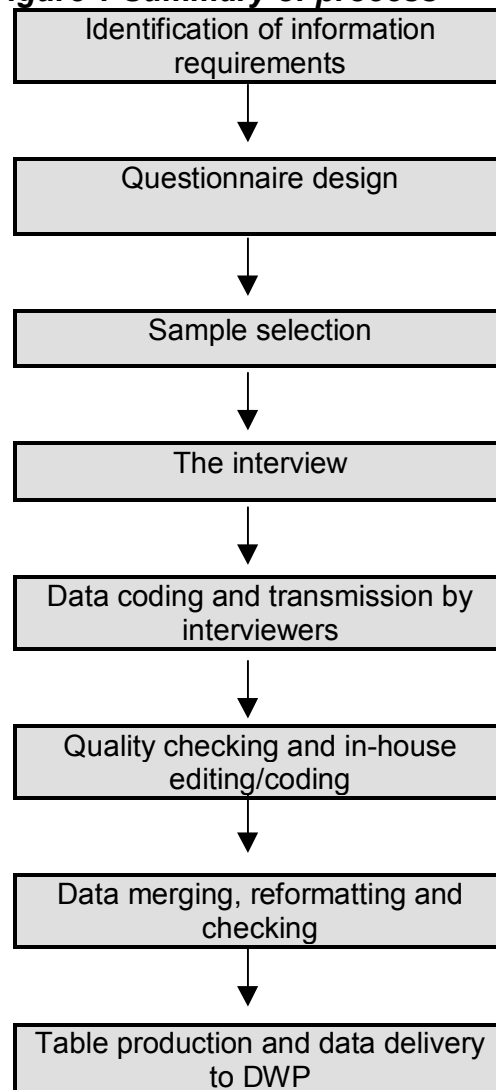
³ Information on average interview duration based on half of the fully co-operating cases.

⁴ 'Fully co-operating' where the interviewer has obtained a full interview either in person or by proxy with every eligible member of the household.

1.5.8 Summary of Survey Process

A summary of the survey process is detailed below in Figure 1.

Figure 1 Summary of process



1.6 Program structure

The program is split into 5 sections; the household unit, benefit units, assets, admin and recall block. The questions in the admin and the recall sections are used for administrative purposes and are not detailed below.

Within each section, the program is split into blocks which focus upon specific subjects. The table overleaf details the structure of the FRS program.

Table 1.1 Program structure

Section	Block	Subject
Household	QNames HHG QHholder	<i>Starting the questionnaire</i> Household members Household Grid Householder, Household Reference Person and Highest Income Householder
	QEthnic QAccomDat QRenting QOwner QInsur QCounTax QAccomCharge QWaterSew QLodger QSharer QProperty QPolicies QModcons QTVehic QWelfare QChCare QCare	Ethnic origins Benefit Unit allocation Tenure and address Information Details of rented accommodation Owned accommodation and mortgage details Household insurance policies Council Tax Property charges Water and sewerage Rent within conventional households Rent within shared households Income from subletting Insurance policies Household durables Vehicle ownership and use Use of NHS services, free prescriptions, welfare milk and school milk and meals Childcare Help given and received <i>End of household schedule</i>
Benefit Units	QHealth QEduc/QChEduc QNHHCh QCurst QJobDes QEmpJob QSelfJob QTaxCredit QTravel QPens QBenefit QOIncA QOIncB QChinc QAdint QChint	Health and ability to work Education, grants and loans Children outside the household Employment status Details of employment Employee pay details Self-employed earnings Tax Credit Travel to work Pension schemes State and other benefits and pensions Income from pensions, trusts, royalties Maintenance, allowances, other income Children's income Adult's savings and investments Children's savings and investments Total assets/Change in income <i>End of Benefit Unit schedule</i>
Assets		Liquid assets

1.7 Units of analysis

The main units of analysis on the FRS are households, benefit units and individuals. In 2001–02 the FRS collected information on 25,320 fully co-operating households, 30,037 benefit units and 59,502 adults and children i.e. 44,737 adults and 14,765 children. Thus on average, these households consisted of 1.19 benefit units and 2.35 adults and children.

The definition of a **household** was 'a single person or group of people living at the same address who either share one meal a day or shared the living accommodation', eg a kitchen or living room.

A household may have consisted of one or more benefit units. A '**benefit unit**' is a standard DWP term that relates to a tighter family definition of a 'single adult or couple living as married and any dependent children'. A '**dependent child**' is aged under 16 or under 19 if still in full time further (not higher) education. In line with DWP entitlement rules, same sex couples are assigned to separate benefit units from each other.

1.8 Data Archive

FRS data are deposited at the ESRC Data Archive, University of Essex and, at the same time, are made available to other government departments. An announcement is made that FRS data are available in a DWP press release.

1.9 Follow-up studies published to date

- a) *FRS elderly follow-up survey of entitled non-recipients, mid-March 1998 to end-April 1998*. Benefit Units consisting of at least one adult aged 60 or over at the time of the original FRS interview who were not claiming income support to which they were entitled. The aim of the survey was to establish why these individuals were not claiming benefits to which they were entitled. Conducted jointly by ONS and NatCen on behalf of DSS.
- b) *Lifestyle and needs of visually impaired adults*. 3 components; household survey of visually impaired adults, survey of visually impaired adults in residential and nursing homes and an ethnic boost. Fieldwork ongoing – carried out by ONS on behalf of the Royal National Institute for the Blind.
- c) *Disability Survey, July 1996 to March 1997*. Adults taking part in the FRS were chosen, if eligible, for a disability questionnaire. Conducted jointly by ONS and NatCen on behalf of the DSS.
- d) *Managing Money in Later Life*. Fifty-two interviews with pensioners living independently in the community were carried out in the summer and autumn of 1994 to explore how people over state pension age, and with assets of not more than about £20,000 manage their money. This report looks at the broad range of factors influencing financial plans and decisions in retirement, including personal circumstances and attitudes towards debt, leaving an inheritance, maintaining independence, claims for state benefits, and use of assets such as house equity.
- e) *Minimal Income Households: Circumstances and Strategies*. Full findings of research with households on very low, or minimal incomes. A summary of findings was published in 1997 in Households Below Average Income (HBAI). Analysis of HBAI had revealed substantial numbers of households with low or negative incomes. However, for some of these households examination of their expenditure and other indicators of living standards suggested that their incomes did not equate with their actual living standards. This research was commissioned to investigate periods of low income and living standards in more detail. The research consisted of 17

in-depth interviews and a follow-up survey of 165 households with minimal incomes. These were identified from 1994–95 Family Resources Survey as having less than £40 per week after housing costs. Findings from the qualitative interviews, and the surveys are presented in the HBAI report.

- f) *Quality of life, and social support among people from different ethnic groups, 2001*. Study carried out by the REU (Race Equality Unit) and NISW (National Institute for Social Work). The survey was funded by the Economic and Social Research Council as part of its Growing Older Programme. A sample of ethnic minority adults aged 55 or older was selected. The study aimed to examine the social and support networks available to ethnic minority older people using face to face interviews.

1.10 Reports and papers relating to the Family Resources Survey

Main findings

- a) DWP (May 2002) *Family Resources Survey, Great Britain 2000–01*. Internet release only. Available at www.dwp.gov.uk/asd/frs
- b) DWP (July 2001) *Family Resources Survey, Great Britain 1999–00*. Corporate Document Services.
- c) DSS (July 2000) *Family Resources Survey, Great Britain 1998–99*. Corporate Document Services.
- d) DSS (August 1999) *Family Resources Survey, Great Britain 1997–98*. Corporate Document Services.
- e) DSS (August 1998) *Family Resources Survey, Great Britain 1996–97*. Corporate Document Services.
- f) DSS (August 1997) *Family Resources Survey, Great Britain 1995–96*. HMSO: London.
- g) DSS (July 1996) *Family Resources Survey, Great Britain 1994–95*. HMSO: London.
- h) DSS. (November 1994)⁵ *Family Resources Survey, Great Britain 1993–94*.

Technical reports

- a) ONS and NatCen (December 2001) *Annual report on the survey year, April 2000 – March 2001*. HMSO: London.
- b) ONS and NatCen (December 2000) *Annual report on the seventh survey year, April 1999 – March 2000*. HMSO: London.
- c) ONS and NatCen (September 2000) *Annual report on the sixth survey year, April 1998 – March 1999*. HMSO: London.
- d) ONS and SCPR (May 1999) *Annual report on the fifth survey year, April 1997 – March 1998*. HMSO: London.
- e) ONS and SCPR (July 1997) *Annual report on the fourth survey year, April 1996 – March 1997*. HMSO: London.
- f) SCPR and ONS (July 1996) *Annual report on the third survey year, April 1995 – March 1996*.
- g) SCPR and ONS (July 1995) *Annual report on the second survey year, April 1994 – March 1995*.
- h) SCPR and ONS (July 1994) *Annual report on the first survey year, April 1993 – March 1994*.

⁵ Updated February 1995.

Question testing

- a) Mortimer, L. Farrant, G. Turner, R. Eldridge, J. and Doyle, N. (1997) *A review of Pensions Questions*, ONS/SCPR.
- b) *Rent, Housing Benefit, Council Tax Bands*, ONS/SCPR (August 1997).
- c) Low S and Foster K (April 1997) *Assessing the accuracy of information about Council Tax bands collected on the Family Expenditure Survey and the Family Resources Survey*, ONS, HMSO: London.
- d) Low, S. Dodd, T. Farrant, G. and Mackernan, A. (March 1997) *Family Resources Survey 1996, Motor Vehicle Use and Ownership*, ONS/SCPR.
- e) OPCS (September 1995). *Self-employed income study. Questions tested on the OPCS Omnibus Survey: Summary report*.

Non-response

- a) Thornby M. and Blake M (October 2002) *A description of non respondents to the Family Resources Survey 2000–01*, NatCen
- b) Roden J and Blake M (November 2001) *A description of non respondents to the Family Resources Survey 1999–00*, NatCen.
- c) Brown J and Millward C (August 2000) *A description of non respondents to the Family Resources Survey 1998–99*, NatCen.
- d) Doyle N and Farrant G (July 1999) *A description of non respondents to the Family Resources Survey 1997–98*, NatCen.
- e) Low S (July 1998) *Non-response and ACORN classifications on the Family Resources Survey 1995–1997*, ONS, HMSO: London.
- f) Wilmot A (March 1998) *Family Resources Survey – differential response rates*, ONS, HMSO: London.
- g) Gatenby R (January 1988) *FRS Non-response and ACORN classifications*, ONS, HMSO: London.

1.11 Reports and papers relating to Imputation

Imputation

- a) *DSS Imputation on the 1996–97 Family Resources Survey*.
- b) *DSS Imputation on the 1997–98 Family Resources Survey*.

Weighting and grossing

- a) Ray A (1996) *Grossing Up: An investigation of different methods applied to data from the Family Resources Survey*, DSS Analytical Notes Paper 5.

2 The Sample

2.1 Sample design and coverage

ONS was responsible for selecting the 2001–02 sample. The sample was drawn from the Postcode Address File (PAF) as a two stage⁶ probability sample of addresses.

The aim of the FRS is to cover the private household population of Great Britain. As mentioned earlier, the Scottish Highlands (north of the Caledonian Canal) and Islands were introduced into the survey for the first time in 2001–02.

2.2 The sampling frame

The Postcode Address File (PAF) is the best sampling frame to use for general population samples in Britain. The PAF is compiled by the Royal Mail as a list of all addresses, or rather delivery points, which receive mail and therefore has excellent coverage of the target population. By using only the *small user* delivery points, which receive fewer than fifty items of mail per day, most large institutions and businesses are excluded from the sample⁷. In addition some delivery points are flagged as small business addresses and are also excluded. Some small business and other ineligible addresses remain on the sampling frame and, if sampled, these are recorded as ineligible addresses by the interviewers once they have checked that no private household resides there.

The PAF extract used for drawing the sample is updated twice yearly. In addition to removing large user delivery points and flagged small businesses, some of the data on the PAF is edited when the extract is taken to improve the coverage and efficiency of the frame. This editing improves the identification of divided addresses and, in Scotland, addresses with multiple households.

ONS keeps a record of addresses sampled from its copy of the PAF. These *used addresses* cannot be sampled again for three years.⁸ Because they have been selected at random, this does not introduce selection bias. The benefit of this procedure is to reduce the burden of government surveys on the public.⁹

⁶ The FRS sample was clustered to allow cost savings in fieldwork which would otherwise make a simple random sample of the same size prohibitive. Clustering reduces the precision of survey estimates, but the use of efficient stratification will reduce the loss in precision as far as possible.

⁷ The characteristics of the PAF as a sampling frame are described in the paper ‘An evaluation of the PAF as a sampling frame and its use within ONS’ Wilson P and Elliot D, *The Journal of the Royal Statistical Society*, Series A (1987).

⁸ For addresses sampled for the Labour Force Survey, which revisits the address over the course of a year, the address remains on the used address file for four years.

⁹ NatCen addresses selected for FRS are also removed from the sampling frame for a period of three years.

2.3 The sample design

The FRS uses a two-stage random sample of addresses from the PAF. The 2001–02 sample was selected by taking:

- A stratified sample of 1,688 primary sampling units (PSUs) drawn with probability proportional to size. These PSUs are postcode sectors, or groups of small postcode sectors, each comprising on average about 2,900 delivery points.
- A systematic random sample of 25 addresses within those sampled PSUs. This sample is drawn from a list ordered by postcode.

The addresses drawn from each PSU constituted one interviewer's monthly assignment. The sampled PSUs were allocated systematically at random between ONS and NatCen, so that each organisation carried out 70 or 71 assignments of work per month.

The total set sample size in 2001–02 was 42,200 addresses. There are approximately 24 million addresses on the PAF extract, so each had approximately a one-in-600 chance of being included in the survey.

In addition to the address sampling a third stage of sampling is carried out in the field where appropriate. Interviewers will sample one or more households from those addresses containing more than one household (up to a maximum of four per sample point).

