

# **Evaluation of the New Deal for Disabled People Personal Adviser Service Pilot**

*Technical Report*

**In-house report 89**

Carli Lessof, Harriet Becher, Anne Corden,  
Anne Green, Jon Hales, Robin Legard,  
Jane Lewis, Julia Loumidis, Susan Purdon,  
Roy Sainsbury, Bruce Stafford,  
Patricia Thornton and Robert Walker

# **Evaluation of the New Deal for Disabled People Personal Adviser Service Pilot - *Technical Report***

**A study carried out on behalf of the  
Department for Work and Pensions**

**By**

**Carli Lessof, Jon Hales, Robin Legard, Jane Lewis, Susan Purdon and Harriet Becher** (National Centre for Social Research), **Anne Green** (Institute for Economic Research) **Julia Loumidis and Bruce Stafford** (Centre for Research in Social Policy, Loughborough University), **Anne Corden, Roy Sainsbury and Patricia Thornton** (Social Policy Research Unit, University of York) and **Robert Walker** (Nottingham University)

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## The Authors

**Harriet Becher** has been a Researcher in the Quantitative Department of the National Centre for Social Research since 1999. In addition to New Deal for Disabled People, she has worked on studies covering a range of social policy areas, including the Health Survey for England and the National Surveys of NHS Patients.

**Anne Corden** is a Research Fellow from the Social Policy Research Unit in York. She has an established reputation for researching issues around social security benefits and work. She is one of the country's foremost authorities on self-employment and benefits.

**Anne Green** is Principal Research Fellow at Institute for Economic Research. Her particular interests are in spatial aspects of economic, social and demographic change; local labour market issues and information; migration and commuting; and urban and regional development.

**Jon Hales** heads a research group at the National Centre for Social Research. He and colleagues have conducted evaluations of all the main New Deal programmes in recent years. He is currently managing an evaluation of Employment Zones

**Robin Legard** joined the Qualitative Research Unit at the National Centre for Social Research as a Senior Researcher in 1994. He has worked on studies across a wide range of social policy areas, with a special focus on the areas of employment and education.

**Carli Lessof** is a Research Director in the Quantitative Department of the National Centre for Social Research. Carli is currently involved with the Evaluation of the New Deal for Lone Parents and the English Longitudinal Study of Ageing.

**Jane Lewis** is Director of the Qualitative Research Unit at the National Centre for Social Research, where she is responsible for qualitative research studies across a range of social policy areas.

**Dr Julia Loumidis** is a Research Associate at the Centre for Research in Social Policy. In addition to New Deal for Disabled People, Julia has been involved in secondary analysis of data from the National Survey of Expenditure on Children and of data collected in connection with Jobseeker's Allowance.

**Susan Purdon** is head of the Survey Methods Group at the National Centre for Social Research. She has a long standing interest in evaluation methods and is involved in a range of projects, particularly those which measure the impacts of public policy.

**Dr Roy Sainsbury** heads the Social Security Research team at the Social Policy Research Unit. He has a long track record of research on social security benefits, their impacts and their delivery.

**Dr Bruce Stafford** is the Director of the Social Security Unit at the Centre for Research in Social Policy. Bruce has undertaken various projects for the Department including a study of customer contacts with the Benefits Agency, qualitative work on the Contributory Principle and review of Housing Benefit and Council Tax Benefit Administration.

**Patricia Thornton** is a Senior Research Fellow at the Social Policy Research Unit where she manages the Disability Services Research Partnership for the Employment Service. Her recent work includes a study of users' views of Access to Work and major comparative studies of policies and practices relating to disability benefits and work, including strategies for job retention.

**Professor Robert Walker** is Professor of Social Policy at Nottingham University. He is a proponent of the analysis of administrative records to inform policy development and well known for his work on benefit dynamics and labour market issues. He is a member of the steering group for the Joseph Rowntree Foundation Employment and Opportunity research programme.

## 1 INTRODUCTION

This technical report presents the methods used during a programme of research that was designed to evaluate the New Deal for Disabled People Personal Adviser Service Pilot.

The Pilot Programme began in October 1998 with the intention of running for two years. The objectives of the Personal Adviser Service were to assist disabled people and those with a long-standing illness who want to work, to do so, and to help those who are already in work to retain their employment. The Service also sought to promote the abilities of disabled people and to extend the range of services available to them.

The pilot was first implemented in six pilot areas where the Employment Service delivered the Personal Adviser Service<sup>1</sup>. These were:

Sandwell  
Eastern Valleys: South Wales, Aberdare, Caerphilly, Merthyr-Tydfil  
Bolton  
Lanarkshire: Clyde Valley and Coatbridge  
Central Sussex: Brighton and Hove  
and Bristol East and Bath External

It was then extended to six other areas in April 1999 and delivered by partnerships that include private and voluntary sector organisations<sup>2</sup>:

Newham  
South Tyneside  
Mercia East  
South Devon  
Bedford and Luton  
and North Yorkshire

The Department for Work and Pensions (formerly DSS) and the Department *for* Education and Skills (formerly DfEE) commissioned a research consortium to undertake a programme of research designed to evaluate the Pilot Programme.

The consortium, SUCIS, was led by the Centre for Research in Social Policy at Loughborough University (CRSP) and included the National Centre for Social Research, the Social Policy Research Unit at the University of York, the Urban Institute in Washington and the Institute for Employment Research in Warwick.

### 1.1 Objectives of the Evaluation

The objectives of the evaluation were:

- to find out who took part in the New Deal for Disabled People, and why
- to learn how the Personal Adviser Service was working, and how it could be improved
- to find out what kind of help people were getting from their adviser and how this varied
- to assess how well the Personal Advisers helped people in the target group to get into or remain in work and

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<sup>1</sup> This is sometimes referred to as Tranche 1.

<sup>2</sup> This is sometimes referred to as Tranche 2.

- to establish how much the programme increased people's chances of returning to or remaining in work.

## 1.2 Elements of the Evaluation

Overall, the evaluation of the Personal Adviser Service involved a number of elements:

- Three waves of in-depth interviews with clients of the Personal Adviser Service, some of whom were followed up some 6-12 months after the first interview. The purpose of this study was to find out clients' views and experiences of the Personal Adviser Service, and to explore whether and in what way it helped them in moving towards work. Clients were selected to capture a range of individuals with different characteristics and at different 'stages' in the process.
- A study of Personal Adviser staff involving in-depth interviews and focus groups with advisers and an in-depth interview with a manager from each of the 12 pilot areas. The aim of the study was to understand both strategic and operational issues and ways of working with clients.
- Group interviews with Occupational Psychologists (OP) involved in NDDP - the OP from each area has been interviewed. This was conducted because earlier research showed that occupational psychologists had a leading role in the management and delivery of the pilot service.
- Depth interviews with employers – this involved 64 interviews with representatives of employing organisations. Employers were interviewed because, like clients, they were key customers of the pilot service. Personal advisers needed to work with employers in order to secure placements for clients. Interviews covered policies and practices in relation to employing disabled people and views and experiences of using PAS. Employers were selected to reflect different types of experience (e.g. taken on an employee, a placement, had contact through PAS publicity and marketing), as well as differences in size, sector and industry.
- Depth interviews with key stakeholders – this involved interviews with the 12 PA managers, and 16 interviews with 'partners' in 4 pilot areas, who are involved in some way in working in partnership with the lead organisation. The study explored the wider organisational context to the delivery of the pilot service, especially in the contract areas. Respondents were selected to cover a range of characteristics (particularly different ways of working in partnership, type of organisation, 'active' or 'inactive' as partners). Interviews explored the different forms that partnership working took, constraints and facilitators to partnership work, and in what ways it impacts on the design and implementation of the PAS.
- A qualitative study of job retention services for people at risk of losing their job – drawing on data from the interviews with clients, staff and employers described above, and involving additional depth interviews with staff with job retention responsibilities and three small-scale case studies exploring different ways of engaging and delivering services to clients and employers. A specific study of job retention was conducted in order to focus on one of the objectives of the pilot service, namely, to help disabled people at risk to retain their jobs.
- A survey carried out in Summer 1999 which was designed to provide early information about participants and non-participants *in the six Employment Service*

areas. The survey investigated the factors affecting participation and was conducted in response to concerns about the relatively low uptake of the programme. Most of these interviews were conducted by telephone but face to face interviews were also used to ensure people without telephones, or who could not be interviewed by telephone, would also be included.

- A second wave of fieldwork, carried out between May and July 2000, in which we:
  - followed-up respondents to the early survey mentioned above and carried out a large scale face to face survey to find out what had happened to them since their first interview (Sample 1);
  - carried out a survey of a booster sample of NDDP participants in the six Employment Service areas (Sample 4);
  - carried out face to face interviews with both NDDP participants and non-participants in the six Contract areas. This was intended to help us find out how the service they had received compared with what was offered by the Employment Service, and to discover whether there were any differences in what was achieved as a result of the scheme (Sample 2)
- The National Survey – this consisted of face to face interviews carried out outside the twelve pilot areas to provide an understanding of what would have happened in the absence of the New Deal for Disabled People. This large-scale survey was designed to provide indicative information from which the Government could attempt to calculate some baseline estimates for any national scheme that it might decide to introduce. This survey was carried out in 30 Benefits Agency districts following a postal survey (Sample 3).

### **1.3 Structure of the Report**

This report outlines the technical aspects of these particular elements. Section 2 describes the qualitative research that was conducted while Section 3 describes the quantitative research. Section 4 briefly sets out the methods used for a study of the characteristics of the 12 pilot areas conducted by the University of Warwick.



## **2 QUALITATIVE STUDIES**

### **2.1 Study Design and Research Methodology for Qualitative Research Studies**

#### **2.1.1 Use of qualitative methods**

The main evaluation objectives for the qualitative studies were to explore perceptions and experiences of the Personal Adviser Service among four key groups – Personal Adviser Service staff, service users or clients, employers and partner organisations. The nature of the research objective suggested a qualitative research design using mainly in-depth interviews. Group discussions were used as an additional element in the study of Personal Advisers, to enable the sharing of experiences and views, identify differences and act as a stimulus to further thought among respondents.

The function of qualitative research is not to provide data that is statistically representative but rather to describe, clarify and explain. The open-ended and responsive questioning techniques used in qualitative research were felt to be particularly suitable for encouraging participants in the study to describe their attitudes and behaviour, and to explain why they held certain views or took certain courses of action.

Qualitative research seeks to provide explanations of attitudes and experiences rather than quantify the degree to which they exist among any particular group. Qualitative samples are designed to provide robust explanations and to generate conceptual frameworks applicable to the broader population. Samples are therefore selected purposively to achieve a range and diversity among the population under study. The sampling design and strategy for each study, as well as details about the recruitment and conduct of the fieldwork, are given below.

Topic guides were designed for each study in consultation with the Departments. The purpose of these was to guide the interview or group discussion in a way that ensured coverage of all relevant areas, while allowing an exploratory and responsive style of questioning. Topic guides for each qualitative study are incorporated in each section.

Topic guides are used primarily as an aide-memoire for the researcher, to highlight the areas and issues that require questioning, probing or following-up when they arise during the interview or group discussion. The topic guide is not used as a structured research instrument with fixed questions in particular order. Rather, the researcher uses interviewing skills and personal knowledge of the subject area to adapt the interview or guide the group discussion according to each situation. Briefing of researchers ensures that each interviewer has a clear understanding of the research objectives, as well as what each section and sub-section of the topic guide is seeking to achieve. This enables consistency of topic coverage across interviews and group discussions.

#### **2.1.2 Methods of analysis**

Based on both tape recordings and the verbatim transcripts, a detailed content analysis of the qualitative data was undertaken. The analysis was undertaken using 'Framework', an analytic tool developed by the National Centre for Social Research. The first stage of the analytical process involves reading through the verbatim transcripts to identify the principal themes and sub-themes emerging from the data. A thematic matrix, consisting of six or seven A3 charts, is drawn up using the themes and sub-themes identified. Serial numbers for individual respondents are entered at the side of the charts. The material from the transcripts is then transferred onto the charts under the appropriate headings and against the serial number for the particular respondent. Each block of material on the charts has a page reference back to the verbatim transcript.



This method of analysis can be adapted to take account of themes that arise as the analysis develops, in that headings can be added or subtracted as required. It also allows for within case analysis, to see how expectations and perceptions help to shape behaviour and attitudes, and for comparisons to be made between cases.

A similar approach was taken with the analysis of the group discussions with Personal Advisers. Themes and sub-themes were identified and material from the transcripts entered on to charts (without identifying contributors). The thematic material from the groups was juxtaposed with that from the interviews, rather than amalgamated within a single charting system, in order not to lose the different emphases emerging from the two studies.

## **2.2 Site Visits**

### **2.2.1 Site visits to pilot areas**

Twelve visits were made, one to each of the areas delivering the Personal Adviser Service. The principal aims of the site visits were:

- to explore how each pilot area had established and operated the Personal Adviser Service, highlighting particular commonalities and differences between and within areas;
- to gain an understanding of the *structure* of service provision within each locality.

The visits were made shortly after the pilots had become operational. The six Employment Service pilot areas were visited between December 1998 and February 1999, and the six areas led by partnerships between July and September 1999. Each visit lasted one day. Within local offices, interviews were held with Pilot Managers and some of the Personal Advisers either singly or in groups. In some instances, interviews were also held with Occupational Psychologists and administrative staff. In the pilots led by the Employment Service, interviews with Personal Adviser Service staff were supplemented by contacts with respondents from other organisations identified by the Pilot Manager as having essential interests in the operation of the scheme. In most instances, representatives from at least two key service providers were interviewed in each of these six pilot areas.

Using tape recordings and extensive field notes, two research proformas were completed for each of the Employment Service led localities and one for the other areas. One covered the pilot office (completed for all 12 pilot areas) and the other the perspective of the other organisations (completed for Employment Service led pilot areas only). The topics covered by the pro formas are shown below.

### **2.2.2 Topic guide: Issues for coverage with Personal Advisers or managers**

#### **Objectives**

- To explore how each pilot had established and operated the Personal Adviser Service, highlighting particular commonalties and differences between and within areas.
- To gain an understanding of the *structure* of service provision within each locality.

#### **FACTS AND FIGURES**

Address  
Telephone  
Manager  
Local Authority areas covered

Local office caseload  
Number of Personal Advisers  
Total number of staff  
Other staff (e.g. occupational psychologists)

## **1 BACKGROUND INFORMATION**

- **Background of respondent**

Post held (Personal Adviser/Manager)  
Length of time in post  
How came to post (volunteered, selected etc.)  
Role within the Personal Adviser Service  
Establish whether respondent combines Personal Adviser post with other  
Other posts/jobs held  
Other offices where worked  
Degree of specialism in and within disability issues  
Previous position and occupational background  
Previous work experience with disabled people  
Previous work experience employers/providers/others  
Establish whether the right person for the job and if so, why  
Status

- **Staffing**

Where appropriate ask the following about Personal Advisers, occupational psychologists, and administrative staff:

Number  
Occupational background  
Work experience with disabled people  
Work experience with employers/providers/others  
Other skills, e.g. languages  
Roles and responsibilities  
Part-time/full-time

- **Management and Supervisory Structure**

Seniority  
Lines of reporting within Personal Adviser team  
Supervision arrangements  
Team working  
Management from Employment Service

- **Links**

With Employment Service and Employment Service Headquarters (DEAs and PACTs)  
With Benefits Agency  
Welfare rights advisers  
Other New Deals  
Jobcentres

- **Establishment of Personal Adviser Scheme**

First steps  
Recruitment and selection of staff  
Establishing offices  
Launch of the service  
Designing the service  
Establishing partnerships (employers, providers etc.)

Discretionary budget (amount, use and control)  
Problems  
Future activity

- **Training**  
Design and content of the training programme  
Providers  
Duration  
Adequacy

## **2 PERCEPTIONS OF LOCAL LABOUR MARKET**

- **Perceptions of local labour market**  
Key employers  
Key industries and occupations  
Level and nature of unemployment  
Buoyancy of labour market  
Conditions of employment  
Communications and local job opportunities
- **Employment/opportunities for disabled people**  
Key employers  
Perceptions of employer attitudes/policies

## **3 CLIENTS**

- **Facts and figures about clients**  
Number  
Rate of client participation (caseloaded or attended introductory interview)  
Definition of participation:  
Route to NDDP (e.g. Benefits Agency letter, outreach work etc.)
- **Range of characteristics of participants**  
Age and sex  
Ethnic minority status  
Nature of impairments and health problems  
Work histories and length of time unemployed  
Suitability and employability  
Motivation and job readiness
- **Perceptions of clients' barriers and needs**  
Barriers to employment and employability  
Needs (training, support, experience)
- **Perception of the ability of existing services to meet the needs of their clients**

## **4 NON-TAKE UP**

Level of non-take-up  
Reasons for non-take up  
How improvements can be made to encourage participation

## 5 PERSONAL ADVISERS IN ACTION

- **Route to interview**  
Letter, referral, marketing or other  
Views on the letter of invitation
- **Initial interview and any other assessment process**  
Content of initial interview
- **Identifying needs and drawing up action plans**  
Content of action plan, when completed and re-assessed
- **Identifying possible providers, trainers, employers**  
Liaison with providers, trainers, employers
- **On-going contact with clients**  
Case closures
- **Work with 'at risk' employees and in any outreach work**
- **Liaison with GPs or other medical professional**

## 6 INFORMATION RECORDING

Purpose – check whether information management systems are working within local offices

- **Liaison with Benefits Agency generally**  
Establish what liaison is there meant to be (issuing letters, benefit advice and transferring data for monitoring purposes)  
Establish what is actually happening  
Establish how well they know relevant Benefits Agency colleagues  
Problem areas (causes and solutions)
- **Information received from Benefits Agency**  
Variables and access to information  
Does Benefits Agency/Employment Service have names of those who received letters?
- **Information recorded by Personal Advisers or Employment Service on participants**  
Detail, format, how collated, whether compatible with other records, access
- **Information recorded by Employment Service about potential participants**  
For example, those who make inquiries but do not become participants
- **Information passed from Employment Service to Benefits Agency**  
Establish who tells Benefits Agency about participants, how and when  
Establish what Benefits Agency are told about participants from 'at risk'/outreach sources  
Queries raised by Benefits Agency

## 7 SERVICE PROVISION

- **Mapping exercise of key organisations**

Identification of all organisations involved in providing training/support/employment experience and any other services to disabled people (whether or not involved in NDDP). Such as:

- Training schemes/agencies
- Disability groups
- General advice/support groups
- Other voluntary organisations
- TECS, other intermediaries
- Local colleges
- Employers

Establish what stage are they at in their mapping exercise.

- **Identify any *gaps* in provision in terms of quality, type of training/support, populations or volume**

- Gaps in provision in terms of quality
- Gaps in provision in terms of type of training/support
- Gaps in provision in terms of populations covered
- Gaps in provision in terms of volume

- **Sources of information about current/potential providers**

- **Expected impact of NDDP on level/nature/adequacy of provision**

## 8 ANY OTHER STAKEHOLDERS

*For example, employers, advice agencies or disability groups*

- **Establish the nature of stakeholder involvement pre-NDDP and after**

Establish what could/should/might be their role in the future

- **Other relevant initiatives in local area**

Explore whether any current or possible role in NDDP

- **Other relevant organisations in local area**

Names of other relevant organisations

## 9 NDDP PROGRESS

Potential of NDDP to meet objectives

Successes so far

Obstacles so far

Suggestions for future development

### 2.2.3 *Topic guide: Issues for coverage with other agencies*

#### **Objectives**

- To map provision of training, support and other services for people with impairments or health problems.
- To identify key players in NDDP.
- To collect other relevant information about local labour markets.

## **FACTS AND FIGURES**

Organisation's name and address  
Telephone  
Organisation's manager  
Total number of staff  
Fieldwork visitors

### **1 NATURE OF ORGANISATION**

Nature of activities  
Status (voluntary, private, local, national etc.)  
Degree of specialism in and within disability issues  
Nature of involvement in NDDP  
Role of respondent within organisation

### **2 LINKS WITH NDDP**

Links with Employment Service pre-NDDP  
Contacts with and current role in NDDP  
Cases taken and referrals made  
Information sharing  
Potential contribution to NDDP  
Factors influencing involvement  
Links with other New Deals

### **3 EXPERIENCE OF NDDP**

- **Liaison with Personal Advisers and Employment Service**  
Establish how many Personal Advisers and offices the organisation deals with  
Nature and quality of liaison
- **Perceptions of participants' suitability, employability, motivation, job readiness and route to NDDP**  
Suitability, employability, motivation, job readiness  
Route to NDDP (e.g. Benefits Agency letter and outreach work)
- **Perceptions of participants' barriers and needs**  
Participants' barriers to employment and employability  
Needs of participants in terms of training, support and experience
- **Ability of organisation to meet participants' needs**  
Establish whether the organisation perceives itself able to meet participants' needs  
If unable to meet participants' needs establish why referred to them and where they should have been referred
- **Information recording**  
Information received from Employment Service  
Information recorded by organisation  
Information passed to Personal Advisers or Employment Service

### **4 RELATIONSHIP WITH OTHER STAKEHOLDERS**

Awareness of other organisations involved or who could/should be involved in NDDP

Gaps, conflicts, problems in relationships with different organisations/stakeholders  
Identify any *gaps* in provision in terms of quality, type of training/support, populations or volume

## **5 PERCEPTIONS OF LOCAL LABOUR MARKET**

- **Perceptions of local labour market**  
Establish the key employers  
Establish the key industries and occupations  
Level and nature of unemployment  
Buoyancy of labour market
- **Employment /opportunities for disabled people**  
Establish the key employers  
Perceptions of employer attitudes/policies

## **6 OVERALL PERCEPTIONS OF NDDP**

Potential of NDDP to meet objectives  
Obstacles identified  
Suggestions for future development

### **2.3 Study of Partnership Arrangements**

The main part of the study of partnership arrangements was carried out through in-depth interviews with 16 representatives from organisations working in partnership with the Personal Adviser Service, in four of the pilot areas. The study also drew on data collected from in-depth interviews with the Pilot Managers in each area. The interviews with managers provided a greater breadth of knowledge about partnership arrangements as they covered all 12 areas. Details about the methods used for the Pilot Manager interviews are reported in Section 2.4 of this report.

#### **2.3.1 Design and selection of sample**

The sample was designed in consultation with the Departments, and based on information about partnership working in each area gathered in interviews with Pilot Managers. It was decided to carry out the research in three contract areas and one Employment Service led area. While contract areas were deliberately set up to involve organisations in a partnership, initial evidence showed that pilots in Employment Service areas were also working in partnership with a range of organisations. Ideally, more than one case study would have been conducted in the Employment Service led areas, but it was decided to limit the number of areas in order to provide greater focus for the relatively small number of overall interviews.

The aim was to select four pilot areas, that differed from each other in a number of key ways, to enable comparison and in-depth exploration of arrangements in each area. The areas and individual organisations were selected on the basis of information provided by Pilot Managers about their 'partner' organisation. The following dimensions were represented within the four areas:

- type of lead organisation: one local Employment Service, two non-profit organisations, one private sector organisation;
- one rural area, one inner city, one urban and one mixed area;
- the involvement of a range of different types of partner organisation;

- number of partners: two areas had a smaller number (less than five) and two a larger number of partners;
- different ways of working with partner organisations were represented (e.g. joint development of services, provision of advice/information, involvement in management functions, seconding staff); and
- the manager's appraisal of effectiveness of partnership working: three where manager felt partnership was working well, one where it was felt not to be working so well.

Within each area, in-depth interviews were conducted with a representative from each of four partner organisations. The selection of organisations was guided by local partnership arrangements rather than seeking to replicate the same type of organisations in each area. The aim was to achieve a spread of different types of organisation across each area, representation of the Benefits Agency and/or the Employment Service in each area, and partners who were more and less active at the time of fieldwork. Decisions about which partners were active or not were made on the basis of information from the Pilot Manager, and were based on the degree to which partners contributed to the organisation or delivery of the pilot over and above attending advisory or partnership group meetings. The distribution of the sample between areas is shown in Table 1.

**Table 1            Distribution of the sample of partner organisations**

<b>Employment Service area</b>	<b>Contract area - A</b>	<b>Contract area - B</b>	<b>Contract area - C</b>
<ul style="list-style-type: none"> <li>• Benefits Agency</li> <li>• Active service provider</li> <li>• Less active service provider</li> <li>• Local authority – social services department</li> </ul>	<ul style="list-style-type: none"> <li>• Regional Employment Service</li> <li>• Local authority – chief executive's department</li> <li>• Active service provider</li> <li>• Disability user organisation</li> </ul>	<ul style="list-style-type: none"> <li>• Regional Employment Service</li> <li>• Active service provider</li> <li>• Less active service provider</li> <li>• Private sector employer</li> </ul>	<ul style="list-style-type: none"> <li>• Regional Employment Service</li> <li>• Benefits Agency</li> <li>• Active service provider</li> <li>• Less active service provider</li> </ul>

### **2.3.2 Recruitment and conduct of interviews**

A letter was sent by the research team to the relevant representative from the 16 selected organisations explaining the purpose of the research and assuring confidentiality (this letter is reproduced in section 2.3.4). In each organisation, we sought to interview the person who was the main organisational contact with the pilot scheme. The letter was followed by a telephone call from the research team to give more information about the study, invite participation and to set up an appointment. On occasion, this call enabled us to identify the most appropriate member of staff to talk to - the person who had the most involvement in partnership working at a strategic level. Nobody declined to take part.



The in-depth interviews were carried out in July and August 2000, by members of the research team at the *National Centre for Social Research*, using topic guides constructed in consultation with the Departments. Each interview lasted about an hour, and took place at respondents' offices. All were tape recorded and transcribed verbatim.