2.4 Sample stratification

Sample stratification improves the precision of survey estimates. In effect, this involves splitting the sorted sampling frame into strata and sampling each PSU independently from each stratum.

The stratification factors for the FRS were optimised in 1997, incorporating the Government Office Regions (GORs) which had recently been introduced and postcode sector-level data from the 1991 Census.¹⁰ They now comprise:

- a regional stratifier based on dividing Government Office Regions;
- the proportion of household heads in Socio Economic Group (SEG) 1–5 or 13;
- the proportion of economically active adults; and
- the proportion of men who are unemployed.

The regional stratifier classifies the PSUs into 27 regional strata (Table 2.1). England is divided into 19 strata, based on the old metropolitan or non-metropolitan county split within GOR, with London divided into four approximate quadrants. Wales was divided into two groups of Unitary Authorities: the more populous southern belt and the remainder. Finally Scotland was divided into six regions.

¹⁰ For a discussion of the approach to stratifying the FRS see Bruce S. 'Selecting stratifiers for the Family Resources Survey' *Survey Methodology Bulletin*, January 1993, OPCS.

Table 2.1 FRS Regional Strata

27 regions	FRS Regions
1	North East Metropolitan
2	North East Non-Metropolitan
3	North West Metropolitan
4	North West Non-Metropolitan
5	Merseyside
6	Yorkshire and Humberside Metropolitan
7	Yorkshire and Humberside Non-Metropolitan
8	East Midlands
9	West Midlands Metropolitan
10	West Midlands Non-Metropolitan
11	East Outer Metropolitan
12	Eastern other
13	London North East
14	London North West
15	London South East
16	London South West
17	South East Outer Metropolitan
18	South East Other
19	South West
20	Glamorgan and Gwent
21	Clwyd, Gwynedd, Dyfed and Powys
22	Highland, Grampian and Tayside
23	Fife, Central and Lothian
24	Glasgow
25	Strathclyde excluding Glasgow
26	Borders, Dumfries and Galloway
27	Scotland North of the Caledonian Canal and Islands

Within each of the regional strata, the PSUs were ranked using the Socio-Economic Group (SEG) measure and then divided into eight equal-sized bands. These eight bands were each sorted on the economic activity measure and further split into two bands within the original eight bands. Finally the sectors were ranked according to the male unemployment measure. Once the PSUs were ordered in this way a sample was drawn independently from each regional stratum using a form of systematic random sampling, leading to implicit stratification on the census-based measures.

2.5 Multi-household procedures

If there is more than one household or business receiving mail at an address an adjustment needs to be made. The Post Office attaches an indicator (the Multi Occupancy Indicator or MOI) to show this. The MOI is intended to indicate the number of 'letter boxes' at an address. A shop with a flat above may have an MOI of two. In general, an MOI of three or more indicates a multi-household address. However, methodological work conducted by ONS has shown that the indicator is only reliable in Scotland.¹¹ So in Scotland, addresses with an MOI of three or more were given a chance of selection

¹¹ 'Multi-household procedures for social survey', Barton J, *Survey Methodology Bulletin No. 40* ONS (1997).

equal to MOI. In England and Wales standard SSD multi-household procedures were used at addresses found to contain more than one household in order to ensure that all households were given an equal chance of selection.

Standard SSD multi-household selection procedures were applied.¹² These consist of:

- pre-sampled multi-household procedures; and
- concealed multi-household procedures.

2.5.1 Pre-sampled multi-household procedures

The pre-sampled multi-household procedure was used at addresses in Scotland with a MOI of more than two. Interviewers were instructed to use a selection grid which will select 1 in 'n' households (n being the value of the MOI). Occasionally a pre-sampled multi-household address contains fewer households than the value of the MOI. In such cases, no household would be selected, as the selection grid would indicate to the interviewer that no interview was to be completed at the address. Instead, the interviewer would return the address coded as 'directed not to sample any household at the address'.

2.5.2 Concealed multi-household procedure

The concealed multi-household procedure was used where interviewers came across multi-household addresses in England and Wales, and also at addresses in Scotland with an MOI of one. At these addresses interviewers were instructed to include all households up to a maximum of three. At addresses with more than three households interviewers used concealed multi-household selection grids to select three from the number present.

To limit the extent to which the interviewer assignment could be inflated by the occurrence of several concealed and/or pre-sampled multi-households, interviewers were instructed to interview at no more than four extra households from multi-household addresses per assignment. This approach introduced the potential for a very slight bias against households in multi-household addresses.

2.6 Rotation

In order to increase the precision of the estimates of year-on-year change, each year only half of the postcode sectors are renewed. Those coded 1 (last digit of serial number) are renewed in odd years of drawing the frame and those coded 2 are renewed in even years of drawing the frame.

¹² 'Office and field procedures for dealing with multi-household addresses', Dodd T, *Survey Methodology Bulletin* No. 5, ONS (1979).

2.7 Ineligible addresses

The FRS uses the harmonised definition of a household:

a person or a group of people who have the accommodation as their *only or main* residence and **either** share at least one meal a day **or** share the living accommodation

Addresses which did not contain any such households were excluded. The most common types of excluded addresses were non-residential or vacant addresses, and addresses which contained only communal establishments. Also excluded were residential accommodation not used as a main address, and addresses which did not exist, had yet to be built or were demolished.

Non-residential addresses included small businesses and institutions (i.e. residential addresses that did not contain a private household). An institution was defined as an address at which four or more unrelated people slept. Communal establishments are establishments providing managed residential accommodation. Managed means full or part time supervision of the accommodation. Types of communal establishments include housing association hostels/homes, hotels, boarding houses, and bed and breakfast accommodation amongst others.

For further details, see Appendix 10. This appendix shows the definition contained in the *Harmonised Concepts and Questions* booklet current at the time the 2001–02 survey was designed.

2.8 Standard errors

The standard error of an estimate from a sample survey is a measure of the precision of the estimate in that it indicates how close, with what probability, the estimate is to the true population value, leaving aside non-response bias and response errors such as respondents misunderstanding questions. A conventional measure of the confidence interval is plus or minus two standard errors of the estimate. This means that, under certain assumptions and ignoring response errors and non-response bias, 96% of samples drawn in the same way would have yielded an estimate within the confidence interval. Survey analysts therefore need to be able to obtain standard errors for their surveys in order to interpret the results. Standard errors were produced by ONS on behalf of DWP for publication in the FRS annual report. The standard errors were calculated around key survey estimates using a software package called STATA which calculates standard error estimates for complex sample designs. The procedure for calculating standard errors takes into account any bias introduced by concealed multi-occupancy.

3 Questionnaire development

NatCen are responsible for the main aspects of questionnaire design and development and maintenance of the Blaise instrument. Both organisations (NatCen and ONS) contribute to the consultation process outlined below.

Prior to the start of fieldwork in April 2001, DWP consulted FRS users, and drew up a list of possible questionnaire changes. In particular, users were asked to identify individual questions or sections which were no longer of interest: the FRS questionnaire is lengthy and demanding and a key concern was, where possible, to reduce (or at least not increase) its length so as not to overburden respondents or interviewers. As part of the process of agreeing annual changes, suggestions from contractors were also considered, as well as those arising from evaluation of feedback from interviewers. Since the launch of the FRS, interviewers' feedback has been collected via an annual questionnaire.

All amendments to the questionnaire were discussed and agreed at the users group meeting¹³ held on 9 November 2000.

3.1 Harmonisation of questions on government surveys

In 1995, the GSS Committee on Persons and Households took on the responsibility for harmonisation of classifications, definitions and standards in respect of social statistics. The FRS is committed to ensuring that, where appropriate, questions used are in line with the harmonised recommendations and that the survey will endeavour to keep in line with other government surveys and in particular the Expenditure and Food Survey.¹⁴

3.2 Summary of questionnaire changes 2001–02

A detailed description of changes made to the questionnaire program for 2001–02 can be found in an *Interviewer's Guide to Changes, Family Resources Survey: April 2001*, ONS and NatCen.¹⁵ A summary listing the main changes to the questionnaire 2001–02 is shown overleaf.

For the survey year 2001–02 the questions concerning travel to work and National Health Service treatment and prescriptions were rotated off the questionnaire to maintain a reasonable interviewing length. Re-instated in their place were the questions on vehicle ownership and household durables.

¹³ Officially known as the Information Priorities Group (IPG).

¹⁴ See – National Statistics website: <http://www.statistics.gov.uk/harmony/document.asp>

¹⁵ This document is available from the ESRC Data Archive, University of Essex.

Table 3.1 Questionnaire changes

Topic	Change
Household Block	
Highest Income Householder	Household Reference Person identified as 'Highest Income Householder' when more than one householder. This replaced 'Head of Household'.
Ethnicity	More detailed list of ethnic groups and ethnicity. Comparable to Census questions.
National Identity	New question to determine national identity.
Changes to descriptions of dwellings	To ensure the FRS is harmonised with other Government surveys, changes made to questions on the type of accommodation, the floor level where appropriate, and whether there are any physical barriers to prevent access to the property.
Classification of households	Help screen introduced.
Landlords and Letting Agencies	Categories extended to include another individual, private landlord or letting agency. New showcard introduced.
Mortgages	Introduction of additional category at MortType ('other') to collect information on 'new types' of mortgage which do not fit the current mortgage question structure.
Vehicle ownership	Questions rotated onto questionnaire for 2001–02.
Household durables	Questions rotated onto questionnaire for 2001–02.
National Health treatment	Questions rotated off questionnaire for 2001–02.
Childcare	Wording amended to clarify what type of care is included as childcare.
Hours of help given or received	Expansion of wording to clarify FRS definition of health problems.
Benefit Unit	
Health	Expansion of wording to clarify FRS definition of health problems.
Employment status	New category introduced to exclude retired respondents from being asked work related questions.
Job Description	To enable the derivation of Social Classification (SOC2000), new harmonised questions introduced to identify supervisory/managerial responsibilities.
Work status	Prompt introduced to clarify FRS definition of working.
Work status	Categories expanded to determine numbers of employees at place of work.
Work status	Question re-worded in respect of previous occupation to sound less judgemental.
Company Cars	To be included as a form of payment from employers at the question InKind
Travel to Work	Questions rotated off questionnaire for 2001–02
Tax Credits	New block introduced to gather information on Working Families Tax Credit, Disabled Persons' Tax Credit, Children's Tax Credit and Childcare Tax Credit.
Pensions	Introduction of new questions to accommodate Stakeholder Pensions.
Pensions	New category to identify respondents who share an occupational or personal pension.
New Deal	New question to identify respondents on the New Deal for over 50s.
Widows' Pensions and Bereavement	Ben1Q, Wid and Ben5Q amended to collect the new Bereavement Allowance and Widowed Parent's Allowance.
Winter Fuel Allowance	Ben5Q amended to collect Winter Fuel Allowance details.
Accounts	Description of accounts expanded to include new account providers such as supermarkets and stores. Wording also amended for simplification and clarification.
Investments	New category to collect information on Share Clubs.

Topic	Change
Admin Block	
Multi households	Two new questions for clarification (Scotland only).
New Standard Outcome Codes	Outcome codes change from two digit to three digit to provide greater information about type of response/non-contact.

3.3 Blaise

The FRS has used CAPI since its inception. It is still one of the more complex and demanding CAPI survey programs.

For 2001–02, as in previous years, the consortium used the then current version of Blaise, the de facto international standard CAI software for official statistics. More information about Blaise is available from the developers, Statistics Netherlands (<http://www.cbs.nl/en/service/blaise/contact.htm>) and from the user group (www.blaiseusers.org).

4 Field Work

The FRS monthly fieldwork period runs from the beginning to the end of each calendar month. The advance letter (see 4.3) was despatched to respondents by post a few days before fieldwork began and explained to contacts that they had been selected. At the beginning of the fieldwork period interviewers contacted addresses to find out who lived at the address and to make appointments for interview.

In normal circumstances the interviewing was completed by the end of that calendar month. However, addresses returned as non-contacts or certain types of refusals may have been reissued to another interviewer in the hope that an interview at the non-responding household could be achieved. Interviewing at re-issued addresses, of which there were few, may have run into the following month after the original allocation month had ended.

Data were collected using face-to-face interviewing using CAPI. Each month the questionnaire program and a quota of 25 selected addresses were despatched electronically to those interviewers working on the survey. Paper documentation, such as back-up sampled address lists and non-response forms were despatched to interviewers by post.

Sampling queries from interviewers of both organisations were handled by Sampling Implementation Unit of ONS in Titchfield. Technical queries from interviewers, regarding transmissions and laptop maintenance, were handled by support units at each organisation.

Throughout the field period HQ staff monitored interviewers' progress and answered coding and technical queries.

4.1 Interviewer training

Prior to receiving FRS specific training all interviewers had been through their organisation's initial training programme. The initial training included training in standard definitions, the use of laptop computers, working with random probability samples and conducting interviews at addresses pre-selected from the Postcode Address File. Emphasis was placed on the need for interviewers to follow standard methods/procedures in all aspects of data collection in order to minimise interviewer bias, and in maintaining high response rates. Following the course, the interviewers conducted practice interviews supervised by their field supervisors before conducting 'live' interviews.

Interviewers also received specific training on the FRS in the form of a one day training event plus pre- and post-briefing periods of home practice.

4.1.1 Field based regional trainers

Both NatCen and ONS operated a system of supervision and support of interviewers in the field, based on networks of field based regional supervisors who were responsible for a number of interviewers in their area. A field supervisor accompanied an interviewer during their first assignment on the survey and maintained close day-to-day contact with the interviewer throughout the fieldwork period.

4.1.2 Refresher training

Before starting their first allocation of work in any particular survey year, experienced FRS interviewers were given a special briefing to inform them of any changes made to the questionnaire for that year and to reiterate survey specific issues. ONS interviewers were rebriefed by post. The design of the postal pack was based on long successful experience of distance learning. NatCen interviewers were rebriefed face-to-face at sessions held throughout the country prior to the start of fieldwork.

4.2 Interviewer documentation

All interviewers were issued with detailed written instructions on questionnaire and field procedures. These included documentation of sampling procedures, introducing the survey to respondents, survey definitions, and a comprehensive question by question guide to the questionnaire. Interviewers also received summary guides to benefits and savings which are produced specifically for the survey. The Blaise program included an on-screen help facility where additional information could be accessed by the interviewer during the interview. A complete list of documentation provided for interviewers is detailed below (Table 4.1).

Table 4.1 Field documents provided to interviewers

<ul style="list-style-type: none">• Tape and booklet (refresher or briefing)• Field instructions• Admin/recall instructions• Question instructions• Interviewer guide to questionnaire changes• Showcards• Pocket guide to savings and investments• Pocket guide to benefits• Non-response form*• Calendar• Items for checking (pad) – ONS only• Letter from DWP*• DWP purpose leaflet*• Spare advance letters (English and Welsh)*• Spare advance letters (Scottish)*• Survey purpose leaflets (English and Welsh)*• Multi-household selection sheets• Samples of tenancy agreement, housing benefit claim and tax return forms.
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** These documents can be found in the appendices.*

4.3 Advance letter

In advance of the interviewer's call, a letter was sent to the selected addresses which included a brief explanation of the Survey. The advance letters stated that the Survey relied on the voluntary co-operation of respondents and confirmed that any information given would be treated in the strictest confidence.

4.4 FRS leaflet

In an effort to improve response rates to the FRS, DWP together with the Consortium, have produced a leaflet which describes the purpose of the survey and how the results are used. It includes charts illustrating the kind of information that is obtained from the FRS and reiterates the confidentiality pledge that DWP, NatCen and ONS make to respondents.

The leaflet was targeted at people who were reluctant to take part. By explaining that the survey is a major source of information in deciding how the Social Security budget is allocated more effectively, and that representation from all types of household is needed, it was hoped to assure potential respondents that their participation was important. It was also hoped that it would be helpful in reiterating the bona fides of the survey and reassuring respondents that the FRS is not affiliated to market research organisations.

4.5 Survey specific purpose leaflets

Both NatCen and ONS produced their own survey specific purpose leaflets. These leaflets contained more information about the purpose of the survey, how the results were used, and explained why it was important for those selected to take part in the survey.

The leaflets were designed to be 'eye catching', printed in colour with charts and graphs, containing extracts from national newspapers discussing FRS data. The leaflets also emphasised the confidentiality of the survey and explained how respondents are selected.

These leaflets are normally left with responding households at the end of their interview.

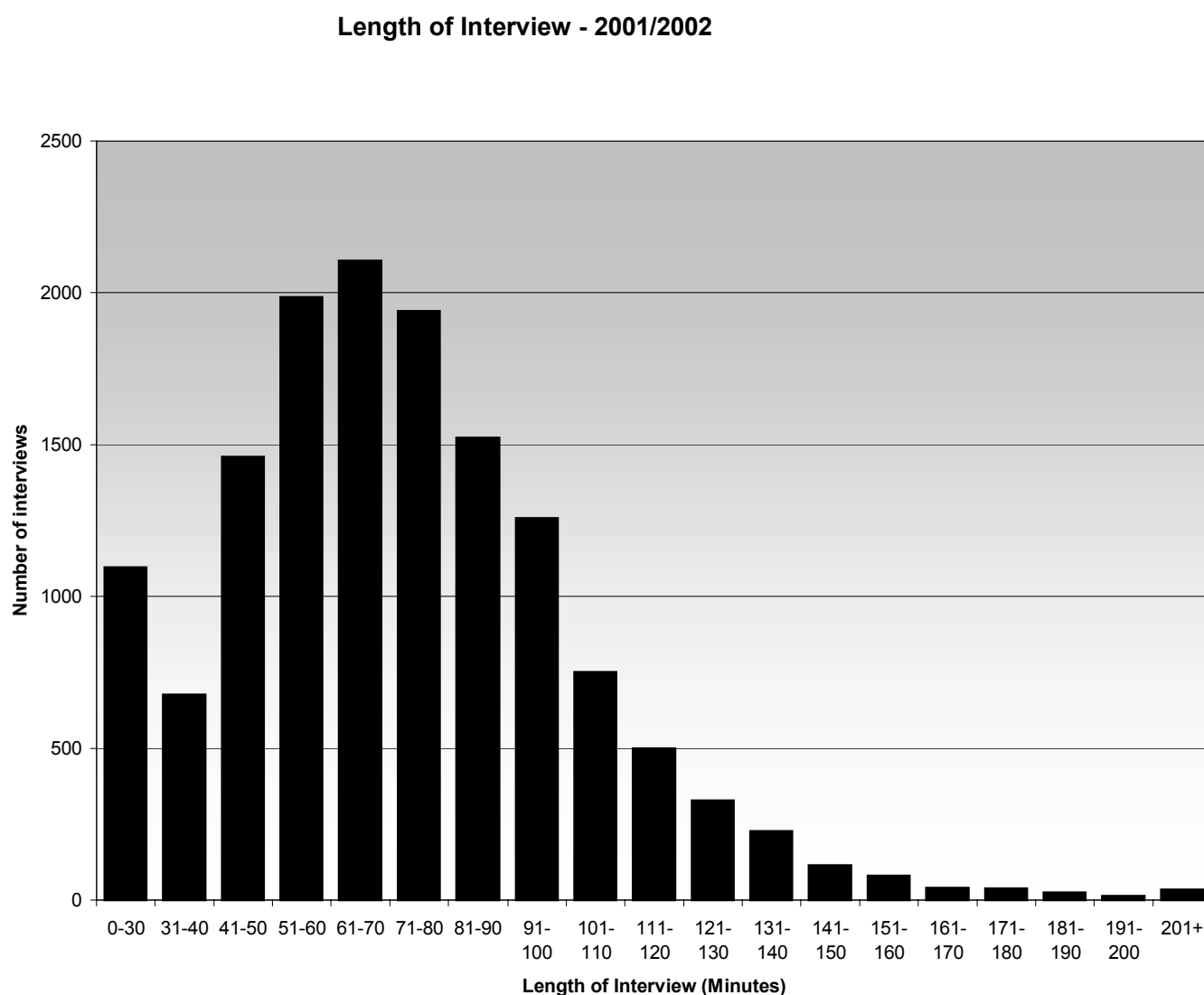
4.6 Calls to the address

No upper limit was set on the number of calls an interviewer was able to make at an address before returning it as a non-contact. However, a *lower* limit of four calls was set and these calls were to be made at different times of the day and on different days of the week, including at least one weekend call. In 2001–02 FRS interviewers averaged 7.7 calls per address before returning it as a non-contact.

4.7 Length of interview

The length of each fully co-operating interview was recorded by the interviewer within the Blaise program. The length of an FRS interview can vary considerably depending on the type of respondent being interviewed and their individual and household circumstances (see Table 4.2). In 2001–02 the mean interview length was 1 hour and 14 minutes.¹⁶

Table 4.2 Length of interview 2001–02



4.8 New standard outcome codes

In 2001–02 a study was undertaken jointly by ONS and NatCen to investigate the differences between the calculations of response on major government surveys conducted by the two organisations. A paper was subsequently

¹⁶ Data on duration of interview is based on approximately 50% of cases.

produced¹⁷ which recommended the adoption of harmonised three figure outcome codes. These are intended to be introduced across all major government surveys. In 2001–02 the FRS began to use these outcome codes. Every productive household was automatically allocated an outcome code by the Blaise program. For non-productive households, the Blaise program instructed the interviewer to select an appropriate outcome code from a list of codes derived using the information already entered into the administration block.

As the new codes are more extensive than the original two figure code, this allows for more accurate classification of the outcome and takes account of such things as unknown eligibility and lost interviews in a consistent way across organisations. It also enables more accurate analysis to be undertaken regarding the characteristics of non-response.

Table 4.3 List of outcome codes

Outcome	Code
Fully co-operating ¹⁸	
– complete interview by all desired respondents	110
– complete interview partly by desired respondents, partly by proxy	120
– complete interview by proxy	130
Partially co-operating ¹⁹	
– complete household questionnaire and HRP benefit unit questionnaire, but other benefit unit missing due to non-contact	212
– complete household questionnaire and HRP benefit unit questionnaire, but other benefit unit refused to take part/complete interview	213
– missing information – 12 or more 'Don't Know' or refusals	214
– partial interview partly by desired respondent, partly by proxy. Complete household questionnaire and HRP benefit unit questionnaire, but other benefit unit missing due to non-contact	222
– partial interview partly by desired respondent, partly by proxy. Complete household questionnaire and HRP benefit unit questionnaire, but other benefit unit refused to take part/complete interview	223
– partial interview partly by desired respondent, partly by proxy. Missing information – 12 or more 'Don't Know' or refusals	224
– partial interview by proxy. Complete household questionnaire and HRP benefit unit questionnaire, but other benefit unit missing due to non-contact	232
– partial interview by proxy. Complete household questionnaire and HRP benefit unit questionnaire, but other benefit unit refused to take part/complete interview	233
– partial interview by proxy. Missing information – 12 or more 'Don't Know' or refusals	234

¹⁷ Recommended Standard Final Outcome Categories and Standard Definitions of Response Rates for Social Surveys. Lynn, P. Beerten, R. Laiho, J. Martin, J.

¹⁸ Fully co-operating – a fully co-operating household is one in which a full interview has been obtained either in person or by proxy with every eligible member of the household.

¹⁹ Partially co-operating – a partially co-operating household is one where information has been obtained for the Household Reference Person's benefit unit but the interviewer has been unable to obtain information from other household benefit units e.g., because of non-contact or refusal.

Outcome	Code
Non-contact	
– no contact with any household member	310
– <i>multi-household only</i> . Contact made at address, but not with any member of the sampled dwelling/household	320
– contact made at the dwelling/household, but not with any responsible resident	330
Refusal	
– refusal to Advance Letter	411
– refusal to an interviewer letter	412
– <i>multi-household only</i> . Information refused on number of dwellings/households at address	420
– refusal by adult member of household	431
– refusal by proxy	432
– member of HRP benefit unit refused to complete the interview	441
– missing information, 12 or more 'Don't Know' or refusals in household questionnaire and HRP benefit unit	442
– broken appointment, no re-contact	450
Other unproductive	
– HRP benefit unit incomplete – ill at home during survey period	510
– HRP benefit unit incomplete – away/in hospital all field period	520
– HRP benefit unit incomplete – physically or mentally unable/incompetent	530
– HRP benefit unit incomplete – language difficulties	540
– productive interview lost (<i>Office approval only</i>)	550
– full interview achieved, but respondent requested data be deleted	561
– partial interview achieved, but respondent requested data be deleted	562
– miscellaneous	563
Unknown eligible	
– not issued to an interviewer	611
– issued but not attempted	612
– inaccessible address	620
– unable to locate address	630
– unknown if address residential, information refused by all persons consulted	641
– unknown if address residential, no contact with any knowledgeable person	642
– known residential address but existence of eligible residents unknown due to information refused by all persons consulted	651
– known residential address but existence of eligible residents unknown due to no contact with any knowledgeable person	652
– other unknown eligibility (<i>Office approval only</i>)	670
Ineligible	
– not yet built/under construction	710
– demolished/derelict	720
– vacant/empty housing unit	730
– non-residential address	740
– address occupied, but no resident household	750
– communal establishment/institution	760
– household of foreign diplomat or service personnel living on foreign base	771
– all residents under 16	772
– other resident household(s) but no eligible respondents	773
– directed not to sample at address	781
– Scottish pre-selection sheet instructs not to interview	782
– household limit on quota already reached	783
Ineligible	
– other ineligible (<i>Office approval only</i>)	790

4.9 Item non-response

In order to maintain data quality, the program counted the number of 'don't know' and 'refusal' answers to monetary amounts throughout the questionnaire (excluding the assets block). If the permitted number was exceeded a warning was displayed. If interviewers were unable to resolve some of the missing amounts with the respondent, then the case was not counted as fully co-operating but was recorded as a non-responding household (outcome code 442 – missing information, 12 or more 'Don't Know' or refusals in benefit unit).

This report covers editing and other processing up to the point of delivering data to DWP. DWP carries out further processing, which includes imputation for item non-response.

4.10 Response

The survey response rate was calculated using the adjusted eligible addresses in the denominator and the total number of fully co-operating cases in the numerator. In 2001–02 the FRS obtained a response rate of 66%.

Table 4.4 FRS response for Great Britain 2001–02

Response Rate, households (Great Britain)	Number	Percentage
Set sample of addresses	42,200	
Additional households	367	
Set sample of households ²⁰	42,567	
– Ineligible known	3,916	
– Ineligible unknown (pre-adjustment)	454	
– Eligible known (pre-adjustment)	38,197	
– Ineligible (after adjustment)	3,958	
Eligible (after adjustment) ²¹	38,609	100
Fully co-operating	25,320	66
Partially co-operating	395	1
Refusal to co-operate	10,683	28
Non-contact	1,810	5

²⁰ It is assumed that addresses which were not contacted each contained only 1 household.

²¹ The adjusted eligible households include all pre-adjustment eligible households and a proportion of the pre-adjustment "eligibility unknown" households. The proportion of the pre-adjustment 'eligibility unknown' households reclassified as eligible is set at the proportion of pre-adjustment eligible households in the set sample of households: 91%.