### **2.3.3 Topic guide: NDDP partnership arrangements**

#### **Introduction**

- About National Centre (+ SUCIS)
- About the study; DSS/DfEE
- Confidentiality and taping

#### **1 Background**

- Respondent job/role details
- Organisation details

#### **2 Current role in NDDP**

- Nature of current involvement in NDDP
  - explore full range (eg service provision, advisory, secondments, dealing with clients/employers, marketing)
- How became involved in NDDP
  - when/ how/ why
  - existence of past working relationship; impact on becoming involved
  - ease or difficulty in becoming involved (issues around setting up/tendering)
- How has their role(s) changed or developed during involvement with PAS
  - factors underpinning change (moving closer together or further apart)
  - *probe fully if has become less active*
- Involvement in any other local partnerships (with NDDP partners or not?)

#### **3 Definitions and understanding of partnership within NDDP**

- who do they work in partnership with (just lead organisation, or others?)
- what do they understand as 'partnership' in NDDP
- roles/contributions of partners; (how clear are these)

#### **4 Ways of working in partnership**

- Who in contact with (eg PA manager, others in lead organisation, direct with other partners)
- How is contact initiated/maintained
- Nature of decision-making within partnership
  - Level of working (strategic v operational; collective v individual)
  - *Example of decision-making?*
- Nature of relationship with PA manager (eg lines of accountability)
  - views about manager and manager's role
- Nature of any contractual arrangements (or terms of reference?)
  - funding/financial arrangements

#### **5 Views about ways of working**

- What worked well/less well
  - At what stages; why
- Working with ES and/or BA
  - Ease, difficulties, any developments
- Feelings about time and resource involved

## **6 Contributions and impact**

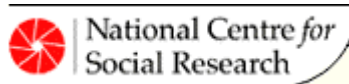
- Impact on individual and own organisation of being involved
  - impact on organisation's own policies and practice
  - impact on organisation's pre-existing partnership with lead organisation
- Impact on wider context, eg other organisations, other partnerships
- Contribution to goals of NDDP (eg service development, employers, clients)
  - contribution of individual and of own organisation
- How has working in partnership made any difference
  - to goals of NDDP
  - to how organisations already work together

## **7 Effectiveness of partnership working**

- What makes partnership work
  - NDDP partnership; partnership generally
  - Types of organisation, types of people, ways of working/support
- What makes things difficult for partnership working
  - NDDP partnership; partnership generally
  - Types of organisation (incl ES or BA?), types of people, ways of working

## **8 Suggestions and recommendations**

- Impact of NDDP existing within government context
  - Views about role played by DfEE/ES
- Suggestions for change or development
  - explore views about different 'models' of partnership
  - gaps/ further scope for partnership



10 July 2000

Dear

**RESEARCH STUDY OF NEW DEAL FOR DISABLED PEOPLE PERSONAL ADVISER SERVICE**

*The National Centre for Social Research* (formerly SCPR) is an independent research institute carrying out an evaluation of the New Deal for Disabled People Personal Adviser Service. We are enclosing a letter from the Department of Social Security (DSS), who have commissioned this research on behalf of the Department for Education and Employment (DfEE).

As part of the evaluation, we have already spoken to clients of the service, to employers and to Personal Advisers and service managers. We would now like to gather the perspectives of other organisations who have been involved in the design or delivery of the Personal Adviser Service. We understand that your organisation has had some involvement with the service in your area and are writing to ask for your help with this stage of the research.

Our aim in talking to key representatives from local organisations is to find out about your experiences of being involved with the Personal Adviser Service. We aim to speak to people who have been involved in a range of different ways, to different degrees, and at different stages in the evolution of the service. We would be interested in what you have to say whether you are still directly involved with the service or not.

The interview would last for around one hour, and would take place at your office (or another place if that is more convenient) and at a time that suits you. The research will be carried out confidentially. The names of organisations and people taking part (and indeed the pilot areas involved) will not be known outside the research team, and nothing would be reported in a way that could identify individuals or organisations.

A member of the research team will telephone you in the next couple of weeks to see whether you would be willing to be interviewed, and if so to arrange an interview. We would very much appreciate your help with the study and do hope that you will be able to take part.

Yours sincerely  
Sue Arthur  
Maxine Bailey  
Jane Lewis



Social Research Branch  
Department of Social Security  
Room 4/22 The Adelphi  
1-11 John Adam Street  
London WC2N 6HT  
*Phone:* 020 7962 8689  
*fax:* 020 7962 8542  
*e-mail:* [t.williams@MS42.dss.gsi.gov.uk](mailto:t.williams@MS42.dss.gsi.gov.uk)

July 2000

Dear Colleague

EVALUATION OF NEW DEAL FOR DISABLED PEOPLE PERSONAL ADVISER SERVICE
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I am writing to request your assistance in an important study being conducted as part of the evaluation of the New Deal for Disabled People (NDDP) pilots which are currently running in your area.

The Department of Social Security and the Department for Education and Employment have jointly commissioned a programme of research to evaluate the NDDP pilots from a variety of perspectives: sick and disabled clients; employers; staff in the Employment Service and non-governmental organisations delivering the Personal Adviser Service pilots; and organisations who are working in partnerships in the design and delivery of the service.

As part of this programme of research, the National Centre for Social Research have been appointed to explore the experiences of organisations that have been involved in the Personal Adviser Service. We have asked the research team there – Sue Arthur, Maxine Bailey, and Jane Lewis – to speak to representatives from a range of local organisations with different types and levels of involvement. I do hope you will be able to find the time to talk to the research team. Their letter provides further details about what this will involve, but if you have any further queries about the project, please feel free to contact me.

Yours sincerely

A handwritten signature in black ink, appearing to read 'Teresa Williams'.

Teresa Williams  
Principal Research Officer

## **2.4 Study of Personal Adviser Service Staff**

Over the course of the evaluation the following fieldwork was carried out with staff of the pilots.

Before September 1999 (data contributing to the interim report, Arthur et al., 1999):

- two group events involving 12 Personal Advisers from the Employment Service led pilots (March 1999); and
- individual in-depth interviews with a further 12 Personal Advisers from the Employment Service led pilots (April/May 1999).

After September 1999:

- individual in-depth interviews with 12 Personal Advisers from the contract areas (October/November 1999);
- two group events involving 12 Personal Advisers from the contract areas (November/December 1999);
- individual interviews with Occupational Psychologists in 11 pilot areas (January/February/March 2000);
- individual interviews with managers in all 12 pilot areas (February/March 2000); and
- two group events involving 12 Personal Advisers from the Employment Service led and contract areas (May 2000).

### **2.4.1 Conduct of the fieldwork**

The individual and group interviews with Personal Advisers in the contract areas in late 1999 replicated the methods used in the Employment Service led areas in March 1999. In selecting Personal Advisers to take part, the aim was to achieve equal representation from all pilot projects, a spread of prior employment experience, inclusion of Personal Advisers with more experience of working with clients and (particularly in Tranche Two) specialist responsibilities within the projects, also paying attention to the gender balance among respondents. Interviews with managers, Occupational Psychologists, and the combined groups of Personal Advisers required new topic guide designs. All interviews were tape recorded and transcribed for analysis.

### **2.4.2 Depth interviews with Personal Advisers in the contract areas**

Depth interviews with Personal Advisers in the contract led areas were held in the pilot offices and generally lasted an hour and a half. Topics covered in the interviews included:

- initial interviews;
- progress planning;
- increasing clients' employability;
- supporting clients into paid work;
- key inputs from the Personal Adviser Service; and
- the added value of the pilot service.

### **2.4.3 Group events with Personal Advisers in the contract areas**

The focus of the group discussions with Personal Advisers from the contract areas was on changes and development in the delivery of the Personal Adviser Service. Topics covered:

- the characteristics of the clients;
- methods of working with clients;
- administrative arrangements;
- working with other agencies;

- working with employers; and
- Personal Advisers' expectations of the pilot service.

The events were held in York and London. Personal Advisers from the North of England attended the York group. Advisers from the South of England attended the London venue.

#### **2.4.4 Interviews with Occupational Psychologists**

The focus of the interviews with Occupational Psychologists was on how they worked with clients to facilitate their move towards and into work, the personal, organisational and external resources required, and the opportunities and constraints they encountered. The aim was to examine the practices of Occupational Psychologists within the Personal Adviser Service with the objective of identifying lessons for developing service delivery in the future.

Interviews were conducted with Occupational Psychologists in 11 pilot areas either face-to-face or by telephone. One pilot area did not use the services of an Occupational Psychologist. Topics covered in the interviews included:

- the personal background of the Occupational Psychologist;
- role within the Personal Adviser Service;
- characteristics of clients seen;
- client referrals;
- working with clients;
- arranging and co-ordinating services; and
- reflections on the contribution of Occupational Psychologist service to clients.

#### **2.4.5 Interviews with Pilot Managers**

Managers have important roles to play in relation to the internal management of the pilot and the performance of the Personal Adviser Service team, and in relation to the external environment of partnership members, providers of training and other services, and the labour market and employers. The interviews concentrated on *change* in the organisation and delivery of the Personal Adviser Service. Topics covered in the interviews included:

- background and role of manager;
- internal management of the pilot service;
- role of Personal Advisers;
- clients;
- at risk clients/job retention services;
- partnership arrangements;
- the network of service providers;
- the local labour market and employers; and
- performance and outputs of the pilot.

#### **2.4.6 Personal Adviser group events**

These events were different from earlier events. They brought together Personal Advisers from the Employment Service and contract pilots with the aim of comparing and contrasting experiences. The scope of the events was as follows:

- to explore how and why the pilots had developed, and examine the impacts of any changes;
- to explore similarities and differences between Employment Service and contract pilots, and discuss the pros and cons of different models of organisation and delivery; and

- to explore Personal Advisers' views of the staffing and resource requirements for an effective Personal Adviser Service.

The events were held in Sheffield and Bristol. Personal Advisers from the North of England and Scotland attended the Sheffield group. Advisers from the South of England and Wales attended the Bristol event.

#### **2.4.7 Topic guide: Personal Adviser in-depth interviews, Tranche One<sup>3</sup>**

##### **Explanatory note**

The focus of the interviews was on how Personal Advisers work with clients. The objective was to improve understanding of the relationship between Personal Advisers' approaches and the achievement of pilot project outcomes as currently measured, by:

- exploring Personal Advisers' views of desirable objectives and criteria for assessing outcomes;
- exploring Personal Advisers' perceptions of their clients' needs and of the appropriate role of the Personal Adviser Service in meeting those needs; and
- identifying difficulties and constraints experienced by Personal Advisers in practice, and their suggestions for overcoming them in the light of their experiences so far.

The issues explored were broadly similar to those covered in the Tranche One interviews with Personal Advisers, while taking account of organisational differences (notably partnership working and targets) and policy changes, such as the introduction in April 1999 of financial incentives for incapacity benefits claimants; and building on what had been learned from the Tranche One interviews, in respect of seeking exemplification with cases from experience.

Issues relating to Personal Advisers personal approaches were explored by discussing with each Personal Adviser a case selected by them from their own experience, which they had found complex and challenging. The case study was a heuristic device for exploring Personal Advisers' assumptive worlds, the experience which informed their approach, the role of other pilot staff, and the constraints imposed and opportunities created by how the pilot scheme had been framed. Consideration of the case served as a spring-board for discussion of approaches taken in similar or different cases. It was not the aim to gather 12 detailed studies for reporting.

##### **TOPIC GUIDE**

Note: at all points in the guide, the researcher should ask how typical the example is, and seek illustrations of instances where different approaches have been taken

##### **Initial interviews**

- 1.1 Can we start by going back to the time just before the *first* interview with the client.
  - What, if anything, did you already know about the client?
  - Had you formed any idea of what the client might be like before you met him/her?
  - Had you any particular concerns about the case before you met the client?
  - Looking back, would it have made a difference if you had known more/less about the client at the start?
  
- 1.2 Could you please briefly tell me how the *first* interview went.

---

<sup>3</sup> The programme was first implemented in six pilot areas and delivered by the Employment Service. This is sometimes referred to as Tranche 1.

- So, how did the client seem to you as the interview developed? (Confident/unsure, well-informed/uninformed)
  - During the interview, what views did you form about whether and how the client could benefit from the NDDP?
  - What seemed to be the barriers to employability/employment for the client?
  - How typical was this client and the barriers facing him/her?
  - What do you think had been achieved by the end of the interview?
  - What was good or bad about the interview?
  - If you could start again, in what ways would you conduct the interview differently?
  - How different was this case from others which did not progress beyond this stage?
- 1.3 What other contacts, if any, did you have with the client, before action planning began?
- What were the reasons for further contacts?
  - Who suggested them?
  - What did they achieve?
- 1.4 At what point did you decide to 'case-load'?
- did you have any concerns about this?
- 1.5 Looking back over the whole of the initial interview stage (up to case-loading)
- what do you feel about the time it took?
  - how well equipped did you feel to handle the issues arising?
  - what about the resources available to you? (e.g. input from other staff)
  - were there points at which the client might have left the project?
  - what was similar to and different from other cases?

#### Action planning

- 2.1 When action planning started, what were you working towards? (Intermediate outputs/final outcomes; increasing employability/paid work )
- 2.2 Could you explain how further action was planned:
- who suggested the elements of the plan(s) (client, Personal Adviser, other staff?)
  - what was proposed and why?
  - did you or the client identify any obstacles to implementation?
  - what other ideas or options were considered or rejected?
- 2.3 Can you explain how the action plan(s) was implemented and how progress was recorded:
- where did responsibility lie for carrying out the planned actions?
  - how easy or difficult was it to carry them out?
  - how easy was it to say whether aims had been achieved?
- 2.4 Looking back over the action planning process:
- what do you feel about the time it took?
  - how well equipped did you feel to handle the issues arising?
  - what about the resources available to you? (e.g. input from other staff)
  - what were the similarities to and differences from other cases?

#### Increasing employability (where relevant)

- 3.1 Please elaborate on what increasing employability involved in this case
- what did you think needed to be done?
  - what did the client think was needed?
  - how did you resolve any differences of opinion or constraints on possibilities?



- 3.2 How much success has there been in increasing employability?  
 - how are you assessing how employability has increased (what criteria or measures are used)?
- 3.3 In an ideal world, what do you think should be done so that this client's employability increases?  
 - what are the obstacles and constraints? (Probe for individual, labour market and service factors; environmental and social barriers)

#### Assessment of input to case

- 4.1 Thinking about the Personal Adviser Service, what inputs have been most useful in this case?  
 - Prompt for practical help, money, emotional/psychological support, financial advice, etc
- 4.2 What other inputs from other people/organisations have been helpful?  
 - Prompt for family, other professionals, services
- 4.3 At what stages have these inputs been most useful?
- 4.4 Looking back, were there other things that the client needed which the Personal Adviser Service did not or could not offer?  
 - what were the obstacles?  
 - how could the Personal Adviser Service be changed to improve the service to the client?

#### Added value of Personal Adviser Service

- 5.1 What differences has the Personal Adviser Service made to the client in your view?
- 5.2 If asked to describe the case to a colleague, how would you sum it up?

### **2.4.8 Topic guide: Personal Adviser in-depth interviews, Tranche Two<sup>4</sup>**

#### **Explanatory note**

Tranche 2 in-depth interviews with Personal Advisers focused on *practice*, to inform delivery of the service. Personal Advisers were asked about their work directly with clients; how they facilitated their move towards and into work; the personal, organisational and external resources required; and the opportunities and constraints Personal Advisers encountered. The topic guide is constructed to explore Personal Advisers' approaches to working with clients in all stages from the point of contact through to entry to, and support in, paid work. Personal Advisers were asked to exemplify their practices with cases from their own experience.

#### **TOPIC GUIDE**

Personal Adviser background and role

Previous experience

Appeal of the job

Any specialist roles or responsibilities within the team

---

<sup>4</sup> The NDDP was extended in April 1999 to six areas where the programme was delivered by private and voluntary sector organisations. This is sometimes referred to as Tranche 2.

## Attracting clients

- 2.1 How do clients get to know about the Personal Adviser Service (letters, types of publicity, outreach work)?
- 2.2 What seems effective in encouraging clients to come forward?

## Receiving clients

- 3.1 How do clients get in touch with the Personal Adviser Service?
- 3.2 What happens when clients approach the Service?
  - any checks on eligibility - are clients encouraged or screened out
  - how are ineligible cases or discouraged clients handled
  - what information, if any, is given to the client
  - what information is gathered from client
  - views on the reception process
- 3.3 How are clients allocated to Personal Advisers - geographical area/specialist knowledge?
- 3.4 What do you usually know about the client before you meet them?
  - views on the amount and type of prior information
- 3.5 Arrangements for first interview
  - where are interviews held?
    - advantages and disadvantages of different locations; for client and for Personal Adviser

## Initial interviews

**Check** project terminology and procedures. **Ask** how many times might see a client prior to caseloading; typical length of interview; duration of initial interview stage.

- 4.1 Thinking about the clients you have seen, how would you describe their attitudes and expectations at the first interview?
  - e.g. how did [selected example] seem?
- 4.2 What seemed to have been the barriers to this client moving towards work?
  - what were the barriers facing other clients you have seen?
- 4.3 Using the case you have chosen, can you tell me briefly how the first interview went?
  - what do you aim to cover?
  - what sorts of things do you typically discuss? Who raises them? [**Check:** review of benefits received; better-off calculation.]
  - what information might you give clients? [**Check:** information on what service offers; work prep; therapeutic/voluntary work; Incapacity Earnings provision; 52-week linking rule; in-work benefits/DPTC; worktrial/jobfinders' grant/jobmatch; AtW; JIS; DDA]
  - might you discuss these or provide information at a later stage?
- 4.4 How are follow-on interviews arranged?
  - Probe issues of keeping clients involved - avoiding/facilitating drop-out
- 4.5 Are you ever unsure about whether a client can benefit from the New Deal?

- how do you proceed in such cases? [**Check:** opinion of GP/ consultant; referral to occupational psychologist; consult Personal Adviser team]

4.6 How do you decide when to invite the client to join your caseload?

#### Action/progress planning

- 5.1 Can you explain how the way forward for the client is identified and negotiated, drawing on a pre-selected case
- what was proposed and why, and by whom - client/Personal Adviser/other staff?
  - what other ideas or options were considered?
  - was anyone else consulted - by client or Personal Adviser?
  - how easy is it to reach agreement; what are the difficulties?
  - in this case, did you identify any obstacles to progress?
- 5.2 We are interested in who does what in drawing up a formal plan and recording progress
- how is the plan documented and progress recorded - who has ownership?
  - what is the purpose of a written plan?
    - how useful is the plan - to the client/Personal Adviser?
- 5.3 Who does what, in implementing what is decided?
- what might the Personal Adviser typically do?
  - what might the client typically do?
  - who else is involved?
  - what difficulties have been met?
  - Personal Adviser's views on distribution of responsibilities

#### Identifying needs, arranging and co-ordinating services

We are interested in how you work with clients to identify what help they might need to move towards work.

- 6.1 Thinking of pre-selected clients, can you explain
- how you help identify work-related goals; other sources of vocational guidance and assessment used or considered?
  - other needs; financial, health, social, family, housing etc
  - how well equipped to assist; sources of support used or considered; any problems met?
- 6.2 Can you give some illustrations, from your cases, of how the service can help people who are not ready to enter paid employment?
- Check for:
- voluntary work
  - educational and vocational training courses
  - basic skills, confidence building, etc
  - work placements
  - work trials
  - training in jobsearch and presentation skills
- how easy is it to find and access opportunities?
  - what is the role of your own organisation/organisations in the partnership as provider of services?
  - how are external services paid for?
  - how adequate and responsive is local provision; any gaps?

- any issues in co-ordinating support for the client?
- 6.3 Can you give some examples of clients getting help for job search, applying for vacancies, job brokerage, interviews?
- in what circumstances might a client get help in these ways?
  - who provides help with what: Personal Adviser, team specialist, partner provider, other provider?
  - how adequate/ appropriate are types of help provided?
  - who is best equipped to provide help: **Probe** for access to LMS?
  - what obstacles are met in assisting clients move into paid work?
- 6.4 What contacts do Personal Advisers have with employers in the course of work placements or job brokering?

#### In-work support

We are interested in whether clients and their employers need support in the early days of a new job.

- 7.1 Is this something you have experienced or envisage?
- in what sorts of circumstance might clients need or ask for in-work support?
  - in what circumstances might employers want or need support; of what kind?
  - who might provide in-work support?
  - what would it involve?
- 7.2 How easy is it to provide in-work support?
- what are the potential difficulties for Personal Advisers?

#### Overall reflection on the Personal Adviser Service

- 8.1 Thinking about the cases you have selected, what differences has the Personal Adviser Service made to the clients?
- what inputs from the Personal Adviser Service have been most useful for the clients? **Check** for one-to-one support, financial advice, specialist services, job-brokering etc?
  - what inputs from other people or organisations have helped: other professionals, family, etc?
- 8.2 Did the clients want or need things which the Personal Adviser Service could not or did not offer?
- what were the obstacles?
- 8.3 Who benefits most from the Personal Adviser Service?
- are there people for whom the service is not appropriate?
- 8.4 What are the issues that you have found most difficult?
- what have you found the most satisfying aspects of your work as a Personal Adviser?

#### **2.4.9 Topic guide: Personal Adviser group interviews, Tranche One 1999**

#### **Explanatory note**

The focus of the group discussion was on perceived developments in the NDDP. The objectives were:

- to enable the researchers to gain an up-to-date picture of how the projects are currently operating (there are known to have been some important changes and developments since the initial site visits);
- to throw light on the reasons for and directions of any developments which have taken place, and those which are anticipated, and the associated opportunities/advantages and problems/disadvantages, as perceived by the people who are putting the NDDP into operation;
- to gain further perspectives on the extent to which experiences and perceptions are shared among offices.

## TOPIC GUIDE

### Session One: Group discussion

#### *Clients*

Have you perceived any differences in the characteristics of the people who are now approaching the NDDP?

- motivation
- employability
- age/gender/ethnicity
- health status
- income/benefit situation
- route/referral.

What do you think is happening here? (reasons/opportunities/disadvantages)

#### *Personal approach in work with clients*

Have you perceived any change in the way you are working with clients?

- directiveness
- flexibility
- prioritisation
- goal-orientation
- scope of interventions
- case-load
- pace of case management
- choices made
- decisions to withdraw

Why has your approach changed in this way? (reasons/opportunities/regrets)

#### *Administrative arrangements*

What have been the major developments recently, and are there any immediate plans to change the way your office works? Probe:

- team/individual working
- supervision/training
- role of administrative support services/receptionist/OP
- staff turnover
- location/site
- record-keeping/stats

What has influenced these developments? (reasons/opportunities/disadvantages)

### *Agencies and organisations in NDDP area*

Have there been any developments or changes in the way in which key official or voluntary agencies work with you? Probe:

- Benefits Agency
- ES/DEAs
- local providers of training, work preparation, courses, education
- GPs/health service workers
- social workers
- advice/support agencies

What do you think is happening here? (reasons/opportunities/disadvantages/problems)

### *Local employers*

Do you see any changes or new developments in employers' response to the NDDP?

Probe:

- number of employers in touch
- business organisations represented (small; national)
- occupational and industrial sectors represented
- response to PAs' approaches
- enquiries/initiatives by employers
- reasons for involvement

What is influencing employers? (opportunities/disadvantages)

What about the scope for self-employment?

### *Personal Advisers' expectations and aspirations*

Have these changed at all, since you started work? (reasons, beliefs).

## **Session Two: Group exercise**

The objective of this exercise was for Personal Advisers to think about and discuss how far the particular characteristics of their own locality influence what can be achieved in the NDDP. The purpose of this exercise was to learn more from the Personal Advisers themselves about the effect of local issues on the shape and potential effectiveness of the NDDP. Characteristics of the local environment may both impose some constraints, or offer particular opportunities for the NDDP.

In the exercise, the group divided into three pairs, each Personal Adviser working with their colleague from the same office to draw up a short list of the characteristics of local environments which MIGHT be influential. Personal Advisers' contributions were compared with a pre-prepared list which included:

- labour market developments
- local wage structures
- geography
- ethnic diversity
- patterns of ill-health
- local politics
- local stake-holders
- local infra-structure.

Personal Advisers discussed these in the light of their own experience, drawing directly on the notes and list they had made.

## **2.4.10 Topic guide: Personal Adviser group interviews, Tranche Two 1999**

### **Explanatory note**

The focus of the group discussions was on service delivery to our understanding of what works, for whom and in which contexts. The objectives were:

- to add to our understanding of similarities and differences among the Tranche 2 pilot projects, and between Tranche 1 and Tranche 2 projects
- to identify changes or developments in approaches to service delivery and explore reasons behind, and influences on, such developments
- to explore Personal Advisers' perceptions of the opportunities/advantages and problems/disadvantages of different ways of delivering the service
- to explore Personal Advisers' views of the purposes and boundaries of the service: who is the scheme for; who is most likely to benefit and why; what should a Personal Adviser Service offer; and how does it fit with other sources of support?
- to add to our understanding of Personal Advisers' work with employers.

### **TOPIC GUIDE**

#### **Session One: Group discussion - Approaches and Developments in Service Delivery**

##### *Pilot project organisation*

Have there been any developments in:

- Physical organisation? Probe: office location; patch-working, team/individual working
- Staffing and roles? Probe: staff complement and turn-over; composition of teams; balance of specialist and generic working; specialist appointments - benefits advisers, marketing officers, OPs; special roles for Personal Advisers; roles of reception or administrative staff
- Procedures? Probe: communications and communications technology; recording systems

Why have changes been introduced; what has influenced these developments?

What are the advantages and disadvantages? For effective service delivery? For you? For the clients?

##### *NDDP clients*

How would you describe the kinds of people you are seeing, in terms of their:

- expectations and motivation
- readiness for employment
- health conditions and impairments
- age/gender/ethnicity
- income/benefit situation

What appear to be effective ways of encouraging people to come forward?

- Explore methods:
  - letter; media; advertising; outreach to professionals; outreach to potential clients
- Explore messages:
  - style/independence of service; financial incentives

Have there been any changes in the kinds of people approaching the Personal Adviser Service? What do you think is happening here?