Table 4.5 FRS quarterly response for Great Britain 2001–02

Quarter	April–June Quarter 1		July–Sept Quarter 2		Oct–Dec Quarter 3		Jan–Mar Quarter 4		TOTAL 2001–02	
	Number %		Number %		Number %		Number %		Number %	
Set sample of households	10,694		10,695		10,579		10,599		42,567	
Adjusted eligible households	9,643	100	9,682	100	9,659	100	9,625	100	38,610	100
Fully co-operating	6,450	67	6,389	66	6,294	65	6,187	64	25,320	66
Partially co-operating	96	1	92	1	105	1	102	1	395	1
Refusal	2,490	26	2,619	27	2,745	28	2,829	29	10,683	28
Non-contact	497	5	476	5	408	4	418	4	1,799	5

Table 4.6 FRS response rates by Government Office Region: 2001–02

Government Region	North East Number	%	North West Number	%	Merseyside Number	%	Yorkshire and the Humber Number	%
Set Sample plus additional Households	1,938		4,074		1,025		3,711	
Adjusted eligible households	1,778	100	3,682	100	950	100	3,353	100
Fully co-operating	1,232	69	2,441	66	644	68	2,188	65
Partially Co-operating	18	1	29	1	8	1	50	1
Refusal	431	24	1,043	28	240	25	910	27
Non-contact	73	4	130	4	52	5	169	5

Government Region	East Midlands Number	%	West Midlands Number	%	East of England Number	%	London Number	%
Set Sample plus additional Households	3,061		3,840		3,944		5,278	
Adjusted eligible households	2,801	100	3,524	100	3,661	100	4,605	100
Fully co-operating	1,869	67	2,242	64	2,343	64	2,808	61
Partially Co-operating	18	1	46	1	38	1	57	1
Refusal	766	27	1,029	29	1,082	30	1,348	29
Non-contact	129	5	175	5	162	4	325	7

Government Region	South East Number	%	South West Number	%	Wales Number	%	Scotland Number	%
Set Sample plus additional Households	5,802		3,662		2,186		4,046	
Adjusted eligible households	5,378	100	3,283	100	1,973	100	3,619	100
Fully co-operating	3,583	67	2,188	67	1,388	70	2,394	66
Partially Co-operating	52	1	32	1	19	1	28	1
Refusal	1,485	28	933	28	462	23	954	26
Non-contact	211	4	97	3	83	4	193	5

4.11 Reasons for non-contact or refusal

In order to monitor why a particular household was not able to be contacted or refused to take part, interviewers were asked to record up to 3 reasons for the household's non-contact or refusal. Despite interviewers' efforts, it was not possible to obtain a definite reason for non-contact at some 40% of the households concerned. It would be misleading to present a distribution of the definite answers in the context of such high non-response.

The reasons collected by interviewers for refusal however are detailed below.

Table 4.7 Main reason(s)* for refusal

	1998–99		1999–2000	
Description	Number	% of refusers	Number	% of refusers
Doesn't believe in surveys	1,151	23	1,675	22
Anti-government	309	6	510	7
Invasion of privacy	1,420	29	2,078	27
Concerns about confidentiality	304	6	470	6
Can't be bothered	1,194	24	1,794	24
Bad experience with previous surveys	127	3	180	2
Disliked survey of income	517	11	793	10
Genuinely too busy	597	12	969	13
Temporarily too busy	209	4	394	5
Personal problems	318	6	542	7
Refusal to HQ after interviewer's visit	151	3	202	3
Late contact insufficient field time	48	1	75	1
About to go away	51	1	131	2
Other	1,406	28	2,096	28
People who refused to participate = 100%	4,943		7,618	

* % totals more than 100 as interviewer can enter up to three reasons per case.

	2000-01		2001-02	
Description	Number	% of refusers	Number	% of refusers
Doesn't believe in surveys	1,517	19	1,660	22
Anti-government	457	6	548	7
Invasion of privacy	1,951	24	2,067	28
Concerns about confidentiality	420	5	529	7
Can't be bothered	1,731	22	1,978	26
Bad experience with previous surveys	150	2	174	2
Disliked survey of income	786	10	766	10
Genuinely too busy	1,155	15	1,188	16
Temporarily too busy	409	5	486	6
Personal problems	601	8	511	7
Refusal to HQ after interviewer's visit	203	3	167	2
Late contact insufficient field time	109	1	97	1
About to go away	146	2	109	1
Other	2,306	29	1,556	21
People who refused to participate = 100%	7,980		7,471	

* % totals more than 100 as interviewer can enter up to three reasons per case.

4.12 Non-response questionnaire

A non-response questionnaire was completed by interviewers for both non-contacts and refusals. In order not to affect the overall response to the survey interviewers were instructed only to complete the non-response form when they were absolutely certain of the final outcome.

Five items of observational data were recorded for all non-responding households. These were

- accommodation type,
- floor level,
- whether or not interviewers had to use an entry phone when trying to make contact,
- (if discernible) the ethnic group of the household, and
- how sure the interviewers were as to the accuracy of their answers.

For refusers only, interviewers asked for some information from the person refusing on behalf of the household. They asked about the number of people living in the household and the basic characteristics of the adult household members, such as sex, relationship between household members and age group. They also asked whether any adults were in paid work and if so, how many.

An analysis of non-response is produced annually by NatCen²².

²² A description of non respondents to the Family Resources Survey 2000-01, Thornby, M. and Blake, M. (October 2002) National Centre for Social Research.

4.13 Standard occupational classification and industry coding

For the survey year 2001–02, the occupations of adults who had ever worked were coded using the new *Standard Occupational Classification* (SOC2000). Industry was coded as before, using the *Standard Industry Codes* (SIC). The Occupational code was assigned using computer assisted coding from the interview data.

In 2001–02 the FRS derived Socio-Economic Groups (NSSEC) from the National Statistics Occupational Classification (SOC2000) and employment status codes.

For a full derivation of NS-SEC on Government surveys please refer to www.statistics.gov.uk/methods_quality/ns_sec/steps_full_method.asp.

Tables illustrating industrial, occupational and educational coding are shown at Appendix 9.

4.14 Editing

Good CAI software, like Blaise, provides means to prevent missing data and to identify inconsistencies for resolution during the interview. The FRS questionnaire contains a large number of edit checks designed to achieve these goals. This is a field in which CAI has clear quality advantages over non-electronic data collection.

Sometimes the kind of data checking required in the FRS is too complex and time-consuming for respondents to resolve, or may need to reference other data sources. To deal with such complex checks, the FRS requires a small but important additional coding and editing process conducted by skilled staff when the data get back to the office.

Both data collection organisations used the same set of editing instructions.²³ FRS editing includes such tasks as entering Council Tax bands where it was either unknown or a document had not been consulted and imputation of specific liquid assets dependent upon the date of issue or certificate held. Council Tax bands were obtained direct from the local authorities concerned and information in respect of accounts and assets from the companies concerned.

Editing was based on notes made by interviewers when they had suppressed a data check in the field, and specific edit checks for office editors in the Blaise program. Data was clerically imputed by the editor if the interviewer had given accurate enough information in a note to establish clearly what the correct value should have been. On the rare occasions when the information recorded by the interviewer was not sufficient to resolve the matter, and the editing supervisor could not make a decision, the case was submitted to DWP for their evaluation.

²³ Reference – *FRS Editing Instructions – April 2001 version*.

Some rather complex clerical imputation was also carried out where information was missing because of a 'don't know' or a 'refusal' response to individual data items, and in cases where there was a need to reference other sources. For example:

- Editors checked amounts of fixed state benefit rates and split amounts where two or more benefit payments were received as a single sum and the respondent was unsure of the separate benefit amounts.
- The value of assets, such as shares, were imputed using *The Financial Times* share details from the date of interview.
- In some circumstances Council Tax payments could be imputed and editors were provided with council tax payments by band for the entire country.
- CIPFA²⁴ tables were used to impute rent and housing benefit amounts.
- Some missing pay details could be imputed by editors using 'net to gross' and 'gross to net' pay conversion tables.
- National Savings charts were used to impute missing SAYE.

Any queries from the editors were referred to the editing supervisor or to researchers.

NatCen editors also coded occupation and industry.

Further clerical editing and statistical imputation takes place at DWP (see 5.11 – Post delivery checks by DWP).

²⁴ CIPFA – Chartered Institute of Public Finance and Accountancy *Housing Rents Statistics*.

5 Data Delivery

Edited Blaise data are passed through a conversion process in order that it can be read into DWP's suite of fully normalised SAS tables. As part of the regular quality assurance procedure, a number of variables are checked to ensure that the process of converting data at different levels of hierarchy does not have unintended consequences eg, a variable on a table at household level can be used to check the number of records on the child and adult tables. Similar cross checks exist for a number of other tables including mortgage, assets and accounts. Productive data was passed to DWP on a monthly basis, and an annual dataset, comprising all of the 12 previous deliveries, was provided at the end of supply.

5.1 General

The FRS database consists of 25 flat file tables in SAS readable format. Each table relating to a particular level (eg household, benefit unit) or type of information (eg pensions). Two versions exist: one containing data on fully co-operating households (the main database used by analysts which undergoes validation, editing and imputation) and the other containing data on partially co-operating households (held for reference). Other data sets with different structures, again flat files in SAS readable format, exist for non-responding households and other types of information relating to the data, eg a transactions data set of edits applied.

General purpose tables covering household, benefit unit, adult and child information will contain a record for each household, benefit unit, adult and child in the sample. Other more specialised tables will contain records on the basis of the relevant universes. For example, the *owner* table will only contain records for those households who are owner occupiers.

5.2 Key variables

Data are delivered in 2 levels – household and benefit unit. The highest level in the hierarchy is household level. Records in this table (*househol*) are identified by the key variable *sernum* (serial number). Each household may consist of a number of benefit units, records for which are identified by the additional key variable *benunit*. Each benefit unit (and household) will consist of a number of adults and/or children, whose records are each identified by a unique *person* number as the third key.

Below these main levels, other key variables exist depending on the table of interest. For example, an individual may receive a number of direct payments by DWP. Information about each benefit is held in a separate record in the *benefits* table. The key variables *sernum*, *benunit*, *person*, plus the additional key, *benefit*, uniquely identify each record.

Similarly, a household that is buying its house with a mortgage, may have one or more endowment policy/PEP/Unit Trust investments covering its loan. Information on these policies is held in the *endowmnt* table. Each record is referenced by *sernum*, *mortseq* (mortgage sequence number) and *endowseq* (policy sequence number relating to that mortgage).

Key variables of the same name have the same coding frame across the database and can be used to relate information from different tables. For

example, to look at the type of direct payments made by respondents alongside the total amount that is paid, the tables *benefits* and *dsspay* would be related by the keys *sernum*, *benunit*, *person*, *benefit*. Similarly, to look at the age of recipients of benefits, the *benefits* and *adult* tables would be related using *sernum*, *benunit*, *person*. Or to look at contributions made by someone outside the household to mortgages, the tables *mortgage* and *mortcont* would be related by *sernum*, *mortseq*.

5.3 Normalisation principle

As far as possible, the database is normalised, i.e. duplication is eliminated and redundancy (number of skipped – not asked – values in any given table) is kept to a minimum. This requirement influences where variables are held (although some level of redundancy is accepted to draw together information relating to a single topic). For example, although the question *AnyMon* (whether any money left in current account at the end of last month) relates to assets, it is held on the *adult* rather than *assets* table. This is because *AnyMon* relates to only one of 20 different asset types and is only asked once of each adult. If held as a separate variable on the *assets* table in the majority of records it would have a skipped value, and this would be wasteful. In the *benefits* table this type of requirement is met mainly by the use of multi-purpose variables (*var1-var3*), which are used to hold responses to a variety of different questions asked of different benefits.

5.4 Table Descriptions

The table shown overleaf gives an overview of the information held in each of the tables of the FRS data set, together with key variables used to identify individual records.

Table 5.1 Table descriptions

	Table	Key variables (to identify individual records – in order of hierarchy)	Description
1.	accounts	Sernum, benunit, person, account (<i>account type, held by each person</i>)	<ul style="list-style-type: none"> Income from interest/dividend bearing assets and savings together with (for a subset of records) the value of National Savings products for the accounts/investments held by adults and children. Each record relates to a type of investment (current account, savings account etc). Adults/children may have more than one type of investment, each record giving the total interest/dividends received (if they have more than one account of that type). For National Savings products, if the adult/child is not routed into the assets questions, a banded figure for the value of the investment is collected (those entering the assets block will have an accounts record but with this variable skipped).
2.	admin	Sernum	<ul style="list-style-type: none"> Household level fieldwork admin. data, eg final outcome codes. Each record relates to a household in the sample.
3.	adult	Sernum, benunit, person	<ul style="list-style-type: none"> Responses to various questions asked of adults. Each record relates to an adult in the sample (complete coverage of all adults).
4.	assets	Sernum, benunit, Person, assettype (<i>asset type</i>), seq (<i>sequence number for that group of assets</i>)	<ul style="list-style-type: none"> Value and other information about assets and savings held by adults. Unlike the accounts table, each record relates to an individual investment (savings account, TESSA, ISA, PEP, shares with a single company etc), except for certain National Savings Products where the total value of specific types (eg income bonds, capital/deposit bonds) are recorded together. Adults may hold more than one investment of the same type. Data are collected for the subset of adults routed into the assets block of the FRS questionnaire. Assettype has the same coding frame as account on the accounts table. Seq is the sequence number through one or a group of assets, as determined by the block of the questionnaire, eg, one block covers, NSB ordinary and investment accounts, TESSAs, ISAs, and other types of saving. Please refer to more detailed documentation for the maximum number of records per asset type.
5.	benefits	Sernum, benunit, person, benefit (<i>benefit type, held by each person</i>)	<ul style="list-style-type: none"> Amount and other information on State and non-State benefits received by adults in the sample. Also includes information on the total amount of direct payments as part of IS/JSA, as well as information on Social Fund loans held and future receipt of some benefits. Each record relates to an individual benefit. An adult may receive more than one benefit but not more than one of the same type.
6.	benunit	Sernum, benunit	<ul style="list-style-type: none"> Benefit unit level data. Each record relates to a benefit unit in the sample (complete coverage of all benefit units).

	Table	Key variables (to identify individual records – in order of hierarchy)	Description
7.	care	Sernum, benunit, needper (<i>person receiving the care</i>)	<ul style="list-style-type: none"> Information on those needing care. Each record relates to an individual in the household or various categories of individual outside the household (eg parent or child outside the household/client of a voluntary organisation). Needper is therefore equivalent to person for household members, but has additional codes for non household members. For these cases, benunit is set to 1.
8.	child	Sernum, benunit, person	<ul style="list-style-type: none"> Responses to various questions relating to children. Each record relates to a child in the sample (complete coverage of all children). Information is collected by proxy from responsible adults.
9.	dsspay	Sernum, benunit, person, benefit (<i>benefit type</i>), dsspay (<i>type of DWP direct payment, within each benefit</i>)	<ul style="list-style-type: none"> Information on the payments deducted from Income Support/Jobseeker's Allowance by the DWP to pay directly for different items (rent arrears, water charges, fines, maintenance payments etc.). Each record relates to a type of deduction. Benefit type is either IS or JSA direct payments, using the same keys as in the benefits table. All variables in this table are key variables. Up to 10 different direct payment types can be identified at dsspay.
10.	endowmnt	Sernum, mortseq (<i>mortgage sequence number</i>), endowseq (<i>endowment policy sequence number, within each mortgage</i>)	<ul style="list-style-type: none"> Information on endowments/pension plans/ ISAs/PEPs/Unit Trusts etc being used to cover the mortgage. Each record relates to an individual policy. A household buying their property with a mortgage may have more than one policy covering more than one loan (to a maximum of 4 policies per loan).
11.	extchild	Sernum, benunit, extseq (<i>sequence number of children living outside the benefit unit</i>)	<ul style="list-style-type: none"> Information on children aged 16 to 24 living outside the household/benefit unit who are currently receiving full or part time education. Each record relates to an external child to a benefit unit. Each benefit unit may have more than one 16 to 24 - year-old living outside the household (to a maximum of 4).
12.	househol	Sernum	<ul style="list-style-type: none"> Information collected at the household level. Each record relates to a household (complete coverage of all households).
13.	insuranc	Sernum, insseq (<i>sequence number of insurance policy within household</i>)	<ul style="list-style-type: none"> Information on insurance policies held by household members. Each record relates to an individual policy. A household may have more than one insurance policy (to a maximum of 6).
14	job	Sernum, benunit, person, jobtype (<i>jobs held by each adult</i>)	<ul style="list-style-type: none"> Information on jobs held by an adult as an employee or self employed. Each record relates to an individual job. Up to 3 jobs may be identified. Also includes details of the last job held for those not currently working but who have worked in the last 12 months.
15.	maint	sernum, benunit, person, maintseq	<ul style="list-style-type: none"> Information on maintenance payments made by adults. Each record relates to an individual maintenance

	Table	Key variables (to identify individual records – in order of hierarchy)	Description
		<i>(sequence number of maintenance payments made by each person)</i>	<p>payment.</p> <ul style="list-style-type: none"> An adult may have more than one payment (to a maximum of 4).
16.	mortcont	sernum, mortseq (<i>mortgage sequence number</i>), contseq (<i>contribution sequence number, within each mortgage</i>)	<ul style="list-style-type: none"> Information on contributions made by someone outside the household towards mortgage payments of owner occupiers. Each record relates to an individual contribution. Each mortgage (mortseq) may have more than one contribution (contseq), to a maximum of 6.
17.	mortgage	sernum, mortseq (<i>mortgage sequence number</i>)	<ul style="list-style-type: none"> Information on mortgages held on the property for house purchase or essential repairs. Each record relates to an individual mortgage. The full set of questions are asked separately for each purchase loan (to a maximum of 2). Mortseq does not necessarily take consecutive values: 1 and 2 relate to house purchase and will be consecutive, i.e. no household has mortseq=2 without mortseq=1. However, mortseq=3 relates to loans for essential repairs (including for those who own their property outright). A household may have mortseq=3 only, or mortseq=1 and mortseq=3. Whether a household has taken out loans other than for house purchase (and reason why) is held on the owner table.
18	oddjob	sernum, benunit, person, oddseq (<i>odd job sequence number, odd jobs held by an adult</i>)	<ul style="list-style-type: none"> Information on odd jobs or occasional fees for work or professional advice carried out in the last four weeks by an adult (includes work as a babysitter or mail order agent). Each record relates to an individual odd job/work as a babysitter/mail order agent. This does not include any regular commitment. Information is held on up to 3 odd jobs, plus one record for babysitting and/or mail order work.
19	owner	Sernum	<ul style="list-style-type: none"> Information on owner occupiers (those buying with a mortgage and owned outright). Each record relates to such a household. Includes those who part own/part rent (shared ownership), who will also have a renter record.
20	penamt	sernum, benunit, person, benefit (<i>benefit type</i>), amttype (<i>amount type for each benefit</i>)	<ul style="list-style-type: none"> For those who are in receipt of retirement pension or widow's benefits (Widow's Pension, Widowed Mother's Allowance) and who consult an order book, details of pension components as recorded on their order book. Each record relates to one component (eg Basic pension, Attendance Allowance). An adult may be in receipt of more than one benefit and each benefit may have more than one component. Up to 18 components can be identified at amttype.
21	penprov	Sernum, benunit, person, Stemppay	<ul style="list-style-type: none"> Information on contribution to personal, company or occupational pension schemes.

	Table	Key variables (to identify individual records – in order of hierarchy)	Description
		<i>(type of pension), provseq (sequence number for each pension contribution).</i>	<ul style="list-style-type: none"> Information on contribution to Stakeholder pensions. Each record relates to an individual contribution. Information collected on whether contribution made by respondent, employer, or both.
22.	pension	Sernum, benunit, person, penseq (<i>pension sequence number</i>)	<ul style="list-style-type: none"> Information on non-State pensions held by an adult. Each record relates to an individual pension. Like mortseq, penseq may not have consecutive values, since it relates to the routing of individual pension types. Please see more detailed documentation for the maximum number of records per pension type.
23.	rentcont	Sernum, rentseq (<i>sequence number for contribution to rent</i>)	<ul style="list-style-type: none"> Information on contributions made by someone outside the household towards rent of those renting their property. Each record relates to an individual contribution. Each household may have more than one contribution (rentseq), to a maximum of 5.
24.	renter	Sernum	<ul style="list-style-type: none"> Information on renters (shared ownership, renting, rent free and squatting tenure types). Each record relates to such a household. Those who part own/part rent will also have an owner record.
25.	vehicle	Sernum, benunit, person, vehseq (<i>vehicle sequence number</i>)	<ul style="list-style-type: none"> Information on vehicles owned or in continuous use by household members. Each record relates to a vehicle. Each household may have more than one vehicle (to a maximum of 8).

5.5 Weeklyisation

Amounts variables such as wages and salaries, council tax, water and sewerage, mortgages and insurances, pension payments and savings and investments were converted to the common basis of weekly amounts prior to data delivery.

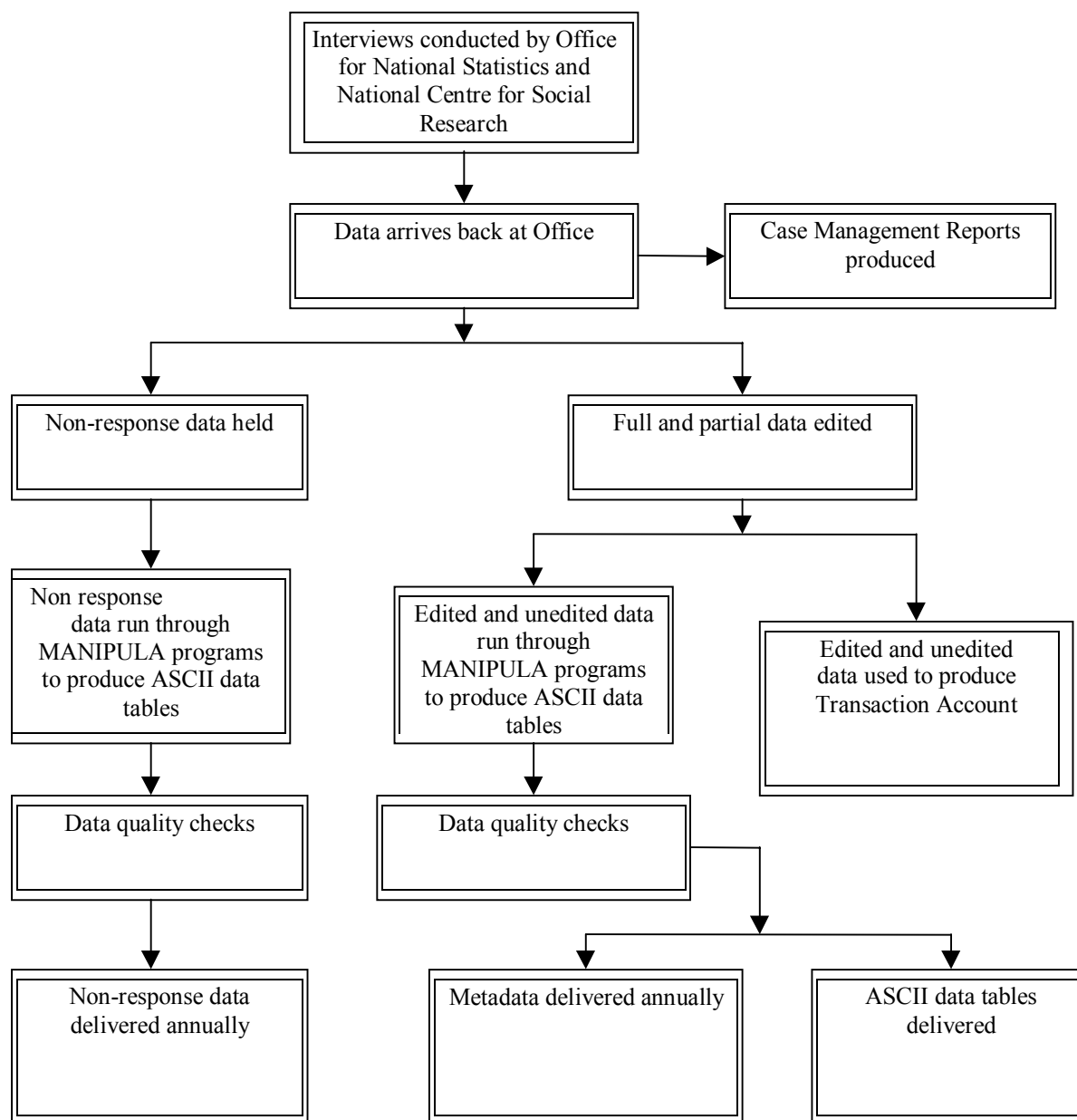
5.6 Metadata

Along with the SAS readable tables, metadata was also produced. This comprised a description of the table, variable name, label range, length and block from which it was created.

5.7 Integrity checking

At this stage in the conversion process a program was run to ensure that conversion had not led to data corruption. The program checked that duplication had not occurred as well as checking internal consistency such as making sure that a Household Reference Person was always identified and that all records had key values present.

Figure 2 Data delivery process



5.8 Transaction account

It is important to the DWP and other users that they have a full understanding of how the data has been manipulated following the interviewing stage. Therefore a set of 'transaction reports' were produced which specified the pre- and post-editing values of all fields delivered which had changed as a result of editing action, together with coded reasons for the change (Table 5.2).

Each month, unedited and edited values in the data were compared and a summary record created. The summary record included the following items of information:

- Serial number.
- Variable identifier.
- Unedited value.
- Edited value.
- Reason for change.

To generate the last item – reason for change – the program used pre-determined criteria to compare the unedited and edited values. The reported changes were classified as follows:

Table 5.2 Transaction account

Changed from:	Changed to:	Typical circumstances in which this might arise:
1. Don't know / refusal	Substantive value	Interviewer notes; office imputation.
2. Substantive value	New Value	Interviewer notes; rectifying check failure.
3. Substantive value	Don't know / refusal	Old value rejected, new value unknown.
4. Substantive value	Blank	Question goes off route.
5. Don't know / refusal	Blank	Question goes off route.
6. Blank	Substantive value	Question comes on route, value ascertainable.
7. Blank	Don't know / refusal	Question comes on route, value unknown.

When read in conjunction with the documented editing rules, which specify in detail the only permissible actions for each field, this report provides a comprehensive account of all changes resulting from editing action.