What are the implications of these developments for service delivery - opportunities or new problems?

*Work with clients*

Have there been any changes or developments in the way you work with clients?

- Explore workload and operational factors:  
caseloads; pace of case management (time); decisions to case-load;  
prioritising of clients; impact of working to targets; delegated budgets
- Explore case-management:  
action planning; consultation with other professionals; direct working with  
clients/referral to specialists

Why has your approach changed in this way?

Are there new opportunities here, or do you have any regrets about the change in approach?

What about your own training and development needs?

- initial training and emerging needs - met and outstanding
- benefits advice/better-off calculations
- effects of impairments
- ICT

*Work with other agencies and organisations*

How are the links between the Personal Adviser Service and other agencies and organisations evolving?

- role of organisations in your Partnerships
- provider organisations - work preparation, training, courses, education, jobsearch
- liaison with other professionals working with clients - social work, health service, GPs, advice agencies
- links with disabled people's groups
- relationship with Benefits Agency and ES

Which are working well and which, if any are problematic? Are there links which need to be developed?

*Aims and objectives of the Personal Adviser Service*

What are the objectives of the service?

Who should the service be aimed at?

**Session Two: Small group discussion/plenary - Work with Employers**

Opportunities for Personal Advisers to meet employers, and constraints

Personal Advisers' skills and preferences about direct work with employers

Perceptions of employers' requirements and receptiveness to Personal Adviser Service provision

Involvement of employers in partnerships

Location of responsibility for marketing the service



Barriers to involving employers in the NDDP

#### **2.4.11 Topic guide: Personal Adviser groups, Tranches One and Two, May 2000**

##### **Explanatory note**

One Personal Adviser from each pilot project participated. The main objective was to draw on Personal Advisers' experience of the NDDP pilot projects to inform the organisation and delivery of services using Personal Advisers for work-related advice and support to recipients of long-term incapacity benefits. A secondary objective was to create a learning opportunity for representatives from the 12 Personal Adviser Service pilot projects, allowing them to exchange practical experiences and potentially inform the development of their service.

The main focus was on the staffing and resource questions facing agencies which aim to deliver a Personal Adviser Service to incapacity benefit recipients. A secondary focus is on issues relating to different models of implementation.

##### **TOPIC GUIDE**

##### **Session One: Staffing and resources**

###### *Staff deployment*

- individual/team working
- patch-working
- specialism/generic working (according to type of health condition or impairment, intensity/type of support)

###### *Management, supervision and mentoring*

- decision-making and accountability
- support needs, sources and adequacy of support
- personal development needs

###### *Training*

- content and form of training received
- adequacy, relevance, frequency
- timeliness

###### *Workload*

- caseload allocation and size
- pace of case management

###### *Targets*

- impact on working practices
- impact on caseload management

##### **Session Two: Personal Advisers' conceptions of their role**

The second session focused on how Personal Advisers conceived of their role vis-a-vis clients and employers, and how they saw their role in relation to that of professionals in other agencies. The session comprised small group and whole group discussions.

##### ***Sub-group discussions***

Participants were split into two sub-groups of three. Each sub-group was set a different discussion topic.

Sub-group one: *What have you learned from clients, and how easy or difficult is it for that learning to inform Personal Advisers' practice?*

Sub-group two: *What have you learned from employers, and how easy or difficult is it for that learning to inform Personal Advisers' practice?*

### **Whole group discussions**

#### *Personal Adviser/client relationships*

- helping, advocating for, enabling, empowering

#### *Personal Adviser roles with employers*

- facilitating client placement/influencing policies and practices in employment of disabled people

#### *Professional roles and boundaries*

- how do Personal Advisers define their remit
- what overlaps with other professionals do they perceive
- what distinguishes Personal Advisers from other helping services; where could/should boundaries be drawn

#### *Role conflicts*

- what role conflicts do Personal Adviser Service experience, and can dilemmas be resolved.

## **2.4.12 Topic guide: Occupational Psychologist in-depth interviews**

### **Explanatory note**

The focus of the interviews was on how occupational psychologists work directly with clients; how they facilitated their move towards and into work; the personal, organisational and external resources required; and the opportunities and constraints occupational psychologists encountered. The aim was to examine practice, with the objective of identifying lessons for service delivery. Occupational psychologists will be asked to explain their practices by drawing on cases from their own experience.

### **TOPIC GUIDE**

#### **1. Occupational psychologist background and role**

- background, previous experience
- training and qualifications
- what attracted occupational psychologist to Personal Adviser Service job?
- contractual relationship with Personal Adviser Service
- who are they accountable to?

#### **2. Role of occupational psychologist in relation to clients**

2.1 How does occupational psychologist fit in to the overall Personal Adviser Service?

2.2 What is occupational psychologist trying to do in relation to client?

- establishing work goals of client?
- increase 'employability' of client?
- report for Personal Adviser?
- concrete plan of action?

2.3 Any role in 'at risk'/job retention cases?

- 2.4 Does occupational psychologist have a therapeutic role?
- 2.5 To what extent does the concept of 'employability' play a part in what occupational psychologists do?
- do they try to measure 'employability'? How?

### **3 Clientele**

- 3.1 What sort of clients are referred to occupational psychologist?
- e.g. mainly people with mental health problems? Learning disabilities? Multiple conditions?
- 3.2 Differences with other clienteles? e.g. with ES caseload, if appropriate
- what differences?
  - implications? e.g. for time needed with client, nature of work with client
- 3.3 Reflections on types of client being referred?
- are there clients who *should* be referred but are not? How are these identified?

### **4 Client referrals**

- 4.1 How are clients routed to the occupational psychologist?
- by whom? (Personal Advisers only? Receptionists?)
  - what criteria are used?
  - are clients ever refused by occupational psychologist? Why?
- 4.2 What does occupational psychologist usually know about the client before you meet them?
- views on the amount and type of prior information
- 4.3 Does the system of referrals work satisfactorily?

### **5 Working with clients**

- 5.1 arrangements for first interview
- where are interviews held? ever in client's home?
  - are any clients excluded at this stage?
- 5.2 What are clients' attitudes and expectations generally?
- are clients knowledgeable about role of occupational psychologist? Is this important?
  - how does occupational psychologist explain his/her role?
- 5.3 What seem to have been the main barriers to clients moving towards work?
- 5.4 What sorts of things does occupational psychologist typically do with clients?
- e.g. Employment Assessments/ vocational assessments/ cognitive/psychometric tests
- 5.5 What information might you give clients?
- 5.6 Typically, how many times would occupational psychologist aim to see a client?
- over what period?
  - do clients often drop out?

- 5.7 What contact does occupational psychologist have with Personal Adviser during this time?
- 5.8 What is the end product of occupational psychologist work with client?
- 5.9 What involvement does occupational psychologist have in relation to client's job search activity?
- 5.10 Is occupational psychologist subject to any form of performance measurement or targets?
- 5.11 What is occupational psychologist caseload (now)?
  - how has it changed? - numbers? characteristics?
  - is caseload at right level/manageable?

## **6 Arranging and co-ordinating services for clients**

- 6.1 Does occupational psychologist refer client to outside services, or make arrangements?
- 6.2 What links does occupational psychologist have with other services?
  - health services
  - social services

## **7 Other roles of occupational psychologist**

- 7.1 What is occupational psychologist's role in relation to Personal Advisers?
  - Probe for following roles: advisory, training, mentoring, monitoring, line management
- 7.2 What is occupational psychologist's role in relation to the management of the Personal Adviser Service?
- 7.3 What is occupational psychologist's role in relation to service development and effectiveness?
  - e.g. research role?
- 7.4 What is occupational psychologist's role in relation to networking, marketing and employers?
  - including in-work support for clients

## **8 Overall reflections on the Occupational Psychologist Service**

- 8.1 Thinking about their input, what differences has the occupational psychologist service made to the clients?
  - what inputs from the occupational psychologist service have been most useful for the clients?
- 8.2 Has occupational psychologist developed any new/different ways of working with New Deal clients?
- 8.3 Did the clients want or need things which the occupational psychologist could not or did not offer?

- what were the obstacles?
- 8.4 Who benefits most from the input of an occupational psychologist?
  - are there people for whom the service is not appropriate?
- 8.5 What are the issues that occupational psychologist has found most difficult?
- 8.6 What has occupational psychologist found the most satisfying aspects of his/her work?
- 8.7 How do occupational psychologists see their role in relation to what Personal Advisers do?
  - any overlaps?
  - conflicts/tensions?
  - gaps in service?
  - is role of occupational psychologist understood by Personal Advisers?
- 8.8 What, if any, are the continuing challenges facing occupational psychologists?
  - e.g. caseload, clients' needs, targets?

## **9 The future**

- 9.1 How should occupational psychologist role develop?
- 9.2 More widely, how should Personal Adviser Service develop?

### **2.4.13 Topic guide: Personal Adviser Service manager in-depth interviews**

#### **Explanatory note**

The interview with the manager covered both internal and external aspects of his or her role. Managers have important roles to play in relation to the internal management of the pilot and the performance of the Personal Adviser Service (PAS) team, and in relation to the external environment of partnership members, providers of training and other services, and the labour market and employers. The main emphasis of the interview was on *change* (in the demands made on the PAS and in the organisation and delivery of the service), why these changes have occurred, and how these have impacted on the outcomes and outputs of the NDDP.

#### **TOPIC GUIDE**

### **1 Background and role of manager**

- 1.1 Personal details
  - length of time in post
  - how came to Manager post (volunteered, selected etc)
  - previous employment
  - whether combines Manager post with others
  - degree of expertise/specialism in disability issues
  - courses/training/qualifications since becoming a PAS Manager
- 1.2 Changes in overall role of manager
  - aims and objectives of Manager
  - nature and role of performance targets
  - balance between staff management, development work, external liaison, trouble shooting etc.

- promotion/marketing of the PAS

### 1.3 Relations with Employment Service (where appropriate)

- nature of formal link with ES
- changes in ES involvement in PAS

## 2 Management of the PAS

*(Interviewer to recap on existing knowledge of how PAS was organised, number of Personal Advisers, occupational psychologists, other staff etc. when area visit took place, and changes we have heard about since.)*

### 2.1 Changes in internal organisation of PAS

- numbers and types of staff
- specialisation within PA team (eg intake, job search, at risk clients)
- management structures

### 2.2 Reasons for changes

- ES related
- responses to external stimuli (e.g. increased client numbers)
- responses to internal pressures (e.g. staff leaving)
- proactive reasons (e.g. trying new ideas, developing links with employers or disability organisations)

## 3 Role of Personal Advisers and occupational psychologists

### 3.1 Changes in **Personal Advisers'** day to day work (NB identify changes imposed by management)

- how clients are selected for the scheme
- when and how to 'exit' clients
- timing and content of action plans
- types of help offered/provided
- what **Personal Adviser** is trying to achieve with clients (eg more emphasis on paid work?)
- reasons for these changes

### 3.2 Aptitudes of **Personal Advisers**

- views about skills/competencies required (how have these changed?)
- views about quality of staff
- changes to training provided to new and more experienced **Personal Advisers**
- changes to training providers
- outstanding training needs
- problems or difficulties related to training

### 3.3 Use of Interventions Fund

- changes in policy (eg amounts **Personal Adviser** can authorise, types of use)
- changes in actual use (eg more/fewer high cost items?)
- buying in services (eg training courses, job coaches)

*[Tranche 1 pilots only]*

### 3.4a Changes in service provided by occupational psychologist

- services for clients
- input to work of **Personal Advisers**
- input to management of pilot

- reasons for changes

[Tranche 2 pilots only]

- 3.4b Changes in service provided by occupational psychologist
- what are arrangements for providing occupational psychologist, or equivalent, services to PAS
    - who (provider organisation)
    - contractual arrangements (number of hours, consultations etc)
    - how accessed by PAS
  - nature of service provided
  - how has service changed over life of pilot
    - reasons for change
  - views on type and amount of occupational psychologist input
  - views on impact/contribution of occupational psychologist to PAS and clients
  - future plans

[All]

- 3.5 Influence of benefit provisions
- perception of impact of benefit innovations being piloted
    - Work trial
    - IEP
    - Jobfinders Grant
    - Jobmatch payments
  - perception of influence on PAS work of:
    - all work test
    - therapeutic work
    - voluntary work
    - linking rules

## 4 Clients

- 4.1 Changes in how clients are approached
- letters
  - other forms of publicity/outreach
  - policies relating to home visits
  - reasons for changes
  - perceived impact of changes
  - other ideas for encouraging participation
  - what would manager do if starting from scratch
- 4.2 Changes in premises
- location
  - facilities
  - reasons for changes
  - perceived impact of changes
- 4.3 Response from clients (ie the Manager's perspective rather than necessarily direct experience)
- increase/decrease in participation of clients
  - changes in characteristics of clients (eg age, type of disability, distance from labour market)
  - changes in aspirations/expectations
  - reasons for changes/responses to changes
- 4.4 Who is gaining most from PAS?
- any types of client benefiting more than others?

- any groups excluded?

## **5 At risk clients/job retention services**

- 5.1 Saliency of job retention activity in the pilot
  - level of resources directed to job retention
  - changes in prominence of job retention activity
  - reasons for changes
- 5.2 Elements of the strategy to promote job retention
  - interventions to support employees at risk
  - timing of intervention
    - when, why
    - differences between different types of client
  - support to employers of employees at risk
  - influencing employers' retention policies & practices
  - promoting involvement of other agencies (GPs, health trusts, insurers etc.)
  - where main emphasis lies
  - changes in focus
- 5.3 Any operational definition of 'at risk' clients
  - long-term sickness absence, fluctuating conditions, risk of dismissal, etc
  - changes in definition
  - views on appropriate intervention points
- 5.4 How job retention service is delivered
  - Personal Adviser Service staff/contractors/partners
  - reasons for resource allocation
  - changes in delivery arrangements
- 5.5 Problems met and whether/how overcome
  - level of demand
  - accessing clients
  - accessing employers
  - co-ordinating inputs (eg occupational health, medical services, Access to Work, insurers)
- 5.6 Performance and effects
  - how far aims/targets have been met
  - how effectiveness is measured
  - perceptions of quality of job retention service
- 5.7 Views on appropriate agency for job retention services

## **6 Partnership arrangements with external organisations**

*(Interviewer to adapt language to fit circumstances and language of respondent, e.g. whether refer to Partners, Steering Group etc.)*



### *Key players, roles and responsibilities*

- 6.1 Who they are currently working in partnership with
  - definitions of 'partner'; who counts and why
  - who are key/active, who are less key
  - details about partners (size, nature of work, status)
- 6.2 Nature of key players' current involvement in the PAS
  - provision of premises or staff (**Personal Advisers**, occupational psychologist)
  - service provision (nature and amount of client contact)
  - strategic/advisory role (e.g. key individuals within organisation)
- 6.3 How involvement of partners has changed or developed since first established
  - movements in and out of partnership
  - new or different responsibilities
  - how and why did changes come about
  - how were changes implemented
- 6.4 Feelings about current roles of partners or players
  - scope for further change or development

### *Working arrangements*

- 6.5 *CHECK: Contractual arrangements*
  - between partnership and DfEE/ES
  - between different partners
- 6.6 What do they see as the strengths of working in partnership
  - how does working in partnership contribute to goals of NDDP
  - any weaknesses of working in partnership
- 6.7 Nature of PAS manager's relationship with partnership/steering group
  - e.g. lines of accountability
  - manager involvement in shaping involvement and roles of partners
  - feelings about opportunities and constraints of this role
- 6.8 Current nature, frequency and type of contact (e.g. formal/informal)
  - how has this changed or developed
  - why
- 6.9 Nature of decision-making within partnership
  - *explore an example of decision-making* (e.g. implementation of in-work support or job retention aspects of PAS)
- 6.10 Development or changes in working with ES and BA
  - access to ES services and support
  - ease of establishing links with ES; difficulties encountered
  - how and why did changes come about
  - relations with Benefits Agency, and BA decision makers
    - role in partnership
    - liaison arrangements, levels of co-operation
  - ease of establishing links with BA; difficulties encountered
  - how and why did changes come about

### *Effectiveness and impacts of the partnership*

- 6.11 In what way has working in partnership made a difference to the development of services (to NDDP clients)

- new or different services
  - new or different ways of delivery
  - scope for further development (e.g. current gaps)
  - what has helped and what has hindered
- 6.12 What is the impact on other local organisations
- key local organisations or types of organisations not working in partnership; reasons why not
  - provision by others of services for PAS – strengths, difficulties
  - development of any new or different relationships
- 6.13 What aspects of the partnership have contributed to effectiveness
- ways of working (of partnership, different partners, individual representatives)
  - involvement of different types of organisations
  - ways in which they help effectiveness (impact on clients?)
- 6.14 Any concerns about aspects of the partnership which have constrained effectiveness
- ways of working (of partnership, different partners, individual representatives)
  - involvement of different types of organisations
  - ways in which they limit effectiveness (impact on clients?)
- 6.15 Suggestions/recommendations for future design and delivery of NDDP
- explore impact of different models of partnership

## **7 Network of service providers**

- 7.1 Changes to network of service providers
- overview (scale of change, growing network? stable? declining?)
  - changes to number and type of provider
  - details of *new* providers
  - changes to services provided by existing providers (eg new training courses, increased numbers of clients taken, new services)
  - reasons for changes (eg generated by NDDP?)
- 7.2 Assessment of provider services
- views on quality of services provided
  - gaps in service (continuing? new?)
  - problems/difficulties with provider organisations
- 7.3 Future developments
- known developments
  - involvement of NDDP in development of services

## **8 Local labour market and employers**

- 8.1 Changes in local labour market- big employers- key industries, occupations- level and nature of unemployment/long term unemployment- buoyancy of labour market
- 8.2 Changes in employment/opportunities for disabled people- key employers- perceptions of employer attitudes/policies

- 8.3 Reasons for changes
  - any impact of PAS
  - effects on PAS (opportunities, constraints)
- 8.4 Development of PAS role with employers
  - changes to marketing strategies
  - changes to input from employers (e.g. involvement in work trials)

## **9 Performance and effects of PAS**

- 9.1 Perception of impact of PAS
  - how much difference has PAS made?
  - where has PAS made a difference? where has it failed to impact? (where is PAS 'added value'?)
  - is impact what was expected?
  - has PAS met manager's own expectations/aspirations when he/she took up post?
- 9.2 Performance of PAS
  - how is performance measured (how has this changed?)
  - what is performance of pilot
  - perception/measures of quality of service
- 9.3 Perceived effect on clients
  - short term and longer term effects
  - work and non-work effects
  - what has helped and what has hindered
  - comparison of effects on different client groups

## **10 Overall views about PAS**

*(NB discussions will now take place within context of major policy decision to merge Benefits Agency and Employment Service)*

- 10.1 Major lessons learned in course of pilot *(including what DID NOT work)*
  - about working with clients
  - about working with employers
  - about service provision for clients
  - about skills required by staff (and who can provide these)
  - operational issues
  - targets/performance measures (are they the right ones? what have been pros and cons?)
- 10.2 Views about PAS as a programme
  - perception of objectives and ability to deliver
  - views on whether the PAS target group of long-term benefit recipients is appropriate/sensible/too wide/too narrow
  - is PAS appropriate/best model for getting people into work/staying in work
  - ways of making delivery of PAS more effective

### **2.5 Study of Clients**

The study of clients consisted of in-depth interviews with 91 people who were currently or had been in touch with the Personal Adviser Service. They were not necessarily people who had agreed to a progress plan or were formally on the Personal Adviser's caseload.

Follow-up interviews were conducted with 26 of these clients, some 6-12 months after their first interview.

### **2.5.1 Design**

The aim was to explore perceptions and experiences of clients across all pilot projects, and in particular to investigate:

- expectations of the service and reasons for taking part;
- experiences of the service and the processes involved; and
- the range of impacts and outcomes.

The study group was built up in three stages:

- 30 early entrants to Employment Service pilot projects, interviewed during April/May 1999;
- 31 early entrants to Contract led pilot projects, interviewed in November/December 1999; and
- 30 later entrants to all pilot projects, interviewed in April/May 2000.

Follow-up interviews were conducted in April/May 2000 with 26 of the early entrants.

### **2.5.2 Selection of Study Group**

At each stage, the sample was designed in agreement with the Departments, with the aim of achieving diversity over a number of key characteristics. The Department of Social Security drew initial samples of people who had been or were currently in touch with the Personal Adviser Service, from the Benefits Agency database, which is compiled on the basis of administrative returns from each Personal Adviser Service. The samples were designed to represent a range among the following primary sampling variables:

- sex;
- date of birth;
- invited to participate or not;
- equal distribution among pilot areas; and
- whether 'caseloaded' or 'exited', as recorded by the pilots.

From the initial sampling frames, purposive study groups were built, using quotas for these variables which were agreed with the Departments. Quotas were generally achieved, except where difficulties with recruitment or relatively low representation in the initial sample made this impossible.

The database also contained information which was used as secondary sampling variables:

- recorded impairment or health condition;
- incapacity benefit received;
- year of claim for incapacity benefits; and
- 'stock' or 'flow' (in relation to incapacity benefits claim).

These variables were monitored during recruitment to ensure further diversity.

The design of the study group was also shaped by the type of information available on the Benefits Agency database. This meant that it was not possible to take account of dimensions such as the number of contacts between the client and the pilot service, or any of the activities undertaken while using the pilot service.

The sample selection was also dependent on the full recording of client details by each Personal Adviser Service. Occasionally, relevant information was missing or characteristics recorded on the Benefits Agency database and used for selection of the group were not confirmed by clients. There were particular discrepancies in respect of the route to the scheme, whether a client had been exited from the Personal Adviser Service, and the type of impairment or health condition.

On the assumption that impairment or health condition might be one factor which had an impact on the perception of or experience of the Personal Adviser Service, the study group was built to include people from a number of broad categories of conditions. It was also hoped that this would ensure that people with particular conditions, e.g. mental health problems or sensory impairments, were not excluded. In the event, the broad categories were fairly fluid. Some people had impairments or health conditions which fitted more than one category. Some people probably did not disclose some impairments or conditions during the research interview. However, it is known that each component of the study group included:

- people with sensory impairment;
- people with a musculo-skeletal condition or impairment;
- people who had had mental illness;
- people with learning difficulties; and
- people with a long-term or disabling illness.

In deciding which clients to invite to participate in follow-up interviews, four groups were selected, in respect to the stage they had reached in moving towards or returning to work when the researchers first met them:

- people who were in some form of work (including therapeutic and voluntary work);
- people who were looking for jobs and/or going for interviews;
- people taking part in, or actively planning to take part in, a training course, work preparation, work placement or educational course with a view to eventual employment
- people who were not considering work, or recorded as 'exited'.

**Table 2 The client study group profile**

	<b>Early entrants: Employment Service pilots</b>	<b>Early entrants: contract led pilots</b>	<b>Later entrants: all pilots</b>	<b>Total</b>
<b>Sex:</b>				
Men	17	16	14	47
Women	14	14	16	44
<b>Age:</b>				
20-29 years	9	7	5	21
30-39 years	9	4	11	24
40-49 years	7	8	6	21
50 years and over	6	11	8	25
<b>Incapacity benefit claimed (from BA database):</b>				
Incapacity Benefit (long-term)	11	14*	10	46*
Incapacity Benefit (short-term)	3		8	
Severe Disablement Allowance	5	4	4	13
National Insurance credits	8	3	7	18
None of above/not known	4	9	1	14
<b>Client type (from BA database):</b>				
'Stock'	24	19	20	63
'Flow'	7	6	10	23
Not known	-	5	-	5
<b>Whether invited to take part:</b>				
Yes	21	16	25	62
No	10	14	5	29
<b>Family and household circumstances, at time of research interview:</b>				
Living as lone parent	2	2	3	7
Living with partner and children	9	5	6	20
Living with partner (and, for some, Other adult family members)	10	10	11	31
Living with parents	4	6	6	16
Living alone	5	5	3	13
Living in shared accommodation or adult placement	1	1	-	2
No information	-	1	1	2

\* Long and short term IB recipients could not be separated in the contract led pilots

### **2.5.3 Recruitment**

Respondents were recruited by the research team. Initially, a letter explaining the research and offering an opportunity to withdraw was sent to the samples from the Department for Work and Pensions (copy of this letter is reproduced in section 2.5.6). Following this, the Departments made contact with each pilot project to update the Benefits Agency data provided for each client. Names and addresses of those who had not withdrawn after two weeks were passed to the research team, who made contact with potential respondents, building up the study groups at each stage according to the criteria agreed for selection.

Initial contact was often made by telephone, but face-to-face recruitment was also conducted for two reasons. Firstly, it was important to include clients who did not have or use a telephone, and, secondly, pilot projects did not always supply telephone numbers of clients. Respondents were told about the confidentiality of discussions, and appointments were made at a time and place of their convenience. The researchers asked at this stage if there were any particular arrangements which might facilitate the interview.

There were a small number of refusals on contact and some withdrawals from appointments, for reasons associated with impairment and ill-health, desire for privacy and anxiety. One contact did not go forward to an interview because the person concerned was employed by the Personal Adviser Service. There were some problems in recruitment when respondents had moved from recorded addresses or had appointees with whom it was hard to make contact. Generally however, recruitment to the initial interviews was encouraging at all stages.

Clients were recruited for follow-up interviews from among those who had agreed to this at the first interview. Again, initial explanatory letters (copy see section 2.4.7 to take part a second time, sometimes because their health had deteriorated or personal circumstances had changed. Twenty six follow-up interviews were achieved.

### **2.5.4 Conduct of interviews and topic guide content**

Interviews were carried out by members of the research teams at the National Centre and Social Policy Research Unit using topic guides drawn up in consultation with the Departments. Topic guides used in initial interviews covered the following areas:

- background;
- current situation;
- initial access to the pilot service;
- role of the Personal Adviser;
- role of other staff;
- venue and location;
- activities undertaken while using the pilot service;
- other sources of help and advice; and
- overall impact and plans for the future.