5.9 Quality assurance report

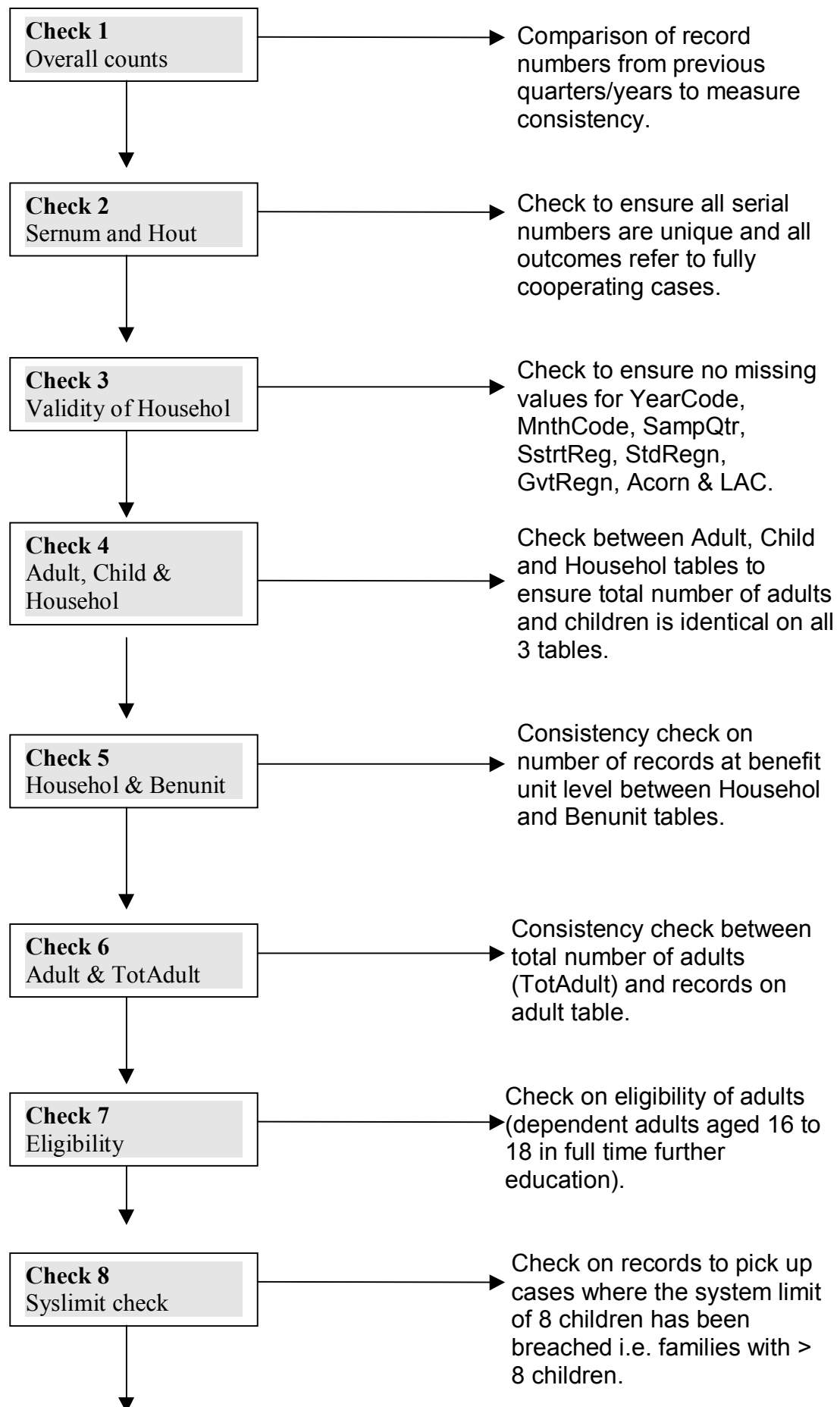
It is important that the data conversion is checked and quality assured prior to delivery to DWP. A series of checks was introduced from the beginning of the survey to safeguard the quality of the data delivered. Over the lifetime of the survey, these checks have evolved and expanded, both in response to queries raised by DWP, sometimes to avoid repetition of identified inconsistencies. In cases where the contractors are aware that a particular subject matter is repeatedly leading to errors and inconsistencies, a soft check or a help screen will be introduced into the program.

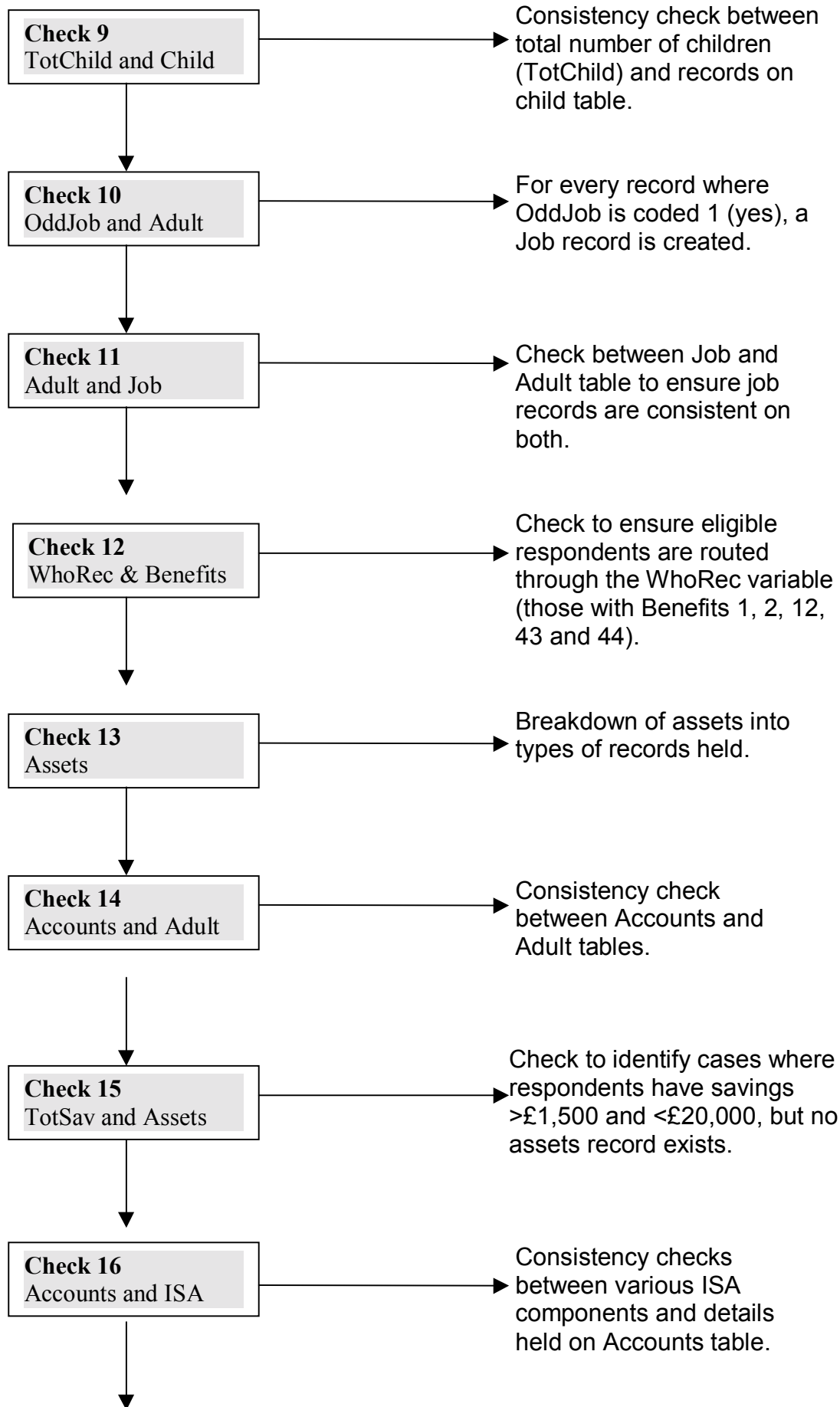
As part of the quality assurance procedure, checks are undertaken to ensure that the number of records is consistent with any previous deliveries of the same dataset and that any inherent errors have been removed from the data by the editing process. A program which checks for duplicate cases resulting from the conversion process is also run at this stage. The checks also involve scrutinising the data to ensure that common subjects, such as job and benefits, which occur on more than one table are recorded consistently across the board. A number of variables (TotAdult, TotChild, etc.) are also used to cross check against and validate the number of records contained in the tables. Checks on date ranges and time periods are also important to enable interviewer keying errors to be corrected prior to data delivery.

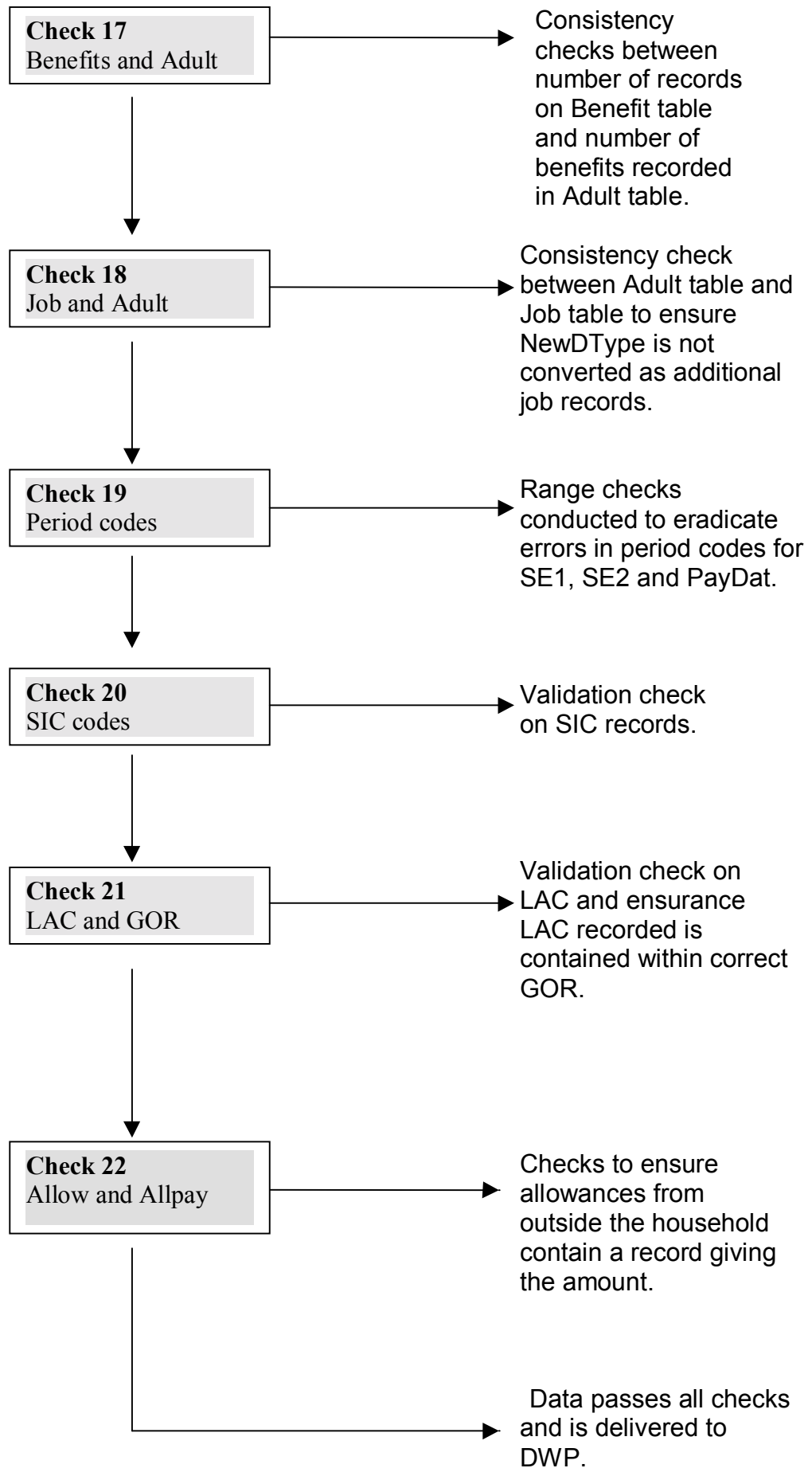
As well as certifying as much as possible the accuracy of the delivered cases, the quality assurance procedure is used to extract specific cases where an inconsistency appears in the data. For example, the DWP tables were checked to identify cases where the number of adult records was inconsistent with the count of adults contained on the household table. This is often the result of households containing a young person (age 16 to 18 years), who forms a benefit unit of their own even though they are in full time further education, because there is no adult responsible for them within the household. Consistency checks are the most accurate tool for identifying such cases, and in this manner the discrepancy can normally be logically resolved. Checks are also undertaken where respondents have account details recorded against them in the tables but have stated they do not possess an account, and vice versa. Similarly cases where respondents have not been routed into the assets block, but have assets within the range £1,500–£20,000 (the assets block qualification), are examined individually to identify the inconsistency. A report of quality checks and processing involved in data reformatting and delivery was submitted with the monthly deliveries.

The basic checks undertaken as part of the quality assurance procedure are detailed in Figure 3 overleaf.

Figure 3







5.10 Delivery

Data were passed from ONS to DWP in ASCII data files along with a full schema for DWP to read into SAS. Fully co-operating and partially co-operating cases were passed to DWP, batched up, and delivered monthly along with the equivalent unedited data set while non-response data were delivered on an annual basis.

Any data queries received from DWP were investigated and if necessary the Blaise questionnaire program, edit program, checking or conversion programmes updated and re-run accordingly.

5.11 Post delivery checks by DWP

In preparation for imputing missing values, data are made as clean as possible by DWP prior to imputation. This involves:

- The conversion of all amounts paid or received to a weekly value.
- The conversion of inappropriate zero amounts to missing values.
- The examination of all outliers.
- Credibility checks.

Once this process has been completed imputation can be conducted on missing values. A combination of methods of imputation are used, the main ones being:

- Closing down routes.
- Hotdecking.
- Using algorithms.
- Neural networks.
- 'Mop-up' imputation.

For further information on the above processes, please refer to DWP's website at www.dwp.gov.uk/asd/frs.

5.12 Data archiving and documentation

The following electronic files and documentation are to be deposited with the ESRC Data Archive at the University of Essex for the 2001–02 Family Resources Survey.