Interviews in the later stages of fieldwork also included exploration of knowledge and use of a number of work incentive measures, which were being piloted in parallel research and evaluated by the Departments. As an example of a topic guide, a copy of that used in interviews with early entrants to the contract-led pilots is appended.

Topic guides used in follow-up interviews covered:

- changes in personal circumstances, including health or impairment since initial interview;
- further experiences of work or work-related activities;

- further experiences of using the Personal Adviser Service;
- overall views on impact of the Personal Adviser Service; and
- plans for the future.

Most interviews took place at the client's home and lasted between an hour and an hour and a half. A small number of interviews with people with sensory impairments, learning difficulties or mental health problems were mediated by a parent or partner, who enabled communication or encouraged participation. Most of the interviews were tape recorded and transcribed verbatim, unless other arrangements suited some clients with particular impairments.

All participants received a gift of £15 for each interview, for giving up time and helping with this research. The terms of the £15 as a gift meant that it had no impact on benefit receipt.

### **2.5.5 Topic guide: Interviews with clients (early entrants to contract-led projects)**

#### **NEW DEAL FOR DISABLED PEOPLE Topic Guide for use in interviews with clients (early entrants to contract-led pilot projects)**

- expectations of the scheme and the reasons for taking part
- experiences of the scheme and the processes involved
- range of impacts and outcomes of the scheme, especially helping employability
- factors influencing impacts and outcomes

#### **INTRODUCTION**

- *About National Centre/SPRU; research funded by DSS and DfEE*
- *Reassure about confidentiality and taping*
- *Stress that doesn't affect benefits in any way*
- *Ask if have any questions or concerns; reassure that can take a break if want to*

#### **1 BACKGROUND**

- Age; household;
  - whether working or not, (and household members)
  - ethnicity
- Benefits now and in recent past
  - length of time on benefit; which benefits (including any in-work benefit)
  - route on to IB/SDA/Income Support
  - any recent changes in benefit claim
- Other sources of income (especially wages)
- Health/impairment
  - how affects life, when became disabled, stable/deteriorating condition
  - relate to work history
- Work history
  - most recent work before going on to benefit
  - other types of work in past
  - length of time out of work



- nature/level of skills; training
- any educational qualifications

## **2 CURRENT SITUATION**

- Any current/recent training, education, paid or voluntary work, other work-related activity
  - description of current activity
  - name and type of organisation involved
  - hours involved; duration of involvement
- Route to current activity
  - how was current activity arranged - by whom, when
- Reasons behind doing it
  - expectations; any concerns beforehand
- Client's evaluation of current activity
  - good/bad points about activity
  - suitability/appropriateness for client; why/ why not

*If not in work or training now, explore whether looking for work or training at the moment*

## **3 INITIAL ACCESS TO PERSONAL ADVISER SERVICE**

*Check how they came to be seeing a (PAS) adviser for helping long term sick or disabled people towards work. NB only use language that respondent uses to describe the service*

- How did they first come across the service: *PROBE* letter or other route
  - reaction to receiving letter; any worries/concerns (e.g. benefits)
  - reaction to enclosed leaflet
  - whether responded immediately or after some time
  - other routes to PAS; who/where
  - what told about programme; sources of information – publicity, media
- Decision to make contact with the service
  - reasons for making contact; *PROBE*: did client feel there was a choice
  - perception of advantages and disadvantages of taking part
  - anyone else talked to about PAS; *PROBE*: who?/what did they think
  - initial expectations: work objectives, non-work objectives

*Probe perceptions of PAS at this stage – how do they think of it/refer to it?*

- nature of service - who runs it, how do they know, does it matter who runs it
- key features, what options available

*AT TIME OF GETTING IN TOUCH WITH PAS.*

- Explore any recent job-search activity or ideas (ie last 6 months)
  - what sort of activity - applying for jobs, training etc
  - type of job sought
  - job-search strategies
  - reasons for looking for work

- Experience of employment programmes in the past (ES run or others) [*BRIEFLY*]
- Perception of barriers and obstacles at that time
  - whether felt ready for work
  - steps required
  - financial situation; impact on feelings about moving towards work
  - attitudes of others: employers, medical professionals, family members
  - impairment/ health-related barriers

#### **4 ROLE OF RECEPTION STAFF**

- \_ Contact with receptionist
  - by telephone or call in
  - questions asked by receptionist
  - approach and attitude of receptionist
  - effect (encouraged/discouraged)
  - any concerns (eg confidentiality)

#### **5 FIRST CONTACT WITH PERSONAL ADVISER**

*If not mentioned yet, check name of PA seen by client.*

- \_ First contact with PA
  - when; where; who present; face-to-face or telephone; length
  - what was discussed
- \_ Information requested and given
  - knowledge, awareness about PAS as a service; what options available
  - how did the information given match what was wanted
- \_ Client's evaluation of initial contact
  - general impression; good/bad points
  - attitude, approach of PA (especially towards client's health/impairment)
  - impression created after leaving interview (encouraged/discouraged)
  - concerns, (eg confidentiality, gender of PA)
- \_ Outcome of this meeting
  - whether decided to continue; and why
  - any next steps agreed; written plan; timetable

#### **6 FURTHER CONTACT WITH PA**

*Sections 6, 7 and 8 to be covered chronologically – 'what happened next'*

- \_ Number and nature of contacts
  - frequency of contact; any gaps
  - format: face-to-face/telephone/written
  - sufficiency (whether preferred frequency and format); was it what was expected
  - if more than one PA seen, how well was this managed; was it what client wanted

- \_ How were other interviews/ contacts organised
  - who initiated, who maintained contact
  
- \_ Content/discussion of issues
  - PROBE for the following (in approx. order of nearness to labour market):
    - implications of working for health or impairment
    - personal/home situation
    - career guidance
    - training/education opportunities
    - referral to other organisations
    - options for voluntary work, therapeutic work, incapacity earning provision, Work trials
    - jobsearch strategies, job vacancies
    - preparing for work – CVs, interview skills
    - financial implications of working – advice given, calculations (*NB in-work benefits/tax credits, Jobfinders Grant, Jobmatch payments, 52 week linking rule*)
    - payments made to employers, e.g. JIS
    - employment rights, incl Disability Discrimination Act
    - in-work support
    - opportunities for financial assistance

*For any of the above, probe who initiated, what was offered by the PA and how this matched what the client wanted or expected, how negotiated; did it help in moving towards work*
  
- \_ Plans made with PA for next steps
  - was progress plan drawn up; when; written or verbal; did client get copy? If so, when
  - tasks specified for client; tasks for PA; timescales; views on content
  - who wrote plan; client involvement
  - helpfulness of plan
  
- \_ Action taken by PA on client's behalf
  - understanding of purpose and content of PA's contact with others, eg employers, doctors, service providers
  - involvement of client in PA action/contact with others; providing information to PA
  
- \_ Overall views about PA and working with PA
  - *explore feelings around choice and control*
  - *allocation of responsibilities*
  - *pace of progress*

## **7 ROLE OF OCCUPATIONAL PSYCHOLOGISTS/ OTHER STAFF**

- \_ Contact/involvement with OP/ other specialist staff (eg benefits adviser)
  - purpose of contact
  - how often, when and where; who was present
  - topics covered, including aspects of client's life beyond work
  
- Client's evaluation of contacts
  - general impression; good/bad points
  - approach and attitude of staff
  - effect (encouraged/discouraged)

- whether purpose fulfilled, progress made

## **8 ACTIVITIES UNDERTAKEN WHILE ON SCHEME**

*This may include the following: work preparation courses, skills training, education, work placements, work trials, voluntary work, applying for jobs.*

- Details of each activity:
  - nature of activity; hours; duration of involvement
  - name of organisation where relevant
  - how was activity and location chosen; client involvement/choice
- Perception of whether activity is part of or separate from PAS
- Need for financial support for taking part in activity
  - financial help, organised by PA (Intervention Fund)
  - use of clients own resources; views on having to pay
- Route to activity
  - how was activity arranged? when? who or what else helped in getting there
  - how easy was route: timing; co-ordination of information/administration
  - expectations, concerns; preparation(s) beforehand
- Contact with PA while involved: nature, frequency and function of contact
- Client's evaluation of activity
  - general impression (good and bad points)
  - suitability/appropriateness for client; why/ why not

## **NEXT STEPS**

- [*briefly*] What happens next
  - whether plan continued involvement with PA/PAS

## **If client says they have 'left' the scheme:**

- at what stage did they leave; events leading up to leaving
- how was decision made; did they feel they had a choice
- effect on client
- alternative support or service set up
- future plans; expectancy of return to PAS

## **9 VENUES/LOCATIONS**

- PAS office or any other venue used:
  - ease/difficulty of travelling (incl. cost of travel)
  - views on location (e.g. offputting/inviting)
  - views on office: access, ambience, appearance
  - privacy of office; interruptions
  - did client mind travelling/any choice given

- Home visits
  - why home visit arranged; whose idea
  - any problems
  - would client have preferred to meet elsewhere

## 10 CLIENTS IN PAID WORK

### *If now in employment or has been since starting NDDP*

- Nature of job
  - when started
  - number of hours; type of contract
  - opportunities for progression/training
- \_ How found and obtained job (role of PAS?)
- \_ Earnings
  - composition (wages only, or mix with benefits)
  - whether better off and by how much
  - awareness of DWA/Disabled Person's Tax Credit
- \_ Views about job
  - general likes and dislikes
  - employer attitudes and practices (re disability/sickness)
  - expectations of staying in job; sustainability
- \_ Support received - from PA or elsewhere
  - equipment, adaptations arranged
  - liaison with employer
  - ongoing support
  - If none, what would help

### *If no longer in job:*

- how job came to an end
  - explore barriers to continuing fully; what could have helped
- current activities, current financial situation
- plan to return to PAS?

## 11 OTHER SOURCES OF HELP OR ADVICE with moving towards employment

*Range of other current or past sources of help, including past contact with ES, and how well these addressed barriers and why.*

- \_ Details of involvement with each organisation
- \_ Route to help/activity with external organisation

- \_ Client's evaluation of help or activity within external organisation
  - general impression; good/bad points about activity
  - suitability/appropriateness for client; why/why not
  - did it achieve objectives; progress made; overcoming barriers
  - comparison with PA service (e.g. in approach, feeling of choice or control)

## 12 OVERALL IMPACT OF PA AND LOOKING TOWARDS THE FUTURE

- \_ The future
  - how long present situation will last; what happens next; timescale
  - perceived barriers now
  - role of PA or of PAS in overcoming these barriers
  - if still involved with PAS, what has kept them engaged, stopped them from leaving
  
- \_ Importance of the involvement of PA
  - at what stage and in what way was PA most useful,
  - whether what was initially planned has happened
  - whether personal concerns addressed
  
- \_ What makes a good PA?
  - personal characteristics, approach
  - skills and competencies

## 13 OVERALL APPRAISAL OF PAS

- \_ Impact of PAS
    - Has PAS made a difference in moving closer towards work; in what ways – *PROBE FULLY*
    - other non-work impacts?
    - where would be now without PAS
    - any issue not addressed that should have been; how could PAS have helped  
*PROBE any distinctions here between individual PA and PAS*
  
  - \_ Anything or anyone else that helped along the way, in a big or small way, not so far covered (including partners, friends, family)  
*PROBE FULLY*
  
  - \_ Lessons from involvement with PAS/ NDDP
    - what advice would client give to someone thinking about the scheme
    - good/bad points of NDDP/ PAS, as a programme
    - suggestions for changing or improving the scheme
- [To explore here:*
- *feelings about being on a programme*
  - *whether felt tailored/individual; personal service; holistic*
  - *whether had shared expectations, shared assessments, with PA]*
- 
- \_ Would feelings about the service and taking part be different if run by ES
  
  - \_ Views about ways of publicising PAS
    - types of publicity; locations for publicity
    - views about use of 'disabled' label

\_ Explore views about alternative features of delivery

*For example:*

use of group sessions

use of follow-up letters; PA pro-active in maintaining contact

seeing one adviser only versus seeing several specialists

\_ ANY OTHER COMMENTS

**THANK YOU VERY MUCH**

**Ask if will be happy to take part in a follow-up in April next year if required. Fill out or leave forms with them.**



## 2.5.6 Approach letters: Interviews with clients



9 March 1999

Your reference number is [SA/]

Dear

I am writing to ask for your help with an important study. It is being carried out among people who are or who have been ill or disabled. We want to find out what people think about the services offered when someone is interested in moving towards work. We are interested in what you have to say, whatever your present circumstances. The study is being carried out by two independent institutes, Social and Community Planning Research and the Social Policy Research Unit. They have been asked to do this research on behalf of the Department of Social Security and the Department for Education and Employment.

A researcher from [Social and Community Planning Research] [the Social Policy Research Unit] may contact you quite soon to see whether you are willing to be interviewed as part of the study, and if so to arrange a time to meet with you. The interview would last about 1 to 1.5 hours. *Everyone who is interviewed will be given £15 as a small token of thanks for their help.*

Please let us know if there is anything we can do to make it easier for you to take part. The researcher who contacts you will also be glad to talk about any requirements or questions you may have.

Anything you say to the researcher will be *strictly confidential*. Your name and personal details will not be passed to any government department or anyone else. *Taking part in this study will not affect any benefit you receive, or any dealings you may have with any government department or agency.*

I do hope you decide to take part in the study. If, however, you do not wish to take part, please let me know by Tuesday 23<sup>rd</sup> March quoting the reference number at the top of this letter. You can either write to me at the FREEPOST address above, or telephone me on 0171 962 8558.

Thank you for your help. I hope you will be able to take part in this important study and enjoy talking to the researcher.

Yours sincerely

Kailash Mehta



SOCIAL POLICY RESEARCH UNIT

Heslington, York YO10 5DD

Telephone (01904) 433608  
Facsimile (01904) 433618  
Telephone (01904) 432626 (Voice or Text)  
E-mail. pat3@york.ac.uk  
Website:  
<http://www.york.ac.uk/inst/spru/>

Dear Sir/Madam

I am writing to ask for your help with an important study. We want to find out what people in your area think about the services and help available to people who have been away from work through sickness. The Personnel Department of the Council has sent this letter on my behalf to employees who might have had some contact with a new service running in [pilot area] which offers support and advice to people thinking about returning to work. You might know of this service as the New Deal for Disabled People Personal Adviser Service.

Taking part in the study involves a short telephone interview, of up to 30 minutes, at a time to suit you. The interview is quite informal and gives you a chance to say what you think, rather than just answer questions. The study is part of a bigger programme of research which the Social Policy Research Unit, an independent organisation, is carrying out for the Department for Education and Employment and the Department of Social Security.

Anything you say to me will be strictly confidential. It will not be possible to identify you in any research reports, and your name will not be passed on to any government department or anyone else. Taking part in this study will not affect any benefit you receive, or any dealings you have with any government department or agency.

I do hope you decide to take part. Please enter your name and contact telephone number on the attached reply slip and return it to me in the prepaid envelope provided. I will then telephone you to answer any questions you have and arrange a convenient time for us to talk.

Thank you for your help. I hope to have the opportunity to talk to you.

Yours sincerely

A handwritten signature in cursive script that reads 'Patricia Thornton'.

Patricia Thornton

I am interested in taking part in a telephone interview with Patricia Thornton from the Social Policy Research Unit about services and help for people away from work through sickness.

My name is ..... (please write in)

My telephone number is ..... (please write in)

Good times to phone me are .....

*Please return in the stamped addressed envelope provided to: Patricia Thornton, Social Policy Research Unit, University of York, York YO10 5DD.*

Please reply promptly - many thanks for your help



THE UNIVERSITY *of York*

**SOCIAL POLICY RESEARCH UNIT**  
Heslington, York YO10 5DD

Telephone (01904) 433608  
Facsimile (01904) 433618  
Telephone (01904) 432626 (Voice or

Text)

E-mail. [pac2@york.ac.uk](mailto:pac2@york.ac.uk)  
Website:

<http://www.york.ac.uk/inst/spru/>

25<sup>th</sup> April 2000

Dear

You may remember that about a year ago you took part in some research that was being carried out for the Department of Social Security and the Department for Education and Employment.

You kindly agreed to be interviewed, and a colleague of mine from the Social Policy Research Unit visited you. You talked about your views and experiences of services offered to people who were interested in moving towards work after a period claiming benefits. You told me about your contacts with the New Deal for Disabled People Personal Adviser.

The Government found the report based on all our interviews valuable, and learned a lot about how services were working for people. We were grateful for your help.

I am writing to you now to ask if we might come to talk to you again, in the next stage in this important research. We are interested to learn what has been happening in the last year, and what your views are now about working. We would like to hear what you have to say, whatever your present circumstances. We shall also be able to tell you some of what was generally discovered, in the first part of the research, if you are interested.

As before, this second interview will last around an hour, or an hour and a half, and everything you say will be dealt with in confidence. Taking part will not affect any benefit you receive, or any dealings you may have with any government department or agency. Everyone who is interviewed will again receive £15 as a token of thanks.

I will telephone you at the end of this week, and hope that we can arrange a meeting. I shall be in your area in the afternoon of Wednesday 3 May and, if it is convenient for you, could arrange to meet you then (up to 5.30 pm). If that suggestion does not suit, another arrangement can be made.

I do hope that you will agree to take part again. If you are certain that you do not want to take part, please telephone me on 01904 433608 or write to me at the above address.

Yours sincerely

Anne Corden

## **Study of Employers**

### **2.6.1 Sample design and selection**

The study involved a total of 60 interviews with employers across the 12 pilots. The sample design for both Employment Service led pilot areas and contract pilot areas was identical. The aim in designing the sample for the employer study was to achieve a representative spread of employers. The key sampling variables identified for this purpose were:

- sector (to include private, public and voluntary);
- size band in terms of numbers employed in the UK:
  - Small: 1-49 employees
  - Medium: 50-499 employees
  - Large: 500+ employees
- type of activity of the organisation; and
- nature of involvement with the pilot service.

The Personal Adviser teams in each pilot were asked to supply the sampling frame of employers with whom they had had contact for their area.

The research contractors supplied each team with details of the number and types of employer organisations required, in terms of the key variables. Details of 20 organisations were requested from each team.

Each team provided details about the employer organisations, together with the name and contact details of the organisation and the name of the key contact person, to the Departments who then passed them on to the research team. Teams were also asked to supply the names of any participants who had been involved with each employer organisation. This was needed since it was deemed advisable to exclude any employers who were involved with a participant who had taken part in an in-depth interview for the client study. This was done to avoid any suspicion on the part of either participant or employer that information given by one respondent had been passed to another.

Personal Adviser Service teams drawing the sample for the Employment Service pilots had not always been able to provide information about 20 employers, as requested by the research contractors. However, this did not appear to pose problems for teams involved with the sample for the contract pilot areas, which took place a year later.

The research contractors were responsible for selection of the final sample. A total of five employer organisations were recruited from the sampling frame supplied for each of the six pilot areas at each stage of the study. Fewer of the employers whom details were provided by the Employment Service led pilots had had contact with the PAS in relation to specific participants (as opposed to as part of a general marketing strategy), but all those in the contact area pilots had.

### **2.6.2 Recruitment and fieldwork**

A letter was sent by the research team to selected organisations, explaining the purpose of the research and asking whether a representative of the organisation would be willing to take part in an interview. This letter was accompanied by a covering letter from the Departments confirming the aims and objectives of the study and emphasising the confidential nature of the research. A member of the research team then made a telephone call to give more information about the study, identify a suitable respondent,

invite participation and, where employers were willing to take part, to arrange an appointment to interview. A letter confirming details of the appointment and reassuring about the confidential nature of the study was then sent.

In a few cases, employers were unwilling to take part in the study. Some said they were too busy; others, particularly those who saw limited opportunities for employing people with impairments or a health condition and had little or no experience of the Personal Adviser Service, were unwilling to devote time to the study. The research team used a matrix to monitor the distribution of key variables across the sample. Details of the sample achieved are given in the main report in Table 7.1.

A total of 64 interviews was carried out over the two stages of the study. The four extra interviews were accounted for by interviews being carried out with two separate respondents within the same organisation, e.g. with a policy manager and the line manager of a client. Fieldwork was carried out in Employment Service led pilot areas in April-May 1999 and in contract pilot areas between April and July 2000.

In-depth interviews were carried out by members of the research team at the National Centre for Social Research and the Social Policy Research Unit. Topic guides for use in interviews were drawn up in consultation with the Departments. Interviews, which lasted between one and one and a half hours, took place at respondents' offices. Interviews were tape recorded and transcribed verbatim.

### **2.6.3 Topic guides: Employers (Tranche 2)**

***The objectives of this study are to explore:***

- *Attitudes and policies around recruitment and retention*
- *Employers' awareness and understanding of PAS*

***If involved:***

- *Decision-making about involvement in PAS*
- *Role of PAS team in recruitment, retention and ongoing support*
- *Influence of PAS on recruitment and retention practice*
- *Views of factors influencing employment experiences and role for PAS*
- *Views about PAS and future role*

***If not involved:***

- *Experiences of employing disabled people*
- *Potential role for PAS*

## **1 BACKGROUND INFORMATION**

- Details about the organisation
  - principal activities;
  - status (voluntary, private, public sector)
  - number and type of employees
  - main types of employment offered
  - details of contractual arrangements (e.g. full or part time contracts; short term and nil hours contracts)
- Details of the respondent's role within organisation
- How is recruitment generally organised
  - methods of recruitment; role of ES
- Nature of job opportunities (in last year)
  - frequency of vacancies; type of jobs
  - any difficulties in filling; reasons why
- Nature of the organisation's involvement with PAS, if any
  - details of any employees referred via the PA service
  - nature of impairment
  - nature of post and activities undertaken

## **2 APPROACH TOWARDS EMPLOYING SICK AND DISABLED PEOPLE**

- Past and present practice of employing disabled and long term sick people
  - numbers of disabled employees; nature of their impairment
  - types of jobs recruited for (current or past)
  - method(s) of recruiting disabled people
  - ease/ difficulty in recruiting or retention; any particular groups or types
  - probe: any distinction made between 'disabled' and long term sick or mental health problems
- General approach of the organisation towards the employment of long-term sick and disabled people
  - whether any policies for the recruitment and retention of disabled people; whether part of EO or separate policies
  - factors that underpin their approach/ motivation towards employing sick and disabled people (e.g. making the business case, demonstrating 'fairness', legislative requirements, diversity)
  - what structures and systems are in place; e.g. disability monitoring or audits
  - role of occupational health department, personnel, trade union, if any
  - what factors support or inhibit the implementation of EO policies
- Any practical difficulties anticipated/encountered in employing sick and disabled people, e.g.
  - 
  - lack of applications from disabled people
  - received inappropriateness of jobs/environment

- received financial cost of employing sick or disabled people; what are these perceived to be and why?
- difficulty translating commitment to equal opportunities throughout the organisation
- Probe whether the barriers vary for different types of impairment
- what is the main type of support needed
- Have they experienced an employee becoming disabled or long-term sick whilst in their employment
  - what is the impact on their business
  - how easy/difficult is it to keep someone on: what are the main problems
  - who gets involved: internal (e.g. occupational health/human resources/trade union) and/or external (ES, vol organisations)
  - what is the main type of support needed

### **3 AWARENESS AND PERCEPTIONS OF THE PAS**

How familiar are they with the activities of the PAS

- What are the main activities they know about

*SPONTANEOUS then prompt for the following:*

- *Helping to fill vacancies*
- *Providing people for work placements*
- *Helping with the practical needs of a disabled employee in the workplace*
- *Supporting the employer where an existing employee develops a health problem or impairment*

#### ***P* If aware**

- How did they first hear about the PAS
  - response to any publicity and marketing
  - visit by PA
  - other sources
- What was their initial response
  - any doubts or concerns
- Views about the purpose of the PAS (*probe here or later*)
  - key objectives
  - key features of the scheme
- Comparison with other schemes/programmes
  - similarities or differences with previous voluntary sector or ES schemes/ DEA work (*if involved*)
  - similarities or differences with other New Deal schemes (*if involved*)

### **4 CONTACT WITH PAS**

- In what way(s) are they (have they been) involved with PAS
  - received literature, visited by PA, attended launch
  - Steering Group, or other Group/ network
  - work placement programme or permanent employment



- job retention case [not selected on this basis but may have had case]
- How did they initially become involved with the PAS
  - how was the first contact made (e.g. response to publicity and marketing; visit by PA; contact with a disabled person)
  - at what stage did the involvement start: e.g. before or after the decision to recruit/place a disabled person
  - who was involved in initiating and deciding on involvement; factors influencing
  - what were the main incentives for involvement in PAS
  - any doubts or concerns

## **5 CONTACT WITH OTHER SERVICES**

- What contact/ involvement with voluntary sector or ES disability services/ schemes have they had
  - nature of involvement; reasons
  - probe any differences before and after PAS
- What contact have they had with any other agency/ contractor organisation about the recruitment and/or retention of long-term sick or disabled people

## **6 EXPERIENCES OF EMPLOYING DISABLED PEOPLE AND INVOLVEMENT WITH PAS**

### ***A. Steering Group/ other group (briefly)***

- How did their involvement in the Steering Group come about
  - any specific motivation to participate in the Group
- Their perceptions of the purpose/key objectives of the Group
- How well does the Group work/ meet its objectives
  - any difficulties encountered
  - what would need to happen to make the Group more effective
  - views about their own role in the Group
  - what role would they ideally like to play

### ***B. Work placements/trials, employment***

*(including where they have interviewed but not placed)*

- Details of the [PAS] placement(s)/ job
  - nature of the work, length of placement/ job, paid or unpaid, full or part-time
  - any funding or grants attached to the placement
- How did the job/ placement/ interview come about
  - was it an existing vacancy or was the job created specifically
  - how was it publicised
  - was there direct liaison with [PAS or some other] agency or contractor
  - principal motivation/ objectives in offering the job/interview/ placement
  - any concerns at early stages
- Role of the [PA Service, or other] provider or internal department, in setting up the job/ placement

- what types of support provided
- how useful/effective was it
- Key factors in deciding whether or not to take on disabled person
  - participant/ job characteristics, eg suitability, motivation, job-readiness
  - the selection process and how it compares with the standard process
  - [role of PA (eg, in assessing suitability, facilitating decision, or providing support)]
  - in what circumstances might they make a different decision, *specific examples*
- Details of any information, advice and ongoing support provided [by the PAS] once the disabled person was in post
  - what was provided
  - who initiated the intervention
  - how useful/effective was the advice/support provided
  - what else would have been helpful

**C. If have had a job retention case:**

- Details of the employee's impairment
- Internal/external services or agencies, involved
- How did contact [with PA Service] come about
- Types of advice/support given or that would have helped
- [Role of the PA Service in the case
  - what would have been done otherwise
  - effectiveness of the PA involvement]

**ASK ALL**

- How successful has the placement/ appointment/ retention process been
  - what was easy and what was difficult
- Did they call on any support if they encountered problems: why/why not
  - from what sorts of organisations or individuals (internal and external)
  - how fully did they use [the PAS and] internal services: why/why not
- Factors influencing success of placement/ appointment/ retention process
  - 'job-readiness' of employee/ placement
  - any action taken by the organisation to adapt workplace or job
  - [quality of exchange of information/ liaison with PA]
  - [role of PA (set-up, ongoing support - employer or participant)]
  - any issues around pay or benefit levels
- Impact of any funding or grant (e.g. Access to Work; Job Introduction Scheme) or potential impact if had been available
  - what did they receive
  - how did it come about
  - at what point in the decision-making process did they find out about it
  - what difference did it make; what if it had not been available
  - how was the money used (hypothecated for the disabled person or for general use within the organisation)

- Overall success
  - to what extent have the expectations of both the employer and the participants been met
  - future plans for placement/ employee
- [Factors influencing whether would use PAS in future for helping with retention, recruitment or providing a placement
  - in what circumstances
  - use of other organisations instead; advantages and disadvantages]

### **IF NOT AWARE, DESCRIBE DETAILS OF PAS SCHEME**

- Whether PAS provides or could provide a service to address problems
  - implications for development of PAS (*what would an ideal scheme be*)
  - lessons from dealing with other organisations - what works/ does not work
  - any duplication of provision
- Comparison with other schemes/programmes
  - similarities or differences with previous voluntary sector or ES schemes/DEA work (*if involved*)
  - similarities or differences with other New Deal schemes (*if involved*)

### **GENERAL CONTACT WITH PAS TEAM**

- Level of contact with PA Service team, who with (including admin officers, managers, OP)
- Views on the quality of the PA team (expertise, specialisms)
  - value of what the PA is doing
  - what makes a good PA
- Satisfaction with the service provided by the PA
  - awareness and understanding of the employer's business environment
  - approach towards sorting out effective solutions
  - knowledge and skills in dealing with disabled people and their needs
  - information provided about funding and other forms of support available
  - any differences compared to contact with DEAs, other New Deals, vol organisations

### **OVERALL VIEWS ABOUT THE PAS**

- Views about the service provided by the PAS
  - assessing suitability of applicants
  - information to employers about working with disabled people
  - accessing financial support, for example through the Access to Work scheme or via the Job Introduction Scheme subsidy
  - providing other types of in-work support
- *If involved in other New Deals or with DEAs*
  - any specific differences between them and the service provided by the PAS
  - compare advantages and disadvantages
- Impact/ expected impact of involvement with the PAS
  - impact on own practice or attitudes; in what ways
  - positive/ negative impacts on employers' attitudes generally

- whether the involvement has met expectations
- costs and benefits of employing someone via the PAS
- What would need to happen to make the PAS more effective
  - any views on use of the Job Introduction Scheme subsidy
  - provision of advice and support on job retention issues
- View of any constraints on the operation of the PAS
  - any gaps in service provision
  - its ability to support the full spectrum of impairment
  - degree of co-operation, liaison, shared objectives between different agencies

**FUTURE INVOLVEMENT** (*particularly where not currently involved*)

- Anticipated future involvement with PAS (particularly in elements where not currently involved). Which services could be useful

Work placements

**Recruitment**

Accessing support in the workplace

Help with job retention

- circumstances when would use; why
- what should service provide
- Could they imagine instances where the PAS could provide advice or support about existing employees who become disabled
  - what types of advice or support would they want
- Suggestions as to how PAS could be promoted effectively to employers
  - e.g. employer links; publicising best practice etc.
- Any other points they would like to raise

**2.7 Study of Services for Job Retention**

The study of Personal Adviser Service services for job retention consisted principally of:

- data from interviews with 64 employers carried out in Employment Service areas in April and May 1999 and in contract areas between April and July 2000 (described above);
- data from interviews with those clients in the qualitative study (described above) who were in employment when they contacted the Personal Adviser Service;
- data from interviews with managers in all 12 pilot areas during February and March 2000 (described above);
- data from interviews with Occupational Psychologists in 11 pilot areas between January and March 2000 (described above);
- telephone interviews with staff with responsibilities for job retention in ten pilot areas, from mid June to late July 2000; and
- three small-scale case studies exploring ways of engaging and delivering services to clients and employers. These involved telephone interviews with Pilot Managers and staff, human resource managers, health service professionals and a small number of clients. Fieldwork was carried from September to December 2000.

The study was also informed by interrogation of data from the other qualitative fieldwork elements described in this section: that is, in-depth interviews and group events with Personal Advisers; and field reports from site visits to the pilot projects. These elements were not designed systematically to explore job retention but nevertheless generated material useful to the study. Group events with Personal Advisers, which covered the topic of working with employers, were particularly fruitful sources.

The study of services for job retention was designed and carried out by the Social Policy Research Unit.

### **2.7.1 *Fieldwork with Occupational Psychologists, Pilot Managers and employers***

This section describes the methods of recruitment and conduct of fieldwork for interviews with Occupational Psychologists, Pilot Managers and employers. Full topic guides can be found below and the job retention topics addressed are summarised here.

#### *Job retention topics in interviews with Occupational Psychologists:*

- previous experience of job retention work;
- key skills;
- strategic role in promoting job retention services;
- role in relation to clients 'at risk';
- role in relation to employers; and
- role in supporting Personal Advisers.

#### *Job retention topics in interviews with Pilot Managers:*

- salience of job retention activity in the pilot;
- elements of pilot strategies to promote job retention;
- operational definitions;
- staffing and involvement of contractors or partners;
- problems met and ways of resolving them;
- performance; and
- views on appropriate agencies for job retention services.

#### *Job retention topics in interviews with employers:*

- policies for job retention
- experience of employees with problems remaining in work because of ill-health or impairment;
- internal and external resources to support job retention;
- practical difficulties in retention;
- unmet needs;
- awareness of the Personal Adviser Service job retention remit;
- experience and evaluation of Personal Adviser Service support for job retention; and
- potential use of Personal Adviser Service support.

### **2.7.2 *Fieldwork with Personal Adviser Service staff with job retention responsibilities***

Pilot Managers were contacted to identify a staff member in every pilot who had responsibility for, or experience of, job retention work. In two pilots no relevant staff member could be identified. Letters were sent to the identified staff outlining the topics to be covered and seeking their agreement to a telephone interview. Telephone interviews

were recorded with permission and transcribed. Interviews took between 45 and 60 minutes.

Topics covered:

Background, roles and responsibilities

- background of interviewee, including experience relevant to job retention;
- current role and job retention responsibilities and resources;
- relationship to other Personal Adviser Service staff with job retention roles (such as marketing officers);
- respondent's interpretation of the Personal Adviser Service job retention remit.

Demand

- how clients/employers learn about and take up the service;
- characteristics and situation of service users;
- changes in balance and type of demand over time;
- the match between existing and latent demand and the resources available.

Service components

- influencing employers' retention practices;
- advice and guidance to clients 'at risk' and /or employers of clients 'at risk';
- negotiation with client, employer and other stakeholders;
- liaison with stakeholders in at risk cases - GPS, health service providers, occupational health, insurers, employee representatives etc;
- practical support to clients and employers (Access to Work, mentoring, job coaching);
- financial support to clients and employers (Disabled Persons Tax Credit, Access to Work, intervention fund);
- support to client and employer for redeployment.

Assessment of current job retention service

- difficulties met in delivering the service;
- views on appropriate intervention points;
- areas of unmet need;
- views on the skills base and resources required;
- gaps in the service;
- suggestions for different approaches to delivery.

### **2.7.3 Case studies**

#### ***Design***

Material from employer and staff interviews was analysed to identify modes of job retention practice to study in greater depth. Proposals to the Departments were refined into three small-scale studies.

The three studies investigated joint working to promote job retention with:

- human resources staff and trade union representatives in public sector organisations in two pilot areas;
- general practice staff - in two pilot areas; and
- a psychiatric hospital.

The studies were designed to:

- explore the aims of the Personal Adviser Service initiatives and examine their fit with other actors' expectations;

- describe ways of working to achieve those aims and examine their fit with other actors' practices and client preferences;
- explore perspectives on effectiveness; and
- identify factors and contexts influencing effective joint working and successful outcomes for clients and employers.

#### **2.7.4 Recruitment and fieldwork**

Plans for local in-depth studies were outlined to the relevant Pilot Managers and their approval was obtained. The three case studies were progressed in four phases:

- fact-finding telephone interviews with managers and/or staff to establish the current position and key contacts for each study;
- telephone interviews with a lead player in each study;
- telephone interviews with other organisational players identified; and
- telephone interviews with employees identified in the preceding interviews.

For stages ii and iii in case studies one and three an advance letter seeking an interview was followed up by telephone by the researcher (letters were individually tailored; an example is shown in 2.7.5). In case study two, General Practice respondents were identified in two ways. In pilot area A, staff from Primary Care Groups selected 14 General Practices believed likely to co-operate with the study and sent letters addressed to the practice manager on behalf of the researcher. The researcher then followed up by telephone. In addition, the researcher contacted directly the one GP known to have had contact with the Personal Adviser Service. In pilot area B, the chair of the local association of practice managers dispatched letters with reply slips to selected members. As no replies were received, the researcher also wrote directly to general practice addresses taken from a directory, and followed up by telephone. (An example of a General Practice letter is in 2.7.5).

For stage iv the public sector organisations in case study one dispatched to employees a letter from the researcher explaining the study and inviting them to return a reply slip to the researcher if they wished to be interviewed (see 2.7.5). No attempt was made to interview patients in case study two. In case study three the intention that the Personal Adviser Service dispatch letters to prospective clients inviting them to participate in the research was not carried through because of the ill-health of the clients at the time.

**Table 3 Case study interviews achieved**

<b>Case 1</b>	<b>Case 2</b>	<b>Case 3</b>
2 PAS staff	2 PAS staff	2 PAS staff
5 personnel staff	1 PCG executive	2 professional staff
3 employees	3 GPs	
	7 PMs	

Interviews ranged in length from 15 to 50 minutes. Most interviews were tape recorded with respondents' permission and transcribed verbatim. For some short interviews comprehensive notes were taken.

### ***Topics covered with organisational players:***

Topic guides were tailored for each organisation and role and aimed to cover:

- organisational provision for job retention;
- key issues;
- how and why they became involved in the job retention initiative;
- what they hoped to achieve and any doubts or concerns about involvement;
- details of their role in the initiative;
- experience and views on working with the Personal Adviser Service;
- benefits of being involved with the Personal Adviser Service, any tensions or difficulties;
- evaluation of Personal Adviser Service staff, service components and ways of working;
- effectiveness of the job retention initiative; and
- expectations for the future.

### ***Topics covered with practice managers and GPs***

Practice managers and GPs had no direct experience of the pilots projects' job retention activities. Interviews covered:

Promotion of the service

- knowledge of the Personal Adviser Service and sources of information (if aware);
- receptiveness to information about the pilot service;
- views on appropriate ways of informing practice staff about New Deal for Disabled People job retention activities;
- views on ways of promoting the service to patients; and
- obstacles to promoting the service to staff and patients;

Job retention advice to patients

- perception of need for advice;
- advisory/advocacy role of GP or other practice staff;
- obstacles to patients' return to work;
- awareness/use of employment services;
- GPs' expertise for job retention; and
- potential for involvement of Personal Adviser Service

### ***Topics covered with clients***

- situation prior to contact and contributory factors;
- attitudes to return to work and perceptions of barriers and support needed;
- role of workplace actors in enabling or inhibiting the desired outcome
  - personnel manager, line manager, occupational health, trade union;
- role of external actors, if any;
- acceptability of the Personal Adviser Service intervention, and how it came about;
- evaluation of any service components experienced (financial advice, in-work benefits; retraining; job restructuring; adjustments; work experience, redeployment, negotiation, counselling);
- problems arising, resolved and outstanding;
- evaluation of the service overall; and
- suggestions for development of job retention support services.





**SOCIAL POLICY RESEARCH UNIT**

Heslington, York YO10 5DD  
Telephone (01904) 433608  
Facsimile (01904) 433618  
Telephone (01904) 432626 (Voice or

Text)

E-mail. pat3@york.ac.uk  
Website: <http://www.york.ac.uk/inst/spru/>

Dear

The Social Policy Research Unit is part of a consortium of independent research organisations carrying out an evaluation of the New Deal for Disabled People Personal Adviser Service pilot projects. The research evaluation has been commissioned by the Department of Social Security and the Department for Education and Employment. A summary of our interim research report published by the Department of Social Security is enclosed for your information.

As you know, part of the remit of the Personal Adviser Service is to offer job retention support to employees and employers where there is a risk of job loss for reasons related to ill-health or disability. This is in addition to providing advice and support for return to work to individuals who receive social security benefits on grounds of incapacity for work. The job retention activities of the 12 pilot projects constitute one component of the research evaluation.

Your name has been given to me by the Manager of the [pilot area] New Deal for Disabled People Personal Adviser Service, who has been interviewed as part of the evaluation. [Name] told me of the work you are developing with the Personal Adviser Service. I am writing to you now to tell you about the study we are carrying out of the pilot projects' job retention activities and to ask for your participation.

So far, we have carried out in-depth interviews with 36 pilot project staff and 60 representatives of employing organisations. Different operational models have been identified and we are now carrying out a number of small-scale in-depth studies. One of those studies focuses on how pilot projects are working with local authority human resources departments to support the return to work of employees on sickness absence. The learning from this and other elements of our evaluation will be taken forward by DSS, DfEE and the Department of Health into the Job Retention Pilots, announced in the March Budget and due to start in 2001.

I hope that this background is informative and that you will consent to taking part in this small-scale study. As a first step, I would very much appreciate an initial telephone interview. This would take no longer than 45 minutes, cover the following topics:

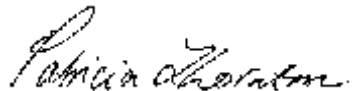
- local authority provision for job retention and key issues
- history of involvement with the Personal Adviser Service
- how the job retention working arrangement was initiated
- what you are hoping to achieve in and expect to contribute to the joint initiative
- expected benefits, and any anticipated problems, of the joint working arrangements
- details of involvement and assessment of progress to date
- any impact on policies and practices
- expectations for the future.

During that conversation, I would like to explore with you the possibility of involving other key players in the evaluation. For example, I might talk to colleagues who have been involved with the Personal Adviser Service on a day-to-day basis. The Departments are very keen to get the employee perspective also and I would wish to explore the option of my conducting one-to-one interviews with a small number of employees assisted by the Personal Adviser Service.

Our study of how pilot projects are working with local authority human resources departments is being carried out with staff in more than one pilot area. Neither area nor participants will be identified in our final full evaluation report to DSS and DfEE to be published in the first quarter of next year.

If I may, I will telephone in the next few days to answer any further questions you might have and to discuss interview arrangements.

Yours sincerely

A handwritten signature in cursive script that reads "Patricia Thornton".

Patricia Thornton  
Senior Research Fellow



SOCIAL POLICY RESEARCH UNIT  
Heslington, York YO10 5DD

Telephone (01904) 433608  
Facsimile (01904) 433618  
Telephone (01904) 432626 (Voice or

Text)

E-mail. pat3@york.ac.uk  
Website: <http://www.york.ac.uk/inst/spru/>

I am writing to ask for your help with our research evaluation of the New Deal for Disabled People Personal Adviser Service, a government initiative piloted in twelve areas including [pilot name]. The independent evaluation has been commissioned by the Department of Social Security and the Department for Education and Employment.

Part of the remit of the Personal Adviser Service is to support employees, and their employers, where there is a risk of job loss for reasons related to ill-health or disability. I am responsible for this component of the evaluation. So far, we have carried out in-depth interviews with 36 pilot project staff and 60 employers. We are now carrying out some in-depth studies of different approaches taken by the Personal Adviser Service projects.

One of these small studies is examining how pilot projects are working with primary health care professionals in giving advice on return to the workplace. We have selected general practices in two pilot project areas for inclusion in the study. I hope that, with your help, a GP in your general practice will agree to take part in a telephone interview of no more than 20 minutes. (Alternatively, your practice may wish to nominate a staff member such as a Practice Manager.)

The main topics for discussion in the interview are:

- practice-based advice to patients who experience difficulties in their job or in returning to work.
- scope for involvement of specialist employment services to support the clinical management of the patient's condition
- potential for joint working between employment services, such as the Personal Adviser Service, and GP practices.

The learning from this and other elements of our evaluation will be taken forward by the Department for Education and Employment and the Department Social Security, with the Department of Health, in the Job Retention Pilot Projects, due to start in 2001.

Please note that neither the area nor the participants will be identified in our final evaluation report to be published in the Spring.

I will telephone you in the next few days to answer any questions you may have and to arrange a time for the telephone interview. Many thanks for your attention.

Yours sincerely

Patricia Thornton  
Senior Research Fellow

## **2.8 Summative Workshop**

A one-day summative workshop was held in September 2000 with key actors involved in delivering the Personal Adviser Service; namely Pilot Managers and Personal Advisers. The principal objectives of the workshop were to:

- pull together lessons learnt from the Personal Adviser Service pilots;
- validate emerging findings from the research; and
- reflect briefly on the implications of the pilots for the national extension of the New Deal for Disabled People.
- All 12 Pilot Managers were invited to participate in the workshop; where managers were unable to attend their areas' deputy managers/Team Leaders were asked to take part. Pilot Managers were asked to select one experienced Personal Adviser to attend. Representatives from ten of the 12 pilot areas attended the event; the remaining two pilot areas were unable to send representatives due to other commitments. In total, ten Pilot Managers and seven Personal Advisers attended.

Respondents were split into four groups. Two of the groups comprised Personal Advisers (equally divided according to Employment Service led or contract led pilots). The other two groups included pilot area managers or their representatives.

### **2.8.1 Key themes discussed**

Each of the groups discussed, in parallel, two of the following themes that emerged from the research evaluation:

- marketing the service (to clients and to employers);
- working with employers;
- effective partnership working; and
- Infrastructure needed to deliver the service/models of working.

The groups comprising Personal Advisers were best placed to discuss marketing the service and working with employers whilst Pilot Managers/Occupational Psychologists discussed effective partnerships and the infrastructure/models of working of the services.

Report-back sessions were used to capture and distil key points made during each of the parallel discussions and these were supplemented by a plenary session. The purpose of this final session was to take each theme in turn and:

- allow participants to comment on the two themes they had not discussed in their groups;
- highlight any differences between the feedback of the groups to be clarified; and
- to summarise and prioritise key findings.

The workshop was facilitated by researchers from the Centre for Research in Social Policy and by Marilyn Howard.

### **2.8.2 Topic guide: Marketing the Service**

Objectives of this session are to discuss:

- I. How potential clients are attracted to the service
- II. How employers have been encouraged to take on work ready clients
- III. Explore what respondents think are the major lessons to be learnt and what future marketing should 'look like'

## **I Marketing to Attract Potential Clients to the Service**

### **Marketing Process**

- ⇒ What marketing strategies are or have been implemented to attract potential clients and how?
- ⇒ Responsibility for marketing within the PAS. Who had responsibility – overall or shared?
- ⇒ Timing of marketing to clients. When was marketing undertaken (ongoing, at the set up stage, as and when needed etc.)?
- ⇒ Are other organisations involved in the marketing process? (social workers, disability organisations, day centres, Citizens Advice Bureaux, carers, GP's etc.)? If so, how are others managed, what information is passed on to them and is engaging them successful? – Yes/No - Why?

### **Effective Marketing Strategies**

- ⇒ What are the most effective strategies for marketing the service at a local level - what is successful or unsuccessful?
- ⇒ Why are certain strategies more effective than others? What are the indicators of success? Moreover, how are these measured?
- ⇒ Have PAS developed marketing tools of their own? – What, and are these effective?
- ⇒ What marketing strategies might be effective nationally?
- ⇒ What marketing strategies are more suited locally?
- ⇒ Extent of targeting to particular clients – if so, what is involved?

### **Limitations and Barriers**

- ⇒ Is marketing of the service limited by different factors and if so, what are these?
- ⇒ Is there a marketing strategy PAS would have liked to use but could not? If so, what is it and why did they want to use it? Moreover, why could they not use it?
- ⇒ Is there a marketing/advertising strategy PAS were encouraged to use that they would have preferred not to? What was this, who encouraged it and what was the problem with it?

### **Publicity, Promotion and Advertising**

- ⇒ What if any publicity, promotion and advertising is or has been undertaken? Probe for:
- ⇒ Timing of any publicity or promotion
- ⇒ Who initiates and organises publicity and promotion?
- ⇒ Is the momentum kept up and if so, how?
- ⇒ Is it effective or not? If so, what were the indicators of success?
- ⇒ Have they experienced any confusion around who runs the PAS?

### **Marketing Support**

- ⇒ Was PAS given a steer on marketing PAS? If so, how clear was this and was guidance and support sufficient? If a steer were not given, would they have liked guidance and support?
- ⇒ Do or did PAS seek guidance and support on marketing from other organisations? Who were/are these organisations and how helpful was/is their guidance?

- ⇒ Were they aware at the onset of the amount of marketing needed within their area?  
How did their expectations of the marketing process match reality?

## **II Marketing to Encourage Employers to take on Work Ready Clients**

- ⇒ What strategies are or have been implemented to encourage employers to take on NDDP work ready clients and how? Probe for whether marketing is a matter of contacting employers outside the context of an individual client i.e. encouraging employers to 'sign up' to NDDP or a more client centred approach of finding employer to match a particular client? Personalised versus public approach to marketing (face to face and/or public events) or a combination of both?
- ⇒ Responsibility for marketing within the PAS – overall or shared? (PA, Manager etc) How does marketing role differ for both groups? (Manager in more of a PR role?)
- ⇒ Timing of marketing to clients - when is marketing to employers undertaken? (At onset of service, ongoing, as needed etc.)?

### **Effective Marketing Strategies**

- ⇒ What are the most effective channels for marketing the service at a local level - what is or has been successful or unsuccessful? Are particular types of employers easier/more difficult to engage?
- ⇒ Why are certain strategies more effective than others? What are the indicators of success? Moreover, how are these measured?
- ⇒ Have PAS developed marketing tools of their own? – What, and are these effective?
- ⇒ What strategies might be effective nationally?

### **Limitations and Barriers**

- ⇒ Is marketing to employers limited by different factors? If so, what are they?
- ⇒ Is there a marketing strategy PAS would have liked to use but could not? If so, what was it and why did PAS want to use it? Moreover, why could they not use it?
- ⇒ Is there a strategy PAS were encouraged to use that they would have preferred not to? What is this? Who encouraged it? What is the problem with it?

### **Publicity, Promotion and Advertising**

- ⇒ What if any publicity and promotion is or has been undertaken? (Differences for that done with clients) Probe for:
  - ⇒ Timing of any publicity or promotion done
  - ⇒ Who initiates and organises publicity and promotion?
  - ⇒ Is the momentum kept up and if so, how?
- ⇒ Is it effective? If so, what were the indicators of success?

### **Marketing Support**

- ⇒ Was PAS given a steer on marketing? If so, how clear was this and was guidance and support sufficient? If a steer were not given, would they have liked guidance and support?
- ⇒ Do or did PAS seek guidance and support on marketing from other organisations? Who were/are these organisations and how helpful was/is their guidance?

- ⇒ Were they aware at the onset of the amount of marketing needed within their area?  
How did their expectations of the marketing process match reality?

### **III Ratio of Marketing to Clients and Employers**

- ⇒ What is the proportion of time and effort spent marketing to clients in comparison with employers? Is PAS content with this and if not then why not and what would be preferred and why?

### **IV Marketing in the Future**

- ⇒ What do respondents think are the major lessons to be learnt in terms of marketing to clients and employers?  
⇒ Encourage a discussion of what marketing should 'look like' to maximise client participation and employer involvement.

### **V Reflections on Research Process**

#### **2.8.3 Topic guide: Working with employers**

Objectives of this session are to discuss:

- I. Their experiences of working with employers
- II. How to balance the needs of employers with those of the NDDP clients
- III. The distinct services that are and could be offered to employers
- IV. Explore perceptions of what working with employers might involve in the future

### **I Experiences of Working with Employers**

#### **Matching job ready clients with employers**

- ⇒ How are decisions reached about where to place job ready clients?  
⇒ How are employers approached and under what circumstances did different people approach an employer (PAS, an adviser, client, provider organisation etc.)?  
⇒ Are particular types of employers easier/more difficult to approach and work with? – Probe for who and why.

#### **Limitations for Personal Advisers when working with employers**

- ⇒ What are the main limitations that advisers face when working with employers? For example, time, knowledge of employers in the area, suitability of jobs and the demands of ensuring a client centred approach, clients preferring to contact the employer etc.  
⇒ How can barriers be successfully overcome?  
⇒ Are there any problems with the NDDP 'label'? If so, what are these?

### **II Balancing the Needs of Employers with those of NDDP Clients**

#### **Perceived challenges and barriers for employers**

- ⇒ What are perceived to be the main challenges and barriers for employers in terms of employing disabled people? For example, employers' experiences of working with disabled people, their concerns about the job, working environment, and reaction of other employees etc.  
⇒ How can PAS help employers to overcome their concerns? What has been effective?