Table 5.3 Data archive documentation

Subject	Filename	Description	Appropriate documentation for first-time users of FRS?
Changes	A Guide to Changes	A guide to all changes in 2001–02 and the dataset release	Yes
	Interviewers Guide to Changes	Guidance provided to interviewers on changes between 2000–01 and 2001–02 surveys	Yes
	Changes Metadata	Shows the variable changes that have taken place since 2000–01	
Questionnaire	Questionnaire Instructions	Questionnaire instructions describing the questions in plain English and which respondents are asked these questions	Yes
	Questionnaire routing	Complete questionnaire routing, based on Blaise, includes checks and details of variables computed in the questionnaire	
	Interviewer's showcards	Interviewer's showcards used during interview	Yes

Questionnaire cont'd	Interviewer's pocket guide to Benefits	Interviewer's pocket guide to Benefits	Yes
	Interviewer's pocket guide to savings	Interviewer's pocket guide to savings and investments	Yes
Dataset	Releases Documentation	A list of all dataset releases for 2001–02 with details on differences	Yes
	Editing	Notes on editing carried out by DWP. Summarises the types of edits carried out and describes how the data have been anonymised	
	Imputation	Notes on imputation carried out by DWP. Summarises the types of methods used and the levels of imputation	
	Data Summary 1: Missing Values	Summary of missing values and level of imputation showing original number of missing values, how many were imputed and by what method	
	Data Summary 2: Missing Benefit Values	Summary of missing benefit information and level of imputation	
	Data Summary 3: Min/Max/Mean	Summary of minimum and maximum values	
	Log of Problems	A list of known problems with the current release for 2001–02	Yes
Metadata	Hierarchical Documentation	Describes all the variables in the hierarchical dataset	Yes
	Flatfile Mapping	Describes the mapping between the flatfile and hierarchical datasets	

Metadata cont'd	Accounts table	Holds info on all account types, including max number of holdings possible and the specific questions asked of each account type	Yes
	Assets Table Documentation	Technical note relating to assets table	
	Assets Table	Holds info on all asset types, including max number of holdings possible and the specific questions asked of each asset type	Yes
	Benefits Table Documentation	Technical note relating to benefits table	
	Benefits	Guide to questions asked for each benefit	Yes
	Benefits Map	Guide to the mapping between benefits questions and variables	
	Period Code Conversion	Describes the conversion factors used for period codes	
	Usage	Information on Usage – a variable which gives information on whether an amount variable has been converted to a weekly amount	
Derived Variables	Derived Variables Metadata	Holds info on all derived variables	
	Derived Variables Table	Lists all derived variables	Yes
	Derived Variable Specifications	Derived Variable Specifications	
	Derived Variable SAS Code	Derived Variable SAS Code	

Contact: Kathy Sayer
ESRC Data Archive
University of Essex
Wivenhoe Park
Colchester
ESSEX CO4 3SQ

e-mail sayerc@essex.ac.uk
Tel: 01206 872 570

Appendix 1



National Centre *for*
Social Research

Date:

Dear Resident(s)

I am writing to ask for your help with the **Family Resources Survey**.

This study provides important information about living standards, and how the economic climate affects people in different kinds of household. It is carried out jointly by the **Office for National Statistics** - the government office that organises the Census - and the **National Centre for Social Research** - an independent research institute. Both organisations conduct research on behalf of Government Departments and public bodies. This study is being conducted on behalf of the **Department for Work and Pensions** (formerly the Department of Social Security.)

Your address has been selected at random and one of our interviewers will contact you in the near future to explain the study in more detail. You may want to show this letter to other people in your household just in case the interviewer calls when you are not at home. If you are busy when the interviewer calls he/she will be happy to call back.

All our interviewers carry an official identification card which includes their photograph and the National Statistics or National Centre for Social Research logo as it appears at the top of this letter. Everything you tell us will be treated in confidence.

It is important to the success of this study that everyone chosen takes part. We rely on people's voluntary co-operation to produce official statistics to help everyone understand what is happening in our society. For further information please call 020 7533 5442 (direct line). Work on this study will start on or after the 1st of this month.

Thank you in advance for your help.

Yours sincerely

Tom Tattan
Survey Manager
Office for National Statistics

FRS english blank.00

Social Survey Division, Office for National Statistics
1 Drummond Gate, London, SW1V 2QQ

Appendix 2



National Centre for
Social Research

Annwyl Breswlydd

Rwy'n ysgrifennu i geisio'ch cymorth gyda'r **Arolwg Adnoddau Teulu**.

Mae'r astudiaeth hon yn rhoi gwybodaeth bwysig am safonau byw a sut mae'r hinsawdd economaidd yn effeithio ar bobl mewn teuluoedd o wahanol fathau. Fe'i cynhelir ar y cyd gan y **Swyddfa Ystadegau Cenedlaethol** - swyddfa'r llywodraeth sy'n trefnu'r Cyfrifiad - a'r **Canolfan Genedlaethol ar gyfer Ymchwil Cymdeithasol** - sefydliad ymchwil annibynnol. Bydd y ddau sefydliad yn gwneud gwaith ymchwil ar ran Adrannau'r Llywodraeth a chyrrff cyhoeddus. Cyflawnwyd yr astudiaeth hon ar rhan yr **Adran Gwaith a Pensiynau** (yn gynt yr Adran Nawdd Cymdeithasol).

Detholwyd eich cyfeiriad ar amcan a bydd un o'n cyfnewlydd yn cysylltu â chi yn y dyfodol agos i egluro'r astudiaeth yn fwy manwl. Hwyrach y byddwch am ddangos y llythyr hwn i aelodau eraill eich cartref rhag ofn y bydd y cyfnewlydd yn galw pan fyddwch chi allan. Os byddwch yn brysur wrth i'r cyfnewlydd alw, bydd yn falch o alw rywbryd eto.

Mae pawb o'n cyfnewlydd yn cario cerdyn adnabod swyddogol sy'n cynnwys ei l(l)un a logo'r Ystadegau Gwladol neu'r Canolfan Genedlaethol ar gyfer Ymchwil Cymdeithasol fel y gwelir ar frig y llythyr hwn. Caiff popeth a ddywedwch wrthym ei drin yn gyfrinachol.

Mae'n bwysig i lwyddiant yr astudiaeth hon bod pawb a ddewisir yn cymryd rhan. Dibynnwn ar gydweithrediad gwirfoddol pobl i gynhyrchu ystadegau swyddogol i helpu pawb i ddeall beth sy'n digwydd yn ein cymdeithas. I gael gwybodaeth bellach, byddwch cystal â deialu 020 7533 5442 (llinell uniongyrchol). Os ydych am siarad yng Nghymraeg gyda Ystadegau Gwladol galwch ar rhif ffôn 01633 813381. Bydd gwaith ar yr astudiaeth hon yn dechrau ar wedi'r 1af o'r mis hwn.

Diolch ymlaen llaw am eich cymorth.

Yn gywir

Tom Tattan
Rheolwr Arolwg
Swyddfa Ystadegau Cenedlaethol

FRS Welsh booklet.01

Appendix 3



National Centre *for*
Social Research

Dear Resident(s)

I am writing to ask for your help with the **Family Resources Survey**.

This study provides important information about living standards, and how the economic climate affects people in different kinds of household. It is carried out jointly by the **Office for National Statistics** the government office that organises the Census - and the **National Centre for Social Research** - an independent research institute. Both organisations conduct research on behalf of Government Departments and public bodies. This study is being conducted on behalf of the **Scottish Executive** and **Department for Work and Pensions** (formerly the Department of Social Security).

Your address has been selected at random and one of our interviewers will contact you in the near future to explain the study in more detail. You may want to show this letter to other people in your household just in case the interviewer calls when you are not at home. If you are busy when the interviewer calls he/she will be happy to call back.

All our interviewers carry an official identification card which includes their photograph and the National Statistics or National Centre for Social Research logo as it appears at the top of this letter. Everything you tell us will be treated in confidence.

It is important to the success of this study that everyone chosen takes part. We rely on people's voluntary co-operation to produce official statistics to help everyone understand what is happening in our society. For further information please call 020 7533 5442 (direct line). Work on this study will start on or after the 1st of this month.

Thank you in advance for your help.

Yours sincerely

Tom Tattan
Survey Manager
Office for National Statistics

Social Survey Division, Office for National Statistics
1 Drummond Gate, London, SW1V 2QQ

Appendix 4

FRS. Non-Response Form

ALL Refusal/Other (OUTCOME CODES 42-56)		
No. Adults (16+)	<input type="text"/>	No. Children (<16)
	Sex M – Male F – Female 'dk', 'ref'	Age Band 1. 16-34 2. 35-59 3. 60+ 'dk', 'ref'
Adult 1		
Adult 2		
Adult 3		
Adult 4		
Adult 5		
Adult 6		
Adult 7		
Types of Benefit Unit: tick if any in h'hold		
1 Single adult, no children	(✓)	If known: how many?
2 Single adult with children		
3 Couple, no children		
4 Couple, with children		
5 or: Don't know		
IF CODES 1-4: How sure are you that your answers (about type/number of BU) are correct?		
sure	<input type="text"/>	not sure
		<input type="text"/>
Is any adult in paid work?		
Yes	<input type="text"/>	If known: how many adults?
No	<input type="text"/>	<input type="text"/>
dk/ref	<input type="text"/>	
END: Thank Respondents For Their Help		
Observation - ALL unproductive		

(OUTCOME CODES 31-56)	
What kind of accommodation is it?	
<u>House or Bungalow</u> :	
Detached	1
Semi-detached	2
Terraced/ end of terrace	3
<u>Flat or maisonette</u> :	
In a purpose built block	4
Part of a converted house/ other kind of building	5
<u>Room or rooms</u> :	
Room or rooms	6
<u>Other</u> :	
A caravan, mobile home or houseboat	7
Or some other kind of accommodation	8
Is this sheltered accommodation?	
Yes	1
No	2
IF FLAT / MAISONETTE / ROOMS : What is the floor level of this accommodation?	
CODE ONE ONLY	
Basement/semi-basement	1
Ground Floor (street level)	2
First floor (floor above street level)	3
Second floor	4
Third Floor	5
Fourth Floor	6
Fifth to ninth floor	7
Tenth floor or higher	8
Don't know	9
ALL : Are there any physical barriers to entry to the house/flat/ accommodation? CODE ALL THAT APPLY	
Locked common entrance	1
Locked gates	2
Security staff or other gatekeeper	3
Entryphone access	4
None	5
CONTACTED H'HOLDS ONLY: (OUTCOME CODES 42-56)	
Code ethnic group - Do you know or think the occupants are:	
CODE ALL THAT APPLY	
White	1
Mixed	2
Asian (Indian, Pakistani, Bangladeshi, other)	3
Black (Caribbean, African, other)	4
Chinese and other ethnic group	5
Don't Know	8
IF CODES 1-5 : How sure are you?	
Sure	1
Not sure	2

Appendix 5



DEPARTMENT OF SOCIAL SECURITY
THE ADELPHI
1-11 JOHN ADAM STREET
LONDON
WC2N 6HT

Dear Respondent

THE FAMILY RESOURCES SURVEY: SURVEY YEAR 2001-02

You will have received a letter about the Family Resources Survey. This has been sent jointly by two organisations, the National Centre for Social Research and the Office for National Statistics, who are undertaking interviews on behalf of the Department of Social Security (DSS).

Both organisations are well established and have a vast amount of experience in the conduct of surveys of households and individuals. The Office for National Statistics is responsible for the census of population which is undertaken every 10 years. The National Centre carries out social research, not only for the DSS, but also for other organisations and government departments.

If you would like further information or confirmation as to the authenticity of the interviewer, please ask to see their official identification card or contact the project co-ordinator at the Office for National Statistics on 020 7533 5442 (direct line).


We are very grateful for your co-operation.

Yours faithfully

A handwritten signature in black ink, appearing to read 'S. Elliott', with a large, stylized flourish at the end.

STEVEN ELLERD-ELLIOTT
Statistician, Family Resources Survey

Appendix 6



Family Resources Survey

What is the survey about and why should I take part?

national statistics

What is the Family Resources Survey?

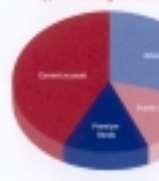
THE FAMILY RESOURCES SURVEY is a major, government sponsored survey. It includes a wide range of topics in order to provide facts and figures about the living standards and conditions of people in Britain today. The survey is about issues that affect everybody at some time in their lives.

Your involvement will allow the government to understand how different sections of the public are coping today and will inform them how society is affected by changes to taxes, benefits and the economic climate.

"A key finding was that three quarters of households are in receipt of at least one benefit, the most common being child benefit and the state retirement pension." *The Independent, August 1997*

The results of the survey are particularly important to helping the Department for Work and Pensions. Charley the CDD decide how to spend their budget of around £100 billion per year most effectively. The information collected will be used by the DWP for planning and analysing both trends and changes to the social security and tax systems.

Types of savings in households



Why was I selected?

AS IT IS NOT POSSIBLE to ask everyone to take part in the survey, a sample of addresses is selected to represent the entire country. This is known as a representative sample and is drawn from the Post Office's list of private addresses. We are not permitted to interview at addresses other than those which have been randomly chosen as this would introduce bias. **We very much hope that you and your household agree to take part.**

Proportion of adults in full time employment



Why should I take part?

TO BE CERTAIN THAT the information collected by the Family Resources Survey accurately reflects the living conditions of everyone in Britain today. It is important that those households who are selected take part and help us by giving the necessary information.

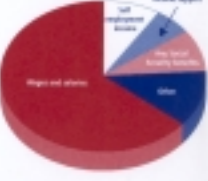
We are interested in people from all walks of life and in households ranging in size from single people living alone to large families.

"One in five retired couples and more than a third of single pensioners have no savings. The findings came in the annual Family Resources Survey for the Department of Social Security. Based on interviews with more than 26,000 households." *The Guardian, 30 August 1997*

Although you may think that many of the questions are not directly relevant to you, you should remember that people's circumstances change and at some time in the future you may find yourself with children, out of work, or saving for a house or retirement for example.

By taking part in this survey you are directly assisting the government in ensuring that the necessary finance is made available to those areas where it is most needed.

Weekly household income sources



Is the survey confidential?

YES, THE SURVEY IS CONFIDENTIAL and your privacy will be protected. The results are made available for statistical research purposes only and, as with all our surveys, names and addresses are never passed on with the data.

As a further assurance of confidentiality, results that identify people's local authority area, and which therefore might stand some chance of being identified with them or their households, are made available only to the research staff of government.

departments and reputable institutes who need to use these statistics from the survey.

The main users are the Department for Work and Pensions, who are sponsoring this project, the Department for the Environment, Food and Rural Affairs (formerly DETE), the Inland Revenue and the Institute for Fiscal Studies.

You can also be reassured that you will not receive 'junk mail' or be contacted by other organisations as a result of taking part. We do not pass addresses or details to other organisations for commercial purposes.

Who else uses the results of the survey?

- Age Concern
- London School of Economics
- Shelter
- Centre for Research in Ethnic Relations, University of Warwick
- Family Budget's Unit, King's College London
- National charities and academics, embassies and members of the public

What is the Office for National Statistics?

THE OFFICE FOR NATIONAL STATISTICS is the government department which gathers together and publishes a range of statistics about the society in which we live and about the economy. It is also the Office of the Registrar General for England and Wales.