⇒ Have barriers changed – probe for whether things are getting any better. If so, why?

### **Level of contact between employers and the PAS**

⇒ What level and type of contact do employers want from the PAS in particular in relation to helping to make employment of NDDP clients sustainable? How does this differ for different employers (large and small, experienced and less experienced of employing disabled people)?

### **Facilitating working relationships between Personal Advisers and employers**

⇒ What helps advisers' working relationship with employers? For example, understanding of the operating context of employers, clearer understanding of the nature of employers' work, awareness of the business demands that affect the support that an employer can offer.

## **III Services that Work with Employers**

### **Support services offered to employers BEFORE employing an NDDP client**

- ⇒ What support services are offered to employers *before* employing an NDDP client and who initiates this (i.e. do employers ask for support or is it offered by PAS)? Probe for:
- Whether the type of support asked for or offered differs between employers and if so, how?
  - Probe for how support is managed - purchasing specialist organisation/provider. What is involved, is it effective, what are the success indicators?
- ⇒ If not mentioned probe for the following types of pre-employment support and if given what this involves:
- Support to translate a strategic commitment to equal opportunities into active policies and practices through out the organisation or to build policies and strategies to ensure equal opportunities, commitment to employing disabled people and in-work support.
  - Advice and information on legal obligations
  - Provision of disability training for other employees
  - Specialist advice about health problems and impairments, and in relation to the workplace
  - Information about the PAS and NDDP – awareness of the range of services and support the PAS can provide

### **Support services offered to employers AFTER employing an NDDP client**

- ⇒ What services are offered to employers *after* employing an NDDP client and who initiates this (i.e. do employers ask for support, do clients ask for it or is it offered by PAS)?
- Does the type of service asked for or offered differ between employers and if so, how?
  - Probe for how support is managed - what is involved, who carries it out, is it effective, what are the success indicators?
- ⇒ If not mentioned probe for the following types of post-recruitment services:
- Support for disabled employees (job assistants/coaches, mentoring and support)
  - Opportunities for job trials, short-term paid or voluntary placements without commitment
  - Financial support in terms of training and equipment



- Wage subsidies
  - Information about the PAS and NDDP – awareness of the range of services and support the PAS can provide
- ⇒ Job retention cases. What was their involvement with job retention cases and how was this facilitated – i.e. what models were used? Are different types of intervention more effective than other types and if so, why?

#### **IV Working with Employers in the Future**

Encourage a discussion of what working with employers might involve in the future

- ⇒ Probe for whether there was some type of support or service they would have liked to offer that they could not? Who would have benefited from this and why?
- ⇒ Probe for what pre-employment support and post employment services they would like to see offered to employers and why? How could this support or services be facilitated? How if implemented could success be measured?

#### **V Reflections on Research Process**

##### **2.8.4 Topic guide: Infrastructure needed to deliver the service**

Objective of this session is to discuss:

- I. Different components of the infrastructure that are required to deliver the service
- II. Explore perceptions of effective management structures

Infrastructure

Where are the PAs coming from? DEAs, secondees, voluntary sector?

Should this be widened from looking at how established links with ES and BA staff to explore the limitations ,problems encountered and problems resolved within these links?

#### **I Infrastructure Needed to Deliver the Service**

##### **Location**

- ⇒ Respondents' perceptions of the 'ideal' location from which to deliver the service (e.g. jobcentre, offices, centre of town etc) and why?
- ⇒ How far was choice over location available and would more choice have been welcomed? What if any were the main limitations faced when selecting a location?

##### **Equipment**

- ⇒ What equipment is needed to deliver the service, who makes use of this and why needed?
- ⇒ Is equipment they have sufficient, if not, why not?

##### **Recruitment of PAS staff**

- ⇒ How were staff recruited onto the PAS? What are the key skills required by staff working with employers and clients and how were recruitment decisions arrived at? Where are staff recruited from (DEAs, voluntary sector, secondees etc.)
- ⇒ Decisions over recruitment of staff (specialists e.g. mental health, benefits, IT etc.) Explore whether it is better to 'specialise' staff or to generalise – probe for benefits of having specialist staff working with particular groups of clients
- ⇒ How successful was recruitment - initial and in the longer term? Probe for why successful or not.

### **Training of PAS staff**

- ⇒ Was sufficient training given and was it effective? If not, why not and what was required? Probe for what training was needed and why (e.g. mental health, benefits advice, ethnicity, IT).
- ⇒ When was training undertaken (onset, as and when needed etc.) and was this appropriate?
- ⇒ Perceptions of the ideal model for training people to work with NDDP clients

### **Roles of staff**

- ⇒ Were staff allocated or did they choose specific roles and were these a reflection of recruitment? (For example, marketing specialist)
- ⇒ If staff have specific rather than generic roles how successful was this (pros/cons)? Probe for whether used as a resource in training or dealing with particular clients
- ⇒ Are the powers of Personal Advisers appropriate for the job they do? Could their powers be widened and if so, how?
- ⇒ It has been suggested that advisers be given more scope over when caseloaded clients take an all work test, is this realistic?

### **Recording information**

- ⇒ How are records of clients kept and are these adequate? If not, why not?

### **Links with employers**

- ⇒ Perceived importance of links with employers
- ⇒ How are links with employers established? How effective are links made? Probe for why successful or not

### **Links with service providers and partners** (brief as is covered under partnerships)

- ⇒ Perceived importance of links with service providers and partners
- ⇒ How effective are links? Probe for why successful or not

### **Relationship with Employment Service and Benefits Agency staff**

- ⇒ Perceived importance of links with ES and BA staff
- ⇒ How are links with ES and BA staff established and maintained? How effective are links? Probe for why successful or not.

### **Links with other pilots**

- ⇒ Perceived importance of links with other pilots (probe for across tranche 1 and tranche 2)
- ⇒ How are links with other pilots established? How effective are links. Probe for why successful or not and how relationships with other pilots are maintained

### **Financial sources**

- ⇒ Importance of financial sources (i.e. intervention fund)
- ⇒ What financial sources are available? How appropriate are these and why?

## **II Effective Management Structures**

- ⇒ Explore what are effective management structures and what kinds of leadership skills are effective in managing the PAS

## **III Reflections on Research Process**

### **2.8.5 Topic guide: Effective partnership working**

Objectives of this session are to discuss:

- I. Models for effective partnerships
- II. The future of partnership models

## **I Models of Effective Partnerships**

### **Establish who are the partners involved in the PAS**

- ⇒ Probe for a definition of what is meant by partners and partnerships
- ⇒ Probe for whether partners have changed during the course of the pilot and if so, why?
- ⇒ Have the partners involved changed as the pilot has developed?

### **Models of different partnerships**

- ⇒ Key partners and their role
- ⇒ How were partnerships established?
- ⇒ Funding arrangements
- ⇒ Targets/service level agreement (SLA)/performance monitoring and review partnerships
- ⇒ How do schemes work in partnership with other organisations to deliver the service?

### **Advantages of the partnership model**

- ⇒ What do respondents perceive to be the main advantages of working in a partnership model?
- ⇒ What were the enablers to effective partnership working?
- ⇒ Do partnerships fill any gaps in service provision?

### **Disadvantages of the partnership model**

- ⇒ What do respondents perceive to be the main disadvantages of working in a partnership model?
- ⇒ What are the barriers to effective partnership working?

### **What makes a partnership effective?**

- ⇒ Probe for personal success stories
- ⇒ How did/would they ensure a partnership was an effective one?

## **II Future of Partnership Models**

- ⇒ Encourage a discussion of the future of partnership models
- ⇒ Do schemes have mechanisms in place to ensure that learning from their own and others experience feeds into management practice?

### **III Reflections on Research Process**



### **3 QUANTITATIVE STUDIES**

In this section of the technical report we describe the quantitative studies which formed part of the evaluation of the Personal Adviser Service for the New Deal for Disabled People. These studies contributed to both the formative and summative aspects of the research design.

In Section 3.1 we present an overview of the different surveys that were carried out and in Section 3.2 describe an early survey of participants and non-participants carried out in the Employment Service pilot areas which was conducted in the summer of 1999.

Sections 3.3 to 3.7 set out the procedures we followed in conducting a subsequent wave of survey fieldwork in summer 2000. We explain how a sample was drawn from the pilot areas (Section 3.3), both those run by the Employment Service (Sections 3.3.1 to 3.3.2) and Contractors (Section 3.3.3).

We also set out the detailed methodology by which an additional, 'national' sample was selected (Section 3.4) and stratified to over-represent individuals who, in the presence of a programme like NDDP, seemed likely to be participants (Section 3.4.2). Identifying such a group involved carrying out a postal survey, which is described in Section 3.4.4. We finally selected the national sample from its respondents (Section 3.4.5).

In Sections 3.5 to 3.7 we describe the development and conduct of the main stage face to face interviews which was used with individuals from all of these sample sub-groups. We record the response rates and the mechanisms used for coding and editing.

Finally, in Section 4 we set out the methods used in a study of the characteristics of 12 pilot areas carried out by Anne Green at Warwick University.

#### **3.1 Overview of Quantitative Studies**

The evaluation of the Personal Adviser Service involved three quantitative elements:

It began with an early survey of Employment Service pilot areas in summer 1999 (described in 3.2). In the first instance, interviews were only conducted with non-participants to discover their reasons for not taking part in the programme. This part of the survey was conducted predominantly by telephone. Interviewing then began with both participants and non-participants using a combination of telephone and face to face interviewing, as appropriate. This data was used to feed into an early, formative evaluation of the New Deal for Disabled People which rested most heavily on qualitative findings.

Two larger surveys were carried out in summer 2000. These involved interviewing participants and non-participants in NDDP pilot areas run by the Employment Service and by Contractors (in part following up some of the individuals interviewed in the early survey). These 'pilot area surveys' are described in Section 3.3.

The pilot area surveys were intended to be both formative and summative. Their main aims were to:

- establish the differences between those who participated in the New Deal for Disabled People Personal Adviser Service and those who did not;
- identify people's responses to their interviews and dealings with the Personal Adviser Service and the help offered to them; and
- consider the range of activities people had carried out over a two year observation period, including any events since their participation in the programme.

A 'national survey' of incapacity benefits recipients was carried out in summer 2000. Interviews were conducted face-to-face. The aim of this survey was to provide information about the characteristics, aspirations and labour market experiences of a national sample of disabled people receiving benefits, which potentially qualify an individual for the New Deal for Disabled People<sup>5</sup>.

Specifically, the objectives of the 'national survey' were to:

- provide information about the characteristics, aspirations and labour market experiences of a national survey of recipients of New Deal for Disabled People qualifying benefits who had not been offered the Personal Adviser Service, focussing mainly on people most likely to use a service similar to the Personal Adviser Service; and
- provide a base against which the experiences of people in the New Deal for Disabled People pilot areas can be compared.

### **3.2 Early Survey in Employment Service Pilot Areas**

A survey of Employment Service pilot areas was carried out in summer 1999 to provide early information about participants and non-participants in the six Employment Service pilot areas.

#### **3.2.1 The sample**

The sample was drawn from the administrative data base which was designed to help staff running the New Deal for Disabled People keep track of those who were invited to the programme and those who took part.

In the first instance, we drew a sample of non-participants to provide early information about their characteristics. This sample was selected from those sent letters inviting them to participate in the Personal Adviser Service in the last two weeks in January and early February 1999, for whom there was no record of any further contact by the time the sample was drawn. A minimum of six weeks was allowed from the date that the invitation letter was sent to when someone could be defined as a non-participant. We then began drawing monthly samples of participants and non-participants from the administrative database<sup>6</sup>. Over time, the sample incorporated individuals who had been sent invitation letters between mid-January and mid-May 1999<sup>7</sup>, and those who had a New Deal for Disabled People interview between March and July 1999<sup>8</sup>. Our aim was to interview sufficient individuals to provide a basis for a follow up study in Summer 2000 of 1050 achieved interviews with participants and 350 achieved interviews with non-participants. In the event, the number of individuals participating in NDDP was too small to allow this to happen.

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<sup>5</sup> Claimants receiving Incapacity Benefit, Severe Disablement Allowance or National Insurance Credits only.

<sup>6</sup> At this point, we randomly selected a group of non-participants who had been interviewed by phone from the early survey to be carried forward into the final data set of participants and non-participants and conducted additional face to face interviews with non-participants to ensure that the sample was representative of non-participants over time.

<sup>7</sup> For the purpose of sampling, individuals were treated as non-participants if they did not have an interview within six weeks of their invitation letter. Any respondents who had subsequently attended a New Deal for Disabled People were, however, asked all the right questions relevant to participant.

<sup>8</sup> The data set which forms the basis of this analysis does not include any individuals who first participated in July 1999 and excludes members of the sample who are harder to contact and those who will have face to face interviews because no telephone contact could be made, despite identifying a number for them.

### **3.2.2 Fieldwork**

Letters were sent on behalf of the Department of Social Security to members of each wave of the sample. Overall, this involved six mail outs between March and August 1999. The letter provided information and reassurance about the survey and asked that anyone who did not want to participate to contact the DSS within a two-week 'opt-out' period.

Fieldwork was conducted by the National Centre for Social Research using Computer Assisted Telephone Interviewing (CATI) and Computer Assisted Personal Interviewing (CAPI). CATI interviews were conducted where telephone numbers were available and sample members were willing and able to be interviewed by phone. Members of the sample for whom no number was known, who could not be contacted by phone, or who preferred or required a face to face interview were transferred to the next wave of the CAPI sample. This meant that face to face interviews of those who were hardest to reach lagged behind the telephone interviewing.

Three hundred and fifteen interviews were carried out using CATI and fifty using CAPI between April and September 1999 in time to provide some findings for policy makers in the Department of Social Security. Fieldwork then continued and by the time of the interim report, a total of 580 interviews had been completed by CATI and 250 interviews had been completed using CAPI. The data used for the interim report was collected between April and September 1999. Fieldwork then continued into December 1999.

### **3.2.3 Achieved and proxy interviews**

The average amount of time taken to conduct an interview was 30 minutes. Participants' interviews were on average longer than non-participants' interviews (33 minutes and 24 minutes respectively).

Approximately five per cent of the interviews were carried out by proxy or with the assistance of a member of the sample's family (in fact, among these, half a per cent were classified as 'assisted interviews').

### **3.2.4 Response rates**

The overall response rate was approximately 80 per cent. This figure excludes all of the 'out of scope' cases, e.g. those cases who were untraceable. Nine per cent of those contacted by an interviewer refused to take part and a further eight per cent could not be interviewed for other reasons (e.g. they were too sick at the time of the interview).

Of the non-response, almost three-quarters (73 per cent) were refusals by the individual or someone on their behalf while the remainder were other kinds of non-contact. Other non-contacts included just over nine per cent who were too sick or disabled to take part though this figure is likely to underestimate the number of refusals that were a direct or indirect result of the health status of the individual sample members.

### **3.2.5 Non-response bias**

By the end of the study, approximately 40 per cent of the interviews had been conducted face to face and 60 per cent by telephone. The balance between face to face and telephone changed considerably over the course of the survey because face to face interviewing necessarily lagged behind telephone interviewing to ensure that hard to reach sample members could be identified and followed up. For example, results presented in



the interim report were based on data that over-represents those interviewed by telephone. In the general population, people who do not have a telephone are more likely to live in social housing, live on lower incomes and have achieved a lower level of education. In a population of sick and disabled people we might also assume that people with more severe disabilities would be less likely to have access to a telephone or be able to respond to a survey by phone. In effect, the survey findings may under-represent those who are most disadvantaged in the labour market, because of their socio-demographic characteristics and disability.

### **3.3 Selecting the Sample for the Main Pilot Area Surveys**

In summer 2000 a survey of all the New Deal for Disabled People pilot areas was conducted. This included Employment Service areas and Contract areas. The main aims of the pilot area surveys (in both types of pilot areas) were to:

- establish the differences between those who participated in the New Deal for Disabled People Personal Adviser Service and those who did not;
- identify people's responses to their interviews and dealings with the Personal Adviser Service and the help offered to them; and
- consider the range of activities people had carried out over a two year observation period, including any events since their participation in the programme.

The original intention had been to select a large number cases to allow only small effects of NDDP to be detected. However, constraints on resources available for the study at the time the contract was awarded led to a reduction in the sample sizes for the ES and Contract areas studies to be reduced to 1050 participants and 300 non-participants.

Because an early survey had already been conducted in the Employment Service pilot areas, the research and sampling strategy for the survey in these areas differed from the one in the Contract Areas.

In the Employment Service areas the intention had been to conduct follow ups with individuals interviewed in 1999. In practice, there were insufficient cases identified for interview in the early survey because of the low levels of participation in the programme. As a result, the sample for this study comprised follow-up interviews and interviews with a boost sample.

- follow-up interviews with participants and non-participants who responded to the early survey (Sample 1). These people had been invited to take part in the Personal Adviser Service between mid-January and mid-May 1999 or had had an interview with an Adviser between March and July 1999. In effect, the sample was drawn across a five-month period, beginning six months after the launch of the programme; and
- interviews with a booster sample of New Deal for Disabled People participants in the six Employment Service areas (Sample 4). These people had had an interview with an Adviser between August or September 1999.

The sample drawn from the contract areas (Sample 2) involved interviews with both participants and non-participants. The sampling window was between September 1999 and January 2000 for participants (and six weeks earlier for non-participants to allow for the lag between invitation and participation).

In the following sections we provide some more detail about the sampling strategy in the Employment Service areas and the Contract areas in turn.

### **3.3.1 *Selecting the follow-up interviews in ES pilot areas (Sample 1)***

The aim of selecting Sample 1 was to re-contact participants and non-participants already interviewed in the Employment Service areas to understand what had happened since their first interview and identify any labour market outcomes.

Administrative records suggested that in the early survey we had interviewed 369 non-participants against a target of 375 (which was intended to ensure a yield of 300 interviews at this follow up stage, based on an 80 per cent response rate). However, the early survey actually identified a much larger number, 554 individuals, who said they had not participated in the programme. This was because many people who were identified as participants on the database actually appeared to be wrongly classified and did not have direct experience of the programme. Alternatively they may not have been aware that someone they had spoken to was a New Deal adviser. To avoid interviewing too many non-participants in the main stage survey, we randomly sub-sampled 300 of the 554 non-participants and issued these for interview as part of Sample 1.

A more important result of the discrepancy between administrative and survey data was that we consequently had a shortfall of participants who were interviewed at the first stage of interviews. Of 893 individuals who we believed to be participants, only 818 individuals identified themselves as such in the survey. Clearly, all 818 were issued as members of Sample 1. Even more significant, however, was the fact that the 893 achieved sample fell substantially short of the original target of 1300 participants. This was largely because insufficient sample was provided because of low levels of participation in the programme. The target that had been agreed in July 1999 at the start of the project in light of the prevailing uptake was 1300 since we believed this would generate a second stage achieved sample of approximately 1040 participants assuming an 80 per cent response rate for the second stage pilot area surveys. Because of the shortfall we elected to select a booster sample of participants and decided to administer to this sample, a hybrid version of the full NDDP survey.

It is important to remember the original sampling window from which those individuals who were interviewed in the early survey and carried forward to the main pilot area surveys were drawn. Sample 1 included participants and non-participants who had been sent invitation letters (but had not participated for a minimum period of six weeks) between mid-January and mid-May. The sample also included those who had a NDDP interview between March and July 1999. In effect, the sample was drawn across a five-month period, beginning six months after the launch of the programme in September 1998.

### **3.3.2 *Selecting the participant booster sample in ES areas (Sample 4)***

As explained above, the target sample for the survey in the Employment Service pilot areas was 1050 achieved interviews with participants and 300 achieved interviews with non-participants. The aim of selecting sample type 4 was to boost the achieved sample of participants in the ES pilots to the level agreed in July 1999.

In effect, 723 additional participants were selected to allow for a 7 per cent opt-out rate and a 68 per cent field response rate. We also assumed that 17 per cent of people defined by the administrative database as participants would actually turn out to be non-participants. All of the individuals selected for the participant booster sample were recorded as having had an interview with an Adviser between August or September 1999.

### **3.3.3 Selecting the sample in Contractor led pilot areas (Sample 2)**

The aim of selecting Sample 2 was to interview participants and non-participants in the Contract areas to provide a basis for comparison with participants and non-participants in the Employment Service pilot areas. The target sample for the Contract areas was 1350; split 1050 participants and 300 non-participants<sup>9</sup>. And the sampling window was fixed between September 1999 and January 2000, a five-month window that mimicked the Employment Service pilot area window. As before, non-participation was defined when, six weeks after the issue of the invitation letter, a client had not contacted the Personal Adviser Service.

We selected 2,164 individuals from the Contract area databases to allow for a 9 per cent opt out and a 68 per cent field response rate.

### **3.3.4 The pilot area samples are not stratified by stock and flow**

When carrying out the surveys in the Employment Service pilot areas, we had intended to sample participants and non-participants from the stock of claimants already receiving eligible benefits and from the flow of claimants passing the 28 week eligibility threshold in the ratio of 55:45. Shortage of numbers meant that no such stratification took place. Indeed the administrative data failed to record whether non-participants belonged to the stock or flow. In practice, the survey data from the Employment Service pilot areas suggests that about 75 per cent of the total sample was comprised of stock, 24 per cent of flow and the remaining one per cent of retention cases or those that were known.

Because it was not possible to stratify the sample by stock and flow for the Employment Service pilot areas, a decision was made to abandon this in the Contract areas.

## **3.4 Selecting the Sample for the National Survey**

A national survey of incapacity benefits recipients was carried out in summer 2000. Interviews were conducted face-to-face. The aim of the national survey was to provide information about the characteristics, aspirations and labour market experiences of a national sample of disabled people on New Deal for Disabled People qualifying benefits<sup>10</sup>.

Specifically, the objectives were to:

- provide information about the characteristics, aspirations and labour market experiences of a national survey of recipients of New Deal for Disabled People qualifying benefits who had not been offered the Personal Adviser Service, focussing mainly on people most likely to use a service similar to the Personal Adviser Service; and
- provide a base against which the experiences of people in the New Deal for Disabled People pilot areas can be compared.

Although the survey aimed to provide a base against which the broad experiences of disabled people in the pilot areas could be compared, the samples were not sufficiently

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<sup>9</sup> In the original tender document it was proposed that the sample in Contract areas should be 50 per cent greater than that in the ES areas. The reasoning was that participants in the Contract areas will have had less time to return to work and that it was important to find sufficient numbers of people in work to determine their characteristics. This differentiation was lost in the post tender negotiations because of resource constraints.

<sup>10</sup> Claimants receiving Incapacity Benefit, Severe Disablement Allowance or individuals who receive National Insurance Credits only in relation to their disability.

large to provide a precise measure of the impact of the New Deal for Disabled People pilots or any future programme. There were a number of reasons for this such as the constraints on budget which led to a reduction in the proposed sample and the lower than anticipated levels of engagement with the programme.

The sample for the national survey was intended to generate 1600 interviews with people receiving disability or incapacity benefits who were broadly equivalent to those interviewed as part of the pilot area surveys. In particular, they were intended to have a known and, if possible, similar proximity to the labour market. The sampling procedure involved four stages described in more detail in each of the sub-sections below. The stages were:

- the selection of 30 nationally representative areas
- the pre-stratification and selection of an initial sample of 10,000 individuals using Quarterly Statistical Enquiry (QSE) data
- a postal survey of the sample of 10,000 individuals to identify their characteristics and proximity to work
- the selection of a sample sufficiently large to achieve face to face interviews with 1,250 individuals closer to the margins of work and a further 320 individuals who were more distant or remote from work.

In the following sections we describe each of these stages in turn. Additionally, we provide details about the development of the postal questionnaire and the conduct of the postal survey in Section 3.4.

### **3.4.1 Selection of thirty areas**

As shown in Table 4, the survey sample (Sample 3) was clustered within a proportionate stratified sample of 30 Benefits Agency districts stratified by office type (inner city, urban, mixed, rural) and rate of unemployment (low, medium, high). The 30 areas did not include any of the New Deal for Disabled People pilot areas. However, the selection of districts was constrained to include the ten control areas chosen by the Department of Social Security for the evaluation of New Deal for Disabled People using administrative data.

**Table 4 Characteristics of Benefits Agency Districts sampled for the National Survey**

Office type	Rate of Unemployment		
	Low	Medium	High
Inner city		1	3
Urban	2	4	4
Mixed	5	3	1
Rural	3	3	1

The distribution of offices was as follows.

**Table 5 Thirty District Offices selected for the National Sample**

<b>Combined rate</b>	<b>Inner city</b>	<b>Urban</b>	<b>Mixed</b>	<b>Rural</b>
<b>Low</b>		South Leicestershire North Worcestershire	Cambridgeshire Devonia North Kent Oxfordshire Lothian West	Norwich Wiltshire Northamptonshire
<b>Medium</b>	Ealing	Forth Valley Tameside East Edinburgh and Borders Nottingham Trentside	Shropshire and Wolverhampton Wakefield Cheshire	Chesterfield and Worksop South West Scotland North Cumbria
<b>High</b>	Bankside * Manchester South Glasgow North Hackney and Islington	Doncaster Barnsley Knowsley Bradford	South West Lancashire	South West Wales

Note 1: 'Combined level' takes account of incapacity and unemployment in the area

Note 2: Control areas are shaded

Note 3: A thirty-first district, Bankside, is shown here (asterisked) but was later excluded from the sample because of changes in boundary definitions which made its inclusion problematic.

### **3.4.2 Pre stratification using QSE data**

Once areas had been selected, consideration was given to a further stage of sampling which is the selection of postcodes within the 30 areas. Individuals would then be chosen from these postcodes alone. Two stage clustered samples are usual on interview surveys because it reduces travel costs of interviewers. In this instance it was not possible because of the scarcity of individuals whom we wished to select for main stage interviews.

Instead, we moved directly to the next stage of the procedure which involved a pre-stratification using administrative (QSE) data. This was carried out to give a sample of 10,000 cases on benefit, as well as those that had left benefit or joined and left during the relevant quarter. Sample members were those in receipt of New Deal for Disabled People qualifying benefits for more than 28 weeks. The sample consisted of 50 per cent flow (those reaching the 28-week threshold between 30 November 1998 and 31 August 1999) and 50 per cent stock (those in receipt of benefit for more than 28 weeks as at 30 November 1998). Within stock and flow, the sample took further account of duration on benefit, sex and age.

Table 6 summarises the characteristics of the New Deal for Disabled People participants in the Employment Service areas, which are used as the basis for disproportionately sampling the QSE to identify an appropriate sample.

**Table 6 Characteristics of NDDP participants based on ES pilot survey in summer 1999**

Duration of 'eligible' claim	Male		Female		Total
	Under 50 years	50 years and over	Under 50 years	50 years and over	
<b>Flow 28 to 66 weeks</b>	38%	29%	21%	13%	100%
<b>Stock 66 weeks to 3 years</b>	13%	7%	11%	1%	} 100%
<b>More than 3 years</b>	22%	17%	22%	7%	

Table 10 shows the number of cases that were selected from the QSE to form the sample for the postal sift exercise to match information based on Table 9 above. Approximately an equal number of stock and flow were selected.

**Table 7 Target sample sizes for postal survey**

Duration of 'eligible' claim	Male		Female		Total
	Under 50 years	50 years and over	Under 50 years	50 years and over	
<b>Flow 28 to 66 weeks</b>	1891	1443	1045	647	5025
<b>Stock 66 weeks to 3 years</b>	647	348	547	50	1592
<b>More than 3 years</b>	1095	846	1095	348	3383
<b>Total</b>	3632	2637	2687	1045	10000

The decision to select 10,000 cases was based on an expected 60 per cent response rate. In fact the postal survey response was 66 per cent.

### **3.4.3 Strategy for the postal sift**

The third stage in the selection process involved a postal sift to identify adequate numbers of people who might be considered to be close to the labour market, that is 'potential participants' and a smaller number of those who were more remote, and akin to 'potential non-participants'.

The postal sift questionnaire was set out on one A3 folded sheet. Questions captured data about current economic activity; intention to work, enter study or training or engage in some productive activity now, or in the future; and whether the respondent was interested in receiving help to find work, study or training opportunities.

It was anticipated that approximately half of the postal sift sample would meet the selection criteria but a larger issued sample was allowed in case this over-estimated the true figure, and in case response rates were low. This assumption was based on the fact that approximately half of the non-participants in the ES pilots did not want to or expect to work.

Three mailings were used to ensure a reasonably high response rate. It might have been desirable to issue a fourth reminder but this would have delayed the next stage of fieldwork (the face to face survey) on which final results depended.

If we increase the sample to 10,000 we will need to identify only 21 per cent of responses as close to the margins of work.

**Table 8 Assumptions made about response and proximity**

Number of postal questionnaires issued	10000
Expected response rate to postal questionnaire	60%
Number of postal questionnaires received	6000
Expected response rate at doorstep (5% non-contact, 5% deadwood/ineligible, 16% doorstep refusal)	75%
Likely number of achieved interviews based on response rate	4500
Percentage of returns which will be selected as eligible to achieve 1250	21%
Number of eligibles which should be issued to achieve 1250 'close'	1667
Number of ineligibles which should be issued to achieve 350 'far'	467
Total achieved sample (based on 75% field response rate)	1600

#### **3.4.4 Conduct of the postal sift**

The research team at the National Centre and Centre for Research in Social Policy developed the screening questionnaire with the help of researchers from the DSS, and with input from the Voluntary Sector Resource Group appointed by the DSS and DfEE. In developing the questionnaire we drew on other surveys, most notably the Evaluation of DWA conducted by Karen Rowlingson and Richard Berthoud<sup>11</sup>.

It was felt to be particularly important that the document was short and inviting, so the questionnaire was kept to four sides in length, and only the most vital questions were included. The aim of the questionnaire was to identify those sample members who were relatively 'close to' or 'far from' paid work, and who might take part in the New Deal for Disabled People Personal Adviser scheme should it be offered in their area.

#### **Expert Panel**

At the first stage the draft questionnaire was subjected to scrutiny by an 'expert panel' of experienced researchers from within the National Centre (not connected with the study) who made various recommendations about question wording, overall structure, routing and content.

#### **Cognitive testing**

The second stage of testing was a series of cognitive interviews carried out by a National Centre researcher, with respondents recruited using purposive sampling. A total of 7 interviews were carried out on 22<sup>nd</sup> to 23<sup>rd</sup> February 2000.

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<sup>11</sup> Rowlingson, K. and Berthoud, R. *Disability Benefits and Employment*, DSS Research Report 54, HMSO, 1996

The cognitive interviews were designed to check the length and acceptability of the questionnaire, and respondents' understanding of key phrases and concepts. Cognitive interviewing is qualitative in nature and makes use of techniques drawn from cognitive psychology in order to uncover aspects of the response process, which are usually hidden. Cognitive interviews reveal where respondents misunderstand survey questions or key concepts, do not know or cannot recall the requested information, use an inappropriate strategy for making a judgement, or prefer to hide certain information or provide a 'socially desirable' answer.

Interviews were carried out on a one-to-one basis. Each respondent was asked to complete the questionnaire, and was then asked a series of retrospective questions about how they had gone about answering the questions, how they had followed the routing and what they understood particular terms to mean. Results from these interviews led to several improvements in the questionnaire. The interviews provided positive feedback on the acceptability of the questions and ease of questionnaire completion.

Interviews were taped with the permission of respondents, and a gift voucher was given for their time.

### ***Dress-rehearsal pilot***

A small dress-rehearsal pilot was carried out by the researchers concurrently with the cognitive pilot. The aim was to test the survey procedures and quality of address information. Ninety pilot sample members were sent the questionnaire and accompanying letter, together with a prepaid envelope. Thirty replies were received within a relatively short period of time. The pilot indicated that the response rate was likely to be acceptable (note that reminder letters were not sent as part of the pilot), and that the mail-out system was likely to be effective. In addition, replies were examined for non-response and any interesting comments, and this was fed into probes used in the cognitive interviews.

### ***The final postal questionnaire***

The final document was professionally laid out. The design work was subcontracted by the National Centre to Davenport Associates. The questionnaire was colour washed in yellow, with white boxes for respondents to enter their answers. Particular effort was made to ensure that the questionnaire would be as reader-friendly as possible, in particular considering the needs of respondents with visual impairments. Questions captured data about current economic activity; intention to work, enter study or training or engage in some productive activity now, or in the future; and whether the respondent was interested in receiving help to find work, study or training opportunities. A copy of the final questionnaire wording is presented at Appendix A.

### ***Mailout details***

The postal questionnaire was sent to respondents with an accompanying letter on behalf of the DSS (see Appendix B), and a pre-paid envelope for its return. Two further reminders were sent, consisting of a reminder letter (the first reminder was designed to be informal in style, the second formal, in order to maximise effectiveness) along with another copy of the questionnaire and pre-paid envelope on each occasion.

The mailout dates were as follows:

14 <sup>th</sup> April 2000	Initial mailout
5 <sup>th</sup> May 2000	1st reminder mailout
19 <sup>th</sup> May 2000	2nd reminder mailout

### ***Maximising response***



The cut-off date for productive questionnaires was 5<sup>th</sup> June 2000. Respondents were provided with a telephone number they could contact for help completing the questionnaire and some were completed over the phone (for example where someone had a visual impairment or had difficulties with reading or writing skills). It was also made clear that help could be provided by a friend or carer in completing the questionnaire. In this way we sought to minimise non-response bias among those with specific disabilities or difficulties.

**Response rates**

The overall response rate to the postal survey was 66 per cent.

**3.4.5 Selecting the national sample from the postal survey responses (Sample 3)**

The final stage in the selection process was to select a pool of individuals who had responded to the postal survey. Two distinct samples were issued for the face-to-face interviews. The first was respondents deemed to be ‘closer’ to the labour market on the basis of their responses to the postal questionnaire (an issued sample of around 1667 ‘closer’ to the labour market to achieve 1250). The second was those deemed to be more ‘distanced’ from the labour market (an issued sample of around 467 more ‘distanced’ from the labour market to achieve 350)

In order to make this distinction, it was necessary to combine the information from different questions in the postal survey to create a single index of proximity to work. For example, the index took account of whether the individual was working now or was in training, voluntary work or defined themselves as unemployed. It also took account of when they last worked, whether and when they hoped to work in the future, the number of hours they wished to work and whether they had any qualifications. The indicator was inevitably crude and was not intended to be predictive of each person’s likelihood of returning to work. Nevertheless, it did attempt to identify those individuals who share the characteristics of people closer to the labour market, and to provide a strategic approach to choosing the main stage sample. The technical details of the selection process are described in annexes to the national survey report<sup>12</sup>.

It was not possible to match the characteristics of ‘closer’ and ‘distanced’ samples with Employment Service participants and non-participants exactly as planned. This was due to a shortfall in the achieved number of stock ‘closer’ to the labour market from the postal survey. Instead, the distribution of the issued sample within each district was matched according to the characteristics of the achieved sample from the postal survey. The overall distribution of the ‘closer’ sample is depicted in Table 9. This shows the distribution of issued sample ‘closer’ to the labour market based on the characteristics of the total achieved sample from the postal survey who were deemed closer to the labour market. The overall distribution of the ‘distanced’ sample is depicted in Table 10. Because of the shortfall in ‘closer’ stock it was not possible to issue a 50:50 split of stock and flow for both of the above groups. Instead, following the achieved distribution of the postal survey, the ‘closer’ sample comprised 30:70 split of stock and flow (respectively) and the ‘distanced’ sample a 70:30 split of stock and flow (respectively).

**Table 9 Distribution of issued sample ‘closer’ to the labour market**

Duration	Male	Female
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<sup>12</sup> Loumidis, J., Youngs, R., Lessof, C., Stafford, B NDDP: The National Survey 2001

		<b>Under 50 years</b>	<b>50 – 64 years</b>	<b>Under 50 years</b>	<b>50 – 59 years</b>	<b>Total</b>
<b>Flow</b>	<b>28- 66 weeks</b>	22% (n=367)	23% (n=383)	17% (n=283)	11% (n=183)	(n=1216)
<b>Stock</b>	<b>66 weeks to 3 years</b>	7% (n=117)	3% (n=50)	6% (n=100)	1% (n=17)	(n=484)
	<b>More than 3 years</b>	4% (n=67)	2% (n=33)	5% (n=83)	1% (n=17)	
<b>Base</b>						<b>1700</b>

Note: Case numbers are approximate

**Table 10**      **Distribution of issued sample ‘far’ from the labour market**

	<b>Duration</b>	<b>Male</b>		<b>Female</b>		<b>Total</b>
		<b>Under 50 years</b>	<b>50 – 64 years</b>	<b>Under 50 years</b>	<b>50 – 59 years</b>	
<b>Flow</b>	<b>28- 66 weeks</b>	6% (n=28)	12% (n=56)	6% (n=28)	6% (n=28)	(n=140)
<b>Stock</b>	<b>66 weeks to 3 years</b>	5% (n=23)	6% (n=28)	5% (n=23)	1% (n=5)	100% (n=327)
	<b>More than 3 years</b>	15% (n=70)	16% (n=75)	16% (n=75)	6% (n=28)	
<b>Base</b>						<b>467</b>

Note: Case numbers are approximate

In this way, 2,167 cases suitable for inclusion in the main face-to-face survey were selected and were then approached for a face-to-face interview with a target of 1,600 productive interviews in total.

### **3.5 Questionnaire Development for the Main Surveys**

The sections above have explained how we identified four samples of individuals. In summary there were two samples of individuals selected from the Personal Adviser Service pilot areas run by the Employment Service. One was a follow up sample and the other a boost of participants. The third sample was of individuals from the Personal Adviser Service pilot areas run by Contractors. And the final sample was of individuals from the 30 nationally selected comparison areas who were selected from administrative data sources using a postal screen questionnaire.

Our next step was to carry out detailed face to face interviews with members of all four samples. This process is explained in greater detail in the sub-sections below.

#### **3.5.1 Structure and coverage of the questionnaire**

In the first instance we set about designing a questionnaire that could be used for all four samples that would capture information about their experiences and prospects while coping adequately with differences in the samples. For example, it needed to accommodate NDDP participants and non-participants as well as those who were drawn from the national areas and would have had no opportunity to experience the Personal Adviser Service. As a result, for respondents in pilot areas, questions were asked about experience and views of the Personal Adviser Service.

In addition, the questionnaire used for all four sample types was designed to be comparable with the early survey of participants and non-participants carried out in the Employment Service pilot areas in the summer of 1999.

### ***Questionnaire content***

The coverage of the questionnaire needed to reflect the various objectives of the study and was developed by the Centre for Research in Social Policy with support from the National Centre for Social Research. The content of the questionnaire is outlined in Figure 1 on the next page.

The shaded modules F, G and H were not asked of individuals from the sample that was drawn in the 30 national areas where NDDP was not available. Modules G and H were only asked if respondents could be identified as having participated in NDDP. The definition of a respondent was based on each individual's responses in Module F, rather than relying for this information on the administrative database.

The coverage of Module B, in particular the measurement of severity of disability, formed a significant part of the questionnaire and is expanded upon in the following section.

**Figure 1 Overview of Questionnaire Content**

	<b>Content of module</b>	<b>Sample</b>
A	<b>Introduction</b> Household composition and economic activity	All
B	<b>Health and disability</b> Presence, nature and onset of disability, time respondent expects to have it. Severity of health scale and history of severity.	All
C	<b>Work and benefit history</b> Current benefit and benefit history over previous two years to April 1998. Current activity and activity over previous two years to April 1998. SIC/SOC details collected on 3 key jobs: <ul style="list-style-type: none"> <li>▪ Details on current job if respondent is in work and on benefit</li> <li>▪ Details on first job after leaving benefit if respondent not on benefit but has worked</li> <li>▪ Details on pre-benefit job if respondent had worked before receiving benefit, including why the job ended</li> </ul>	All
D	<b>Work and benefit history continued</b> Information on education course, part-time work, voluntary, casual or odd jobs while on benefit and not in work	All
E	<b>Limitations, barriers and bridges to work</b> How respondents' disability limits ability to work and aspirations to work. If appropriate (i.e. want to work) type of work wanted, what they would accept and what pay they want or would accept. Job search methods used, the number of applications, interviews and job offers. Expectations of returning to work. Barriers and bridges to work.	All
F	<b>Early experiences of the Personal Adviser Service</b> Respondents' awareness of the NDDP, how they heard about it and contact had with it (to determine participation or not). Non-participants' plans to contact it in the future, why they had not done so and how uninvited participants heard about the scheme. Participants' reasons for contacting the scheme.	Asked of samples 1, 2 and 4 to establish whether NDDP participant
G	<b>Support and advice from the Personal Adviser Service</b> Content of participants' interviews with Personal Adviser and what if anything the adviser offered to do for participants.	1, 2 and 4 NDDP participants
H	<b>Outcomes and opinions of the Personal Adviser Service</b> Participants' agreement to certain activities, involvement in work-related activities and whether this was because of the help they received from their adviser. Information on training scheme/education if they had started one. Information on the support that they received and satisfaction with this if they had moved into work. Participants' opinions on the scheme; adviser's listening skills, content of interviews, time spent with adviser, help received from adviser and how satisfied with outcome.	1, 2 and 4 NDDP participants
I	<b>Miscellaneous</b> Ethnicity, age, qualifications, benefits, vehicle licence and tenure.	All

### *OPCS/ONS Severity scales*

The survey included a range of questions based on the OPCS<sup>13</sup> severity scales (Martin et al, 1988). These scales were constructed in line with a major series of surveys on the disabled population of Great Britain in the 1980s. The measure of severity of disability was defined as 'the extent to which an individual's performance of activities is limited by impairments'.

Respondents were asked to answer a detailed schedule of questions on 13 domains of disability to derive extent of disability in each of these functional domains (Table 11). The last three domains listed above were added after initial development work had been conducted by ONS.

Following extensive methodological work by ONS, the three highest severity scores from the separate areas of disability were used to produce an overall disability score, following the formula:

Highest + 0.4 (second highest) + 0.3 (third highest)

This weighted disability score, which ranged from 0.5 to 21.5, was assigned to a severity category ranging from 1 (least severe) to 10 (most severe). This score is used as an aggregate index of 'severity of disability'. A score of zero refers to a person whose combined score does not reach the OPCS minimum level. The conceptual framework underlying these scales, the methodology of their construction and the scoring system are described in detail in Martin et al., (1988).

**Table 11      Domains of disability**

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Locomotion
Reaching and Stretching
Dexterity
Seeing
Hearing
Personal Care
Continence
Communication
Behaviour
Intellectual Functioning
Consciousness
Eating, Drinking and Digestion
Disfigurement

---

The measure of severity of disability included in this survey was based on the OPCS/ONS studies but has been developed and included in a number of other social surveys. The use of this scale was, to some extent, considered controversial as it does not follow a social model of disability and focuses on what cannot be done rather than what can be done. Nevertheless, it provides data that can be compared across other surveys and was considered a priority for data collection.

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<sup>13</sup> Referred to from here as the ONS severity scales to reflect the change in name of the responsible organisation.

The following pen profiles suggest typical cases in each severity category to illustrate the way in which these scores are operationalised.

### **Severity category 1**

Case 1.1

Man aged 59

Overall severity score 1.5

Hearing score 1.5

Difficulty hearing someone talking in a normal voice in a quiet room

### **Severity category 2**

Case 1.2

Woman aged 40

Overall severity score 4.25

Locomotion score 3.0

Cannot walk 200 yards without stopping or severe discomfort

Seeing score 1.5

Cannot see well enough to recognise a friend across the road

Has difficulty seeing to read ordinary newspaper print

### **Severity category 3**

Case 1.3

Woman aged 31

Overall severity score 6.05

Communication score 5.5

Finds it quite difficult to understand people who know her well

Finds it very difficult to understand strangers

Intellectual functioning score 1.0

Often loses track of what's being said in the middle of conversation

Hearing score 0.5

Difficulty following a conversation against background noise

### **Severity category 4**

Case 1.4

Man aged 25

Overall score 7.7

Hearing score 5.5

Cannot hear a doorbell, alarm clock or telephone bell

Cannot use the telephone

Cannot follow a TV programme at a volume others find acceptable

Has difficulty hearing someone talking in a normal voice in a quiet room

Communication score 5.5

Finds it very difficult to understand strangers

### **Severity category 5**

Case 1.5

Women aged 45

Overall severity score 10.2

Continence score 8.0

Loses control of bladder at least once every 24 hours

Locomotion score 5.5

Cannot walk 50 yards without stopping or severe discomfort

Can only walk up and down a flight of 12 stairs if holds on (doesn't need a rest)

### **Severity category 6**

Case 1.6

Man aged 62

Overall severity score 11.55

Locomotion score 7.0

Always needs to hold on to something to keep balance

Cannot bend down and pick something from the floor and straighten up again

Cannot only walk down a flight of 12 stairs if holds on and takes a rest

Cannot walk 200 yards without stopping or severe discomfort

Reaching and stretching score 6.5

Has difficulty holding either arm in front to shake hands with someone

Dexterity score 6.5

Has difficulty picking up and pouring from a full kettle or serving food from a pan using a spoon or ladle

Has difficulty unscrewing the lid of a coffee jar or using a pen or pencil

Can pick up a small object such as a safety pin with one hand but not the other

### **Severity category 7**

Case 1.7

Man aged 55

Overall score 14.45

Locomotion score 7.5

Has fallen 12 or more times in the last year

Cannot walk 50 yards without stopping or severe discomfort

Can only walk up and down a flight of 12 stairs if holds on and takes a rest

Dexterity score 6.5

Has difficulty picking up and pouring from a full kettle

Has difficulty using a pen or pencil

Continence score 6.5

Loses control of bowels at least twice a month

Loses control of bladder occasionally

## **Severity category 8**

Case 1.8

Woman aged 60

Overall severity score 15.8

Behaviour score 10.5

Gets so upset that hits other people or injures herself

Finds it difficult to stir herself to do things

Intellectual functioning score 7.0

Often forgets what was supposed to be doing in the middle of something

Often loses track of what's being said in the middle of a conversation

Often forgets the name of people in the family or friends seen regularly

Thoughts tend to be muddled or slow

Cannot watch a half-hour TV programme all the way through and tell someone what it was about

Cannot remember and pass on a message correctly

Dexterity score 8.0

Cannot squeeze out the water from a sponge with either hand

Can turn a tap or control knob with one hand but not the other

Has difficulty wringing out light washing or using a pair of scissors

## **Severity category 9**

Case 1.9

Man aged 30

Overall severity score 17.55

Dexterity score 10.5

Cannot pick up and hold a mug of coffee with either hand

Cannot squeeze out water from a sponge with either hand

Has difficult serving food from a pan using a spoon or ladle

Cannot pick up and carry a 5lb bag of potatoes with either hand

Behaviour score 10.5

Gets so upset that hits other people or injures himself

Gets so upset that breaks or rips things up

Feels the need to have someone present all the time

Finds relationships with members of the family very difficult

Consciousness score 7.0

Has fits once a year but less than 4 times a year

Loses consciousness during a fit

Locomotion score 6.5

Cannot walk up and down a flight of 12 stairs

Communication score 5.5

Finds it difficult to understand people who know him well

Continence score 4.0

Loses control of bowels occasionally



## **Severity category 10**

Case 1.10

Man age 55

Overall severity score 19.05

Locomotion score 11.5

Cannot walk at all

Personal care score 11.0

Cannot feed self without help

Cannot also carry out the following without help:

Get in and out of bed

Wash all over

Get in and out of a chair

Wash hands and face

Dress and undress

Get to the toilet and use the toilet

Dexterity score 10.5

Cannot carry out any activities involving holding, gripping and turning

Reaching and stretching score 9.0

Cannot put either arm up to head to put a hat on

Cannot put either hand behind back to put jacket on or tuck shirt in

Has difficulty holding either arm in front to shake hands with someone

Communication score 5.5

Is very difficult for strangers to understand

Continence score 2.5

Loses control of bladder at least once a month

Seeing score 1.5

Cannot see well enough to recognise a friend across the road

Has difficulty seeing to read ordinary newspaper print

### **3.5.2 Mode of interviewing**

The interview was conducted face-to-face on a laptop computer, using a computer-assisted personal interview (CAPI) questionnaire, programmed using BLAISE. Aids to interviewing (contained in Appendix C) consisted of a set of show cards and a three-year calendar (Appendix D). The calendar was intended to assist respondents' recall during the two-year work and benefit history.

### **3.5.3 The pilot survey**

A pilot 'dress-rehearsal' of the survey procedures and instruments took place in spring 2000. The pilot had two key purposes:

- to test the main questionnaire, in terms of its length and acceptability to respondents and
- to act as a dress-rehearsal for the main stage, providing a limited test of the sampling and contacting procedures to be used.

### **Pilot sample**

Pilot interviewers were given a rough quota to fulfil, ensuring a mix of NDDP participants and non-participants across sample types 1, 2 and 4. Each interviewer worked in a

different area. Contact with sample members was designed to test procedures to be used at the main stage of fieldwork. Pilot respondents in sample types 2 and 4 were sent opt-out letters on 8<sup>th</sup> March 2000. Pilot respondents in sample type 1 were sent advance letters prior to pilot fieldwork.

In theory, the target sample for the CAPI pilot should have included members of all four samples. In practice, we piloted in ES and Contract areas alone. This was because we had not yet conducted the postal survey to identify suitable individuals from the national sample and because all members of the national sample were expected to answer a subset of questions from the main questionnaire. Including the national sample in the pilot would have resulted in a significant delay but little additional benefit. There was particular interest in interviewing in Contract areas because of the key issue of identifying the NDDP programme which was being referred to by other names in a number of areas.

In order to avoid clashing with the samples for the main stage study, we sampled from the PALS system immediately prior to the sampling window agreed for the main stage samples.

### ***Pilot briefing and debriefing***

Four experienced National Centre interviewers worked on the pilot survey. The pilot briefing took place on 22<sup>nd</sup> March, 2000 and the debriefing was on 3<sup>rd</sup> April, allowing an 11 day fieldwork period. Interviewers were provided with background information about the purpose of the survey, the content of the interview, and the sampling and contact procedures. In addition a member of the Voluntary Sector Resource Group gave a short talk covering special skills and considerations needed when interviewing sick or disabled people. All interviewers had a set of project instructions, which provided further information about the survey and key definitions and rules. These instructions then provided the basis for the main stage project instructions, following feedback from pilot interviewers.

For the debriefing, interviewers were asked to complete a Pilot Evaluation Form, which summarised their experiences and in particular any problems encountered during fieldwork. This formed the basis of discussion at the debriefing. Interviewers were personally briefed and debriefed by the research team. Members of the DSS research staff and the Centre for Research in Social Policy also attended the debrief to ensure that any difficulties were identified and acted on fully and in a co-ordinated way.

### ***Pilot outcomes***

A total of 34 pilot interviews were achieved, consisting of 17 with NDDP participants and 17 with non-participants. The pilot confirmed the appropriateness of the general strategy for the interviews. Interviewers reported that sample members on the whole, welcomed the survey. The questionnaire was found to work well, although a number of minor points required clarification. The pilot also provided an estimate of interview length. Pilot interviews with NDDP participants lasted around 45 minutes, while interviews with non-participants lasted 30 minutes. These timings underestimated the length of time that interviewing took in the main stage.

#### ***3.5.4 Post-pilot modifications***

The research team made a number of changes to the survey interview as a result of the pilot. In particular, as a result of feedback from pilot interviewers some questions were altered to improve question wording and flow. For example, the work benefit history

section was rewritten to make it more user-friendly, and the use of show cards versus 'read out' questions in later sections of the questionnaire was standardised.