The Office for National Statistics includes the Social Survey Division and carries out many independent surveys throughout Great Britain, providing information on the state of living, health, housing

and many other matters of public interest from the survey, for example:

- carrying out the census of population for England and Wales
- providing statistics on employment and unemployment
- providing statistics on businesses and the nation's finances and economy.

If you have any queries about the survey, you can contact us by writing to:

Family Resources Survey B15K
Office for National Statistics
1 Drummond Gate
London SW1R 3HQ

or telephoning 020 7033 9442 (direct line)


If you would like any further information about the Office for National Statistics, please contact the National Statistics Public Enquiry Service on 0845 601 3000 or by e-mail at info@statistics.gov.uk.

Alternatively, you may wish to visit our website at www.statistics.gov.uk

The Family Resources Survey is conducted by the Office for National Statistics in conjunction with the National Centre for Social Research (formerly ICPSR), an independent research institute.

The National Statistics logo shows that the statistics meet recognised standards of reliability and quality.

Appendix 7



National Centre for Social Research
Formerly SCPR

About the Family Resources Survey

What is the National Centre for Social Research?

The National Centre for Social Research was founded in 1967 (as SCPR) and is now Britain's largest independent non-profit social research institute.

We carry out many important national research studies, for government departments, research councils, and charitable foundations. Our research covers a wide variety of topics, including:

- Health**
Health Surveys for England
Scottish Health Survey
- Education**
Survey of Adult Learning
Scottish School Leavers Survey
- Household Resources**
Family Resources Survey
Study of Family Budgets
- Work**
Production Employee Relations Survey
Skills of the British Workforce
- Children**
Survey of Children at 3, 4 & 5 Year-olds
New Deal for Lone Parents
- Crime and the Law**
The British Crime Survey
Study of Access to Justice

What is the Family Resources Survey?

This study asks about the living conditions and resources of British households. Every one is included – people who live alone or with others, and with or without children.

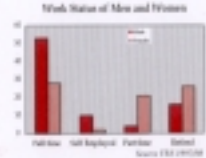
Some interviews are done by the National Centre and some are done by the Office for National Statistics.



Who uses the results?

The Department of Social Security uses the results to help plan the spending of their £80 billion budget. Results also provide insight into standards of living in Great Britain today.

Public bodies and charities who also use the results include:

- Age Concern
- Magfield Community Care Studies Unit
- Cardiff Business School
- Leeds Institute for Transport Studies



How are results used?

"On the basis of the Family Resources Survey, the estimate has been revised from 5.8 million disabled adults living in private households, to 8.6 million."

"The Guardian", March 1995

"The first ever analysis of women's individual incomes based on FRS... begins to map key issues facing women today."

Anna Reynolds, Director, Women's Unit 1995

"The figures based on FRS show a huge gap between rich and poor, with 60 per cent of the population living on below-average earnings..."

"The Independent", October 1999

Why have I been chosen to take part in this study?

It is not possible to ask everyone to take part, so we specially select people at households from lists such as the Post Office's list of addresses. To ensure accurate results, we have to rely on the people chosen for the study – nobody else can take their place.

Most people who are chosen agree to be interviewed, and enjoy the experience. No special knowledge is needed to take part.

Who are the interviewers?

The National Centre for Social Research has a team of around 1,000 highly trained interviewers, located all over the country. For most studies an interviewer will visit in person to conduct the interview.

All our interviewers carry a photo identification card which they will show you. Always ask for identification from any caller who is not known to you.

Our responsibility to you

When you take part

Your privacy is protected. Your answers, given in strict confidence, are used for statistical research purposes only. Names and addresses are never included with results.

Your participation in the study is, of course, voluntary. If you prefer not to answer any question, you may simply decline to do so, and at any time in the interview you may withdraw answers already given.

We will tell you the purpose of the research, and who is funding it.

No marketing data

You will not receive 'junk mail' as a result of taking part. We do not pass addresses to other organisations for commercial purposes.

The National Centre for Social Research

Formerly SCPR

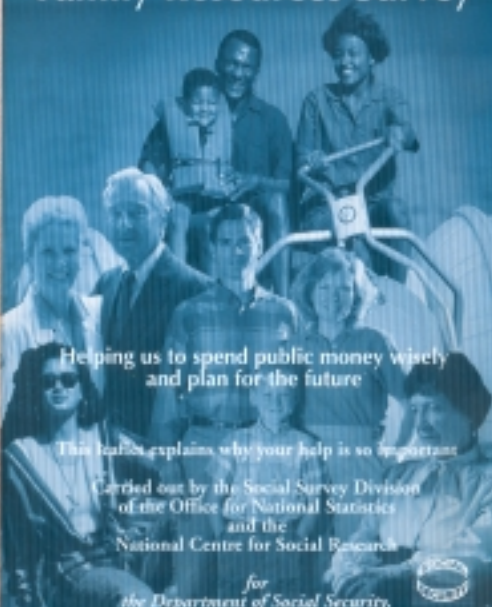
35, Southampton Square, London
EC2A 4AA

Glasgow House, 1 Stegons Square,
High School Fields, Edinburgh
EH3 1LL

Registered in Charity no. 248546

Appendix 8

Family Resources Survey



Helping us to spend public money wisely and plan for the future

This leaflet explains why your help is so important

Carried out by the Social Survey Division of the Office for National Statistics and the National Centre for Social Research

for the Department of Social Security.

Why does this survey matter?

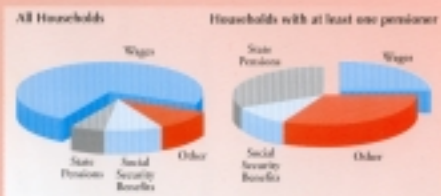
This important study is a major source of information in helping us decide how to spend the large social security budget of around £200 billion per year most effectively. It collects information on the circumstances of households and how they differ from one part of the country to another and from one type of household to another. The survey is about issues that affect everyone at some point in their lives.

Main uses of the results

Your interview will be combined with those of everyone else who helps us, and a statistical report will be produced summarising the results. We can then use the information for monitoring current trends, planning and forecasting, and exploring proposed changes to the social security and tax systems. Researchers, academics, charities, pressure groups and local government also make use of the survey's findings. Results from the Family Resources Survey have been used to look at the characteristics of those with disabilities and underpin published provisional estimates of the take-up of key disability benefits. The data is also used to monitor the number of people living below the poverty line.

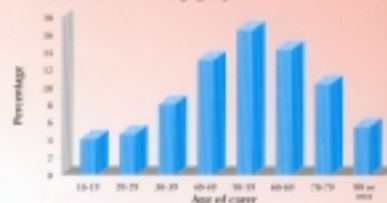
Here are some examples of findings from the survey

- Wages made up almost 1/3 of total income for households overall, but only 1/4 for households containing a pensioner.



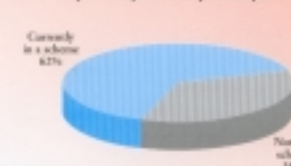
- One in ten adults provides informal care for someone who is sick, disabled or elderly - an average for 10 hours a week.

Informal caring in different age groups



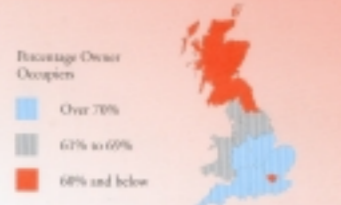
- Over a third of working adults are not in a pension scheme at work.

Membership of occupational or personal pension schemes



- Other useful information is collected on household characteristics, housing costs, employment, provision for retirement from pension schemes and receipt of Social Security benefits.

- In Great Britain as a whole, 67% of housing is owner-occupied. But there are regional differences.



All the information collected is confidential

The information that you and other respondents give us will be treated in confidence and the results will not be used in any way in which they can be associated with you or your address. You will not receive junk mail as a result of taking part. We do not pass addresses to other organisations for commercial purposes.

Contact Points

If you have any questions regarding interviewing or the survey please contact the Office for National Statistics (Tel: 0307 535 5442). If you have any queries on how the information is used please contact the DSS.

The Department of Social Security, Analytical Services Division (ASD/SE), 4th Floor, The Adelphi, 1-11 John Adam Street, London WC2N 6HT
e-mail: FRS-Team@ps41.dss.gov.uk

Your co-operation is very much appreciated.

Appendix 9

Standard Occupation Coding (SOC2000) – major groupings

Standard Occupation Coding (SOC2000) – major groups	Code
Managers and senior officials	1
Professional occupations	2
Associate professional and technical occupations	3
Administrative and secretarial occupations	4
Skilled trades occupations	5
Personal service occupations	6
Sales and customer service occupations	7
Process, plant and machine operatives	8
Elementary occupations	9

Socio-economic group (NS-SEC)²⁵

Description	Code
Employers in large organisations	1
Higher managerial occupations	2
Higher professional occupations – Traditional employee	3.1
Higher professional occupations – New employee	3.2
Higher professional occupations – Traditional self-employed	3.3
Higher professional occupations – New self-employed	3.4
Lower professional and higher technical occupations – Traditional employee	4.1
Lower professional and higher technical occupations – New employee	4.2
Lower professional and higher technical occupations – Traditional self-employed	4.3
Lower professional and higher technical occupations – New self-employed	4.4
Lower managerial occupations	5
Higher supervisory occupations	6
Intermediate clerical and administrative	7.1
Intermediate sales and service	7.2
Intermediate technical and auxiliary	7.3
Intermediate engineering	7.4
Employers in small organisations (non-professional)	8.1
Employers in small organisations (agriculture)	8.2
Own account workers (non-professional)	9.1
Own account workers (agriculture)	9.2
Lower supervisory occupations	10
Lower technical craft	11.1
Lower technical process operative	11.2
Semi-routine sales	12.1
Semi-routine service	12.2
Semi-routine technical	12.3
Semi-routine operative	12.4
Semi-routine agricultural	12.5
Semi-routine clerical	12.6
Semi-routine childcare	12.7
Routine sales and service	13.1
Routine production	13.2
Routine technical	13.3
Routine operative	13.4
Routine agricultural	13.5
Never worked/Long term unemployed*	14
Full time students*	15
Occupation not stated/inadequate description*	16
Not classified for other reasons*	17

* These categories were not delivered as part of the FRS database for 2001–02.

²⁵ For more detailed information about Socio-economic classification, please see the National Statistics Website www.statistics.gov.uk/methods_quality/classifications.asp

Industry Type

Description	Code
Agriculture, hunting and forestry	A
Fishing	B
Mining, quarrying, extraction of oil/gas	C
Manufacturing	D
Electricity, gas and water supply	E
Construction	F
Wholesale, retail and motor trade	G
Hotels and restaurants	H
Transport, storage and communication	I
Financial	J
Real estate, renting and business activities	K
Public administration and defence	L
Education	M
Health and social work	N
Other community, social and personal	O
Private households with employed persons	P
Extra-territorial organisations and bodies	Q

Full employment status – derived (ES2000)

Description	Code
Self-employed: large establishment (25 and over employees)	1
Self-employed: small establishment (1–24 employees)	2
Self-employed: no employees	3
Manager: large establishment (25 and over employees)	4
Manager: small establishment (1–24 employees)	5
Foreman or supervisor	6
Employee (not elsewhere classified)	7
No employment status information given	8

Appendix 10

Household Definition

The definition of a household is:

One person or a group of people who have the accommodation as their *only or main* residence.

AND (for a group)

Either share at least one meal a day; **or**

Share the living accommodation, that is, a living room or sitting room.

Residence

If a respondent has more than one address, their assessment of which is the *main* address is taken except in the following circumstances:

1. Adult children, that is, aged 16 and over who live away from home for purposes of either work or study and come home only for holidays should *not* be included at their parental address.
2. Anyone who has been away from the address *continuously* for 6 months or more should be excluded even if the respondent continues to think of it as their main residence.
3. Anyone who has been living continuously at an address for 6 months or more should be *included* at that address even if they have their main residence elsewhere.
4. Anyone who is searching for a permanent address in this country should be included at their temporary address, unless they are making a holiday or business visit only and remain resident abroad.
5. Addresses used only as second homes, that is holiday homes, should never be counted as the main residence.

Splitting into households

There are two alternative concepts involved in deciding which resident individuals are members of the same household. Most households will satisfy both criteria.

In order to form one household a group of people must:

Either share one meal a day; **or**

Share the living accommodation, that is, a living room or sitting room.

1. Sharing at least one meal a day. This should consist of a main meal but does not imply that the household must always sit down to a meal together provided the meal is bought and prepared for joint use. Breakfast may be counted as a main meal.

2. Sharing the living accommodation: that is, a living room or sitting room. Accommodation may still be counted as shared where the address does not have a living room which is separate from the kitchen, that is, where the main living room of the accommodation forms part of the same room as the kitchen. Similarly, a household can be treated as one if the living room is also used as a bedroom.
A group of people should *never* be counted as one household solely on the basis of a shared kitchen and/or bathroom.
Occasionally, an individual or a group of people will have both their own living accommodation (that is, living room/bedsitter and kitchen) and the use of a communal living room. In such cases, priority should be given to having their own accommodation, and they should be treated as separate households. Situations like this arise in, for example, warden assisted housing for the elderly, flatlet houses, or separate granny flats where the parent occasionally also uses the family living room.

In addition to these rules which must be applied there are some general points to note:

1. Members of a household need not be related by blood or marriage.
2. Boarders (that is, unrelated individuals paying for food and accommodation) should be included as members of the landlord's household provided that no more than three boarders are being catered for. If four or more boarders are catered for, the guests should be excluded and the proprietor's household only interviewed.
3. There are several groups of people who will only rarely stay at an address but who nevertheless have it as their main residence. Such groups are merchant seamen, fishermen, oil rig workers, children at boarding school and businessmen who are frequently away from home. For these groups and all others the 6 months rule (see Residence, 3.) applies.
4. To be included in a household an individual must sleep at the address when in residence: anyone who sleeps at one address but has all their meals elsewhere must therefore be included at the address where they sleep.

Some examples of the application of these rules are given in Liz McCrossan (1991) *A handbook for interviewers*, HMSO: London, p.50.

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