### **3.5.5 External contributions to study development**

In response to the particular vulnerability of this sample group, the DSS and DfEE appointed a Voluntary Sector Resource Group at the suggestion of members of the research consortium. This group comprised of disability specialists and was asked to advise on all aspects of the evaluation. The group commented on survey instruments, including the questionnaire itself.

This provided an important supplement to the detailed comments provided by policy customers and researchers at the DSS and DfEE.

In addition, Marilyn Howard who co-ordinated the work of the Voluntary Sector Resource Group, was able to bring members of the Specialist Training Team at the Benefits Agency in to the project in an advisory capacity to help with the development of interviewer training. This is described in more detail in Section 3.5.10.

### **3.5.6 CAPI testing**

Both before and after the pilot survey, an intensive programme of CAPI testing took place at the National Centre. A team of researchers tested the questionnaire programme repeatedly, to ensure that routing and wording were working as intended.

### **3.5.7 The final questionnaire**

The CAPI questionnaire is documented at Appendix E.

### **3.5.8 Conduct of fieldwork**

The National Centre for Social Research conducted all the fieldwork for this study.

### **3.5.9 Approaching sample members**

Sample members were contacted in writing before the interviewer's call, and informed of the survey. Initial contact varied depending on sample type.

Once sampling was completed, the DSS sent a letter to members of samples 2 and 4, giving them an opportunity to opt out of the survey. This is a standard procedure used by the DSS before an interviewer is allowed to make contact to arrange an interview. A copy of the letter is included in Appendix F. The letter stressed that this was a genuine research project, that participation was voluntary, and that any results would be strictly confidential. The letter asked anyone who did not want to participate to contact the DSS within a two-week 'opt-out' period.

Members of sample types 1 and 3 had already had contact with the National Centre. Sample type 1 had already been interviewed during the 1999 survey, and members of sample type 3 (the national sample) had completed and returned to the National Centre the postal questionnaire sent to them in spring 2000 (which mentioned the possibility of re-contact). Opt-out letters from the DSS were therefore not necessary for these sample types. Instead, advance letters were sent prior to the interviewer's visit (see Appendix G). The advance letter thanked respondents for their previous involvement, informed them of the survey, and emphasised its voluntary and confidential nature.

Interviewers were provided with telephone numbers for sample members where they were available. In the case of sample type 1 (who gave the information during the 1999 survey) they were also provided with the name and contact details of a close friend or relative who could put them in touch if the respondent had moved house. Interviewers were permitted to attempt contact by telephone if persistent efforts at contacting the respondent in person failed. It was intended that this procedure would minimise non-contact but was only allowed with the agreement of supervisors.

### **3.5.10 Briefing and interviewer numbers**

All interviewers were personally briefed before starting work. Twelve full day briefing conferences were carried out, in London (4), Bath (2), Leeds, Derby, Bristol, Glasgow, Newcastle and Liverpool. These took place between 9<sup>th</sup> and 19<sup>th</sup> May 2000. In addition, when fieldwork started on sample type 3, a further 4 half-day briefing conferences took place; in London (2), Leeds and Liverpool. These supplementary briefings took place between 26<sup>th</sup> and 28<sup>th</sup> June 2000.

Briefings were conducted by research staff from the National Centre, with researchers from CRSP and DSS attending many briefings. In addition, observers from DfEE, SPRU and BA attended some briefings.

Briefing sessions covered the following topics:

- An introduction to the New Deal for Disabled People evaluation and its aims
- An explanation of the sample and contact procedures
- A dummy interview exercise, designed to familiarise interviewers with the questions and flow of the questionnaire
- A discussion of skills for interviewing a sick and disabled sample, including ways in which the process could be adapted to make the interview easier for individual respondents. This component of the briefing was developed with help from members of the Specialist Training Team at the Benefits Agency.

During briefings interviewers were told not to give any advice or information about benefits to respondents, but rather to refer interested respondents to their local Benefits Agency, Employment Service Jobcentre, Citizens Advice Bureau or NDDP Personal Adviser Service. Telephone numbers for these organisations were provided for this purpose.

All interviewers were provided with written project instructions to supplement verbal briefings. These contained further detail on the sample, methods of approach, the conduct of the interview and skills for interviewing sick or disabled people.

In total 211 interviewers were briefed. All of them were trained members of the National Centre's interviewing panel.

### **3.5.11 Fieldwork dates and progress**

Interviewing began immediately after the start of the briefing conferences. Fieldwork took place between 12<sup>th</sup> May 2000 and 28<sup>th</sup> July 2000 (sample types 1,2 and 4). Because of the postal survey required to select sample type 3, fieldwork for this sample took place later, between 27<sup>th</sup> June 2000 and 24<sup>th</sup> August 2000. Fieldwork was substantially complete by 17<sup>th</sup> July 2000 for samples 1,2 and 4.

Once contact with a sample member had been made, the final output relating to that respondent was transmitted to the *National Centre's* Brentwood office by the interviewers

via telephone modem. The outcome code for each address was integrated into a database. With this information, fieldwork progress could be updated on a daily basis, and the researchers were able to monitor the attainment of fieldwork targets.

### **3.5.12 Fieldwork quality control procedures**

Standard field quality control measures were introduced from the start with this survey. Some additional quality control checking was carried out as a result of a small number of complaints or queries that were fed back to the researchers, for the most part via the DSS and Personal Adviser Managers.

#### ***Supervision of interviewers***

As part of the routine quality control procedures every interviewer is accompanied in the field by a supervisor for a full day's work, on a rotating basis as close to every six months as allocated assignments allow. This system means that no particular percentage of interviewers working on an individual survey are supervised, but it generally works out to be at least 10%.

#### ***Back-checking of interviews***

One in ten interviews are routinely back-checked by the National Centre's Quality Control Unit. Back-checking is carried out by telephone where possible, or by post. Back-checks thank the respondent for taking part, ask whether the right person was interviewed, whether various procedures were carried out correctly, and whether the interviewer left a good impression. No significant problems were revealed by the back-checking of this survey.

### **3.5.13 Length of interviews**

Overall, the average length of interview was 56 minutes. Average interview length for NDDP participants was 65 minutes, and average interview length for sample types 1, 2 and 4 non-participants was 47 minutes. For interviews with sample type 3 (who were not asked at all about NDDP), the average length was 46 minutes. However, there was a large amount of variance in interview length across all sample types, probably due to the differing nature of respondents' disability.

## **3.6 Response to the Main Surveys**

### **3.6.1 Response**

Of the 5630 issued for all sample types, productive interviews were completed with 73.1 per cent. However, during the course of fieldwork some 260 cases were identified as out of scope. Based on the in scope sample of 5630, a response rate of 76.6 was achieved. This is the normally quoted response rate.

In addition, it is sometimes useful to calculate response rates based on the samples that were successfully contacted. This is because it is sometimes difficult to reach sample members (e.g. if they are away receiving medical care or attention, or have moved away). This response rate is useful because it conveys how much agreement to participate in the survey was secured among those who actually had contact with an interviewer. In this instance the response rate (as a percentage of the 5032 contacts) was 81.7 per cent.

The overall refusal rate was eight per cent of the issued sample. Some of these people refused on the grounds that they were too ill to take part in the study.

### **3.6.2 Variations in response rate**

The response rates varied fractionally between the different surveys.

The response rate to the NDDP national survey was 76.3 per cent, comprised as follows:

- 2160 issued, of which
  - 122 were deemed to be out of scope of the survey (these cases are referred to as deadwood), and
  - 1556 responded.

This gives a response rate of 76.3 per cent based on in scope addresses (or 72.5 per cent based on the full issued sample).

The equivalent response data for the survey in pilot areas was 76.7 per cent, comprised as follows:

- 3470 issued, of which
  - 137 were deemed to be out of scope of the survey (these cases are referred to as deadwood), and
  - 2557 responded giving a response rate of 76.7 per cent (or 73.7 per cent based on the full issued sample).

In summary, the overall field response rate for the two surveys was 76.6 per cent. The response rates are extremely close to each other and that we should not assume any meaning to the slight difference between them. The difference may reflect different proportions of the two samples falling in hard to interview areas such as inner cities, or differences in the interviewers on the two projects.

### **3.6.3 Type of productive interview**

Of the 4,113 completed interviews, 93.7 per cent were full interviews carried out with the respondent. In 141 instances, interviews were completed with the assistance of another individual (e.g. a family member, friend or carer) and in a further 104 instances an interview was completed *by proxy* with another person on behalf of the named individual. In 13 instances, respondents were not able to complete their interview fully but provided sufficient data for the interview to be classified as 'partial'.

## **3.7 Coding and Editing of Data**

Interviewers in the field carry out most of the editing and coding in CAPI surveys. The CAPI programme ensures that the correct routing is followed through the questionnaire and applies range and consistency error checks. These checks allow interviewers to clarify and query any data discrepancies directly with the respondent, and were used extensively in this questionnaire. However, some data checking is too complex to be carried out in the field. More complex checks based on the responses from multiple questions are time consuming and thus threaten the quality of the interview. Instead, a separate in-house editing and coding process is used.

### **3.7.1 The fact sheets**

A fact sheet was created for each productive interview. The fact sheets showed a listing of respondent details, key data items, open or 'other specify' responses, including SIC and SOC questions and any Notepad comments keyed in by the interviewer. The fact sheets allowed coders to begin the coding exercise in advance of the CAPI edit programme being available.

### **3.7.2 Editing the questionnaires**

A second version of the CAPI programme was produced, incorporating a range of additional checks and editing instructions. A full computer edit was carried out on all completed questionnaires. All errors and omissions were resolved by going back to the questionnaire.

### **3.7.3 Coding of open and 'other specify' questions**

Code frames for open questions were developed by National Centre and CRSP researchers from listings of answers from at least 100 questionnaires. A few open questions were deemed to have been answered by too few respondents to merit coding. These were left in the form of listings of answers.

'Other specify' questions are used when respondents volunteer an alternative response to the pre-coded choice offered them. The edit programme flagged these instances. At the editing stage these questions were back-coded to the original list of pre-coded responses where possible.

Clerical editing and coding work was carried out by fully trained coders, under the supervision of a Coding Supervisor.

### **3.7.4 Coding of respondents' disability**

Information about a respondent's health condition or disability was collected in the form of an open question. Respondents' answers were coded in the office. In addition, responses to the severity scale were 'scored' to provide a measure of disability (see 3.5.1).

### **3.7.5 Standard Industrial Classification & Standard Occupational Classification**

In the course of each interview, where a respondent gave details of current or recent spells of employment, this information was coded to be consistent with Standard Industrial and Occupational classifications – SIC (1992) and SOC (1990). Industry was classified to a 2-digit level and Occupation to major group. Further classificatory variables are employment status and whether the job was manual or non-manual.

### **3.7.6 Data file**

Once the data set was clean, the analysis file of straightforward and derived variables was set up in SPSS.

### **3.7.7 Weighting the data**

The data from Samples 1, 2 and 4 in the pilot area surveys was weighted to adjust for differential non-response by sex and age-group. Three age-groups were used for this

purpose; under 35, from 35 to 49, and 50 and over. Each of these age groups was subdivided by sex.

The national survey (Sample 3) was weighted to adjust for differential probabilities of selection and for differential non-response at both the postal and interview stages. The non-response weights were applied uniformly within the strata used to select the samples, these being age-group (under 50, 50 and over), sex and duration of eligible claim for the postal survey and age-group, sex, duration, and closer/distanced status at the interview stage. Any residual differential non-response by district was not adjusted for.





## 4 STUDY OF THE CHARACTERISTICS OF THE 12 PILOT AREAS

In identifying the labour market characteristics of the 12 pilot areas, the aim was to establish for each of the areas:

- unemployment rates;
- inactivity rates for persons of working age;
- employment rates for persons of working age; and
- employment by sector.

### 4.1 Study of the Characteristics of the 12 Pilot Areas

Claimant count statistics were used to establish unemployment rates, and the ratio of unemployed to unfilled vacancies were calculated using vacancies recorded by the Employment Service. Inactivity rates and employment rates for persons of working age were established from the Labour Force Survey, and employment by sector from employee data from the 1997 Annual Employment Survey.

The 12 pilot areas (and the New Deal for Disabled People control areas) are Benefit Agency Districts. A 'best-fitting' exercise conducted at the outset of the project showed that Benefit Agency Districts do not nest easily into other geographical units for which labour market data are more readily available. Partly this is due to the presence amongst the pilot and control areas of several inner city areas and also other small parts of metropolitan areas (which do not form functional local labour market areas). Moreover, the relatively close geographical proximity of some pilot and control areas to one another, coupled with the relatively poor fit in some cases to other 'standard' geographical areas, would result (in some cases) in the use of the same travel-to-work areas as 'best-fit' geographies for pilot and control areas.

Based on the results of the 'best-fitting' exercise, a decision was taken to make use of counties and unitary authorities with local authority districts for unemployment<sup>14</sup> and employment analyses, using the JUVOS claimant count and the Annual Employment Survey, respectively. For analyses of economic position, unemployment and employment using data from the quarterly Labour Force Survey, counties and local authority districts based on 1981 geographies were used, although for statistics from the Annual Labour Force Survey it was possible to use counties and unitary authorities with local authority districts. For analyses of data on vacancies it was necessary to use jobcentre-based geographies<sup>15</sup>. The analyses of socio-demographic characteristics based on the 1991 Census of Population data make use of micro-level data for enumeration districts,<sup>16</sup> thus enabling a close match to the boundaries of Benefit Agency Districts. Hence, a range of geographical bases was used in accordance with data availability constraints. Although this is not necessarily ideal, it was felt that the choices made represented the best possible compromises available in order to enable an assessment of the key features of individual local areas and to enable inter-area comparisons.

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<sup>14</sup> Denominators for use in calculating unemployment rates are available for these areas from 1996. In theoretical terms it would have been preferable to use travel-to-work areas (since travel-to-work areas are defined on a consistent and comparable basis), but due to the poor fit of some Benefit Agency Districts to travel-to-work areas the decision to make use of administrative geographies instead was taken.

<sup>15</sup> This will not match exactly with the 'geographies' outlined above.

<sup>16</sup> The postcode definitions of Benefit Agency Districts were matched to enumeration districts, and then data at the level of enumeration districts were extracted from the 1991 Census of Population Small Area Statistics.



## **APPENDIX A**

### **POSTAL QUESTIONNAIRE FOR NATIONAL SAMPLE**

## What you are doing now

This form should be completed by the person named on the letter. If you are unable to complete it yourself, you can get somebody to help you.

Most of the questions can be answered by putting a tick in a box like this:    
Anything you say will be treated in strict confidence.

If you need any help, or if you have problems filling in the form, please telephone Joanne Phillipson on 01277 200 600, between 9.30am and 5.30 pm Monday to Friday.

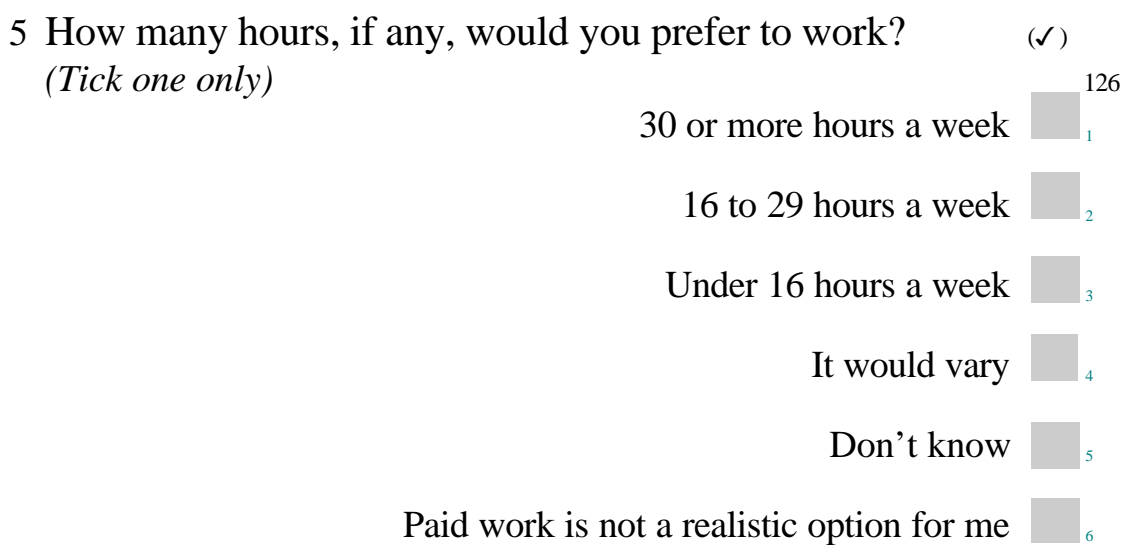
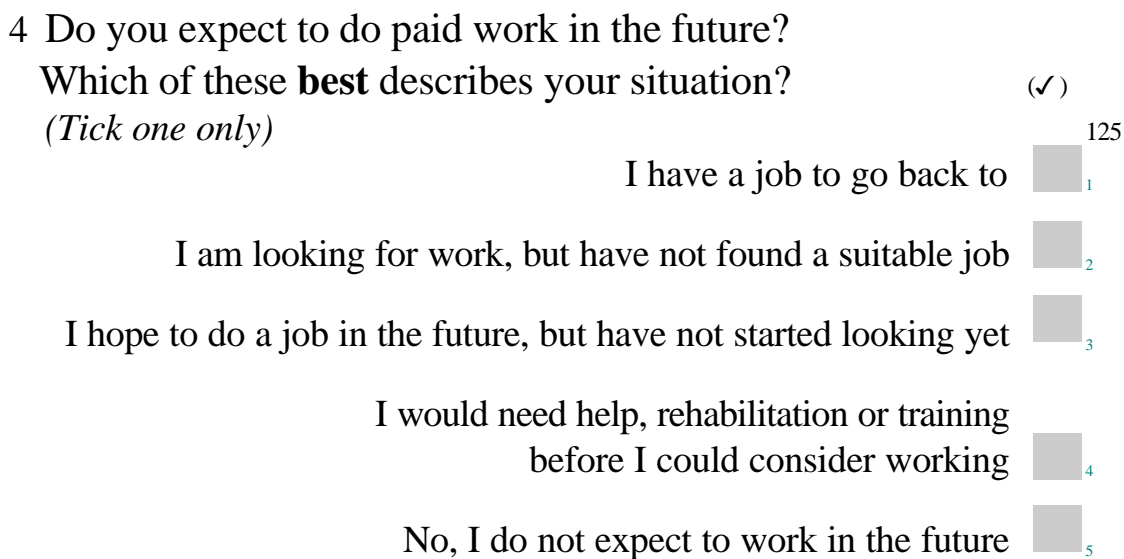
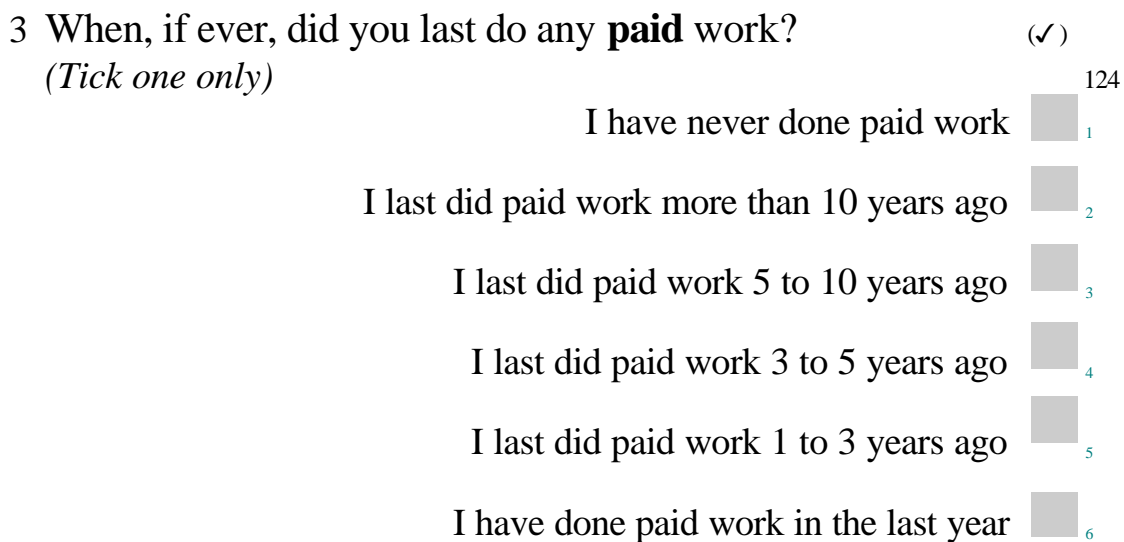
- 1 Have you done any **paid** work in the last 14 days? (✓)
- (Tick *one only*)
- 115
- Yes, less than 16 hours a week in paid work  1 → GO TO Q7
- Yes, 16 or more hours a week in paid work  2 → GO TO Q7
- Yes, in paid work, but currently on sick leave  3 → GO TO Q7
- No, not in paid work  4 → GO TO Q2

---

### If you are not in paid work at the moment

---

- 2 Are you doing any of these activities at the moment? (✓)
- (Tick all that you are doing)
- 116-123
- I am doing some voluntary work  1
- I am unemployed  2 *tick*
- I am studying  3 *all*
- I am on a training scheme  4 *that*
- I am retired  5 *you*
- I am looking after my home or caring for family  6 *are*
- I am sick or disabled  7 *doing*
- I am doing something else (please write in \_\_\_\_\_)  8



5 Have you done any of these things in the past 6 months?

(Tick all that apply)

- (✓) 127-134
- |  |                          |   |             |
|--|--------------------------|---|-------------|
| Looked at job adverts in a newspaper               | <input type="checkbox"/> | 1 |             |
| Visited a jobcentre                                | <input type="checkbox"/> | 2 | <i>tick</i> |
| Enquired locally about job vacancies               | <input type="checkbox"/> | 3 | <i>all</i>  |
| Talked to a Disability Employment Adviser          | <input type="checkbox"/> | 4 | <i>that</i> |
| Registered with a private employment agency        | <input type="checkbox"/> | 5 | <i>you</i>  |
| Applied for a job                                  | <input type="checkbox"/> | 6 | <i>have</i> |
| Done any kind of rehabilitation or training course | <input type="checkbox"/> | 7 | <i>done</i> |
| Looked for work in other ways                      | <input type="checkbox"/> | 8 |             |
| None of these                                      | <input type="checkbox"/> | 9 |             |

---

**Everyone to answer**

---

7 Some people say they are limited in the type or amount of work they can do. Do any of these statements apply to you?

(Tick *each one that applies*)

- (✓) 135-141
- |   |                          |   |              |
|---|--------------------------|---|--------------|
| There aren't enough suitable jobs around here                           | <input type="checkbox"/> | 1 |              |
| I haven't got enough skills and experience to find the right work       | <input type="checkbox"/> | 2 |              |
| I'm unlikely to get a job because of my age                             | <input type="checkbox"/> | 3 |              |
| An employer is unlikely to give me a job because of my health condition | <input type="checkbox"/> | 4 | <i>tick</i>  |
| I think I would be worse off financially if I started work              | <input type="checkbox"/> | 5 | <i>all</i>   |
| My confidence about working is low                                      | <input type="checkbox"/> | 6 | <i>that</i>  |
| My health condition makes it difficult for me to work                   | <input type="checkbox"/> | 7 | <i>apply</i> |
| None of these   | <input type="checkbox"/> | 8 |              |
-

8 Would you be interested in talking to someone who could help you in any of these ways?

(Tick all that apply)

(✓)

142-146

Give you support or advice in thinking about or getting ready for work

1

Help you find training

2

*tick*

Help you find paid work

3

*all*

Help you try out a job

4

*that*

Give you support to stay in paid work when you have a job

5

*apply*

None of these

6

9 Do you have any qualifications?

(✓) 147

(Tick one only)

No

1

Yes, I have academic qualifications

2

Yes, I have technical qualifications

3

Yes, I have academic and technical qualifications

4

10 We may want to contact you again. If we can contact you by telephone, please write in your number here:

Area code Telephone number

148-162

11 If there is anything else you would like to tell us, please write it in the box below:

163

[Empty box for additional comments]

***Thank you very much for your help.***

Now please post the questionnaire in the envelope provided. You do not need to add a stamp.

The information you have given is confidential to the research team. We will be doing some further research in the future and may invite you to take part. If the address on the letter is incorrect, please let us know the correct address for where you are living now, by phoning Joanne Phillipson on 01277 200 600.





## **APPENDIX B**

### **COVER LETTER SENT WITH POSTAL QUESTIONNAIRE**

<<Title>> <<Initials>> <<Surname>>  
<<Add1>>  
<<Add2>>  
<<Add3>>  
<<Add4>> <<Postcode>>

April 2000

Dear <<Title>> <<Surname>>

### **Sickness and Disability Benefits and Work**

I am writing to ask for your help with an important study being carried out by an independent research agency called the *National Centre for Social Research*. The Department of Social Security and the Department for Education and Employment have asked the *National Centre for Social Research* to carry out this study to find out about people's views and experiences of benefits, work and training. Your name has been randomly selected from benefit records. **We are very interested in what you have to say, whatever your present circumstances, and whatever your plans for the future.**

**Enclosed is a short questionnaire for you to fill out. Please send it back to the researchers at the *National Centre for Social Research* in the prepaid envelope, as soon as possible.**

The instructions on the questionnaire will tell you what to do. You could ask a friend or relative to help you, if you need to.

Anything you say will be **strictly confidential**. Your name and personal details will not be passed to anyone outside the research team. **Taking part in this study will not affect any benefit you receive, or any dealings you may have with any government department or agency.**

I do hope you decide to take part in this important study. If you have any questions about the survey, if you need help completing the questionnaire, or if the address at the top of the letter is incorrect, please telephone Joanne Phillipson on **01277 200600**, at the *National Centre for Social Research*.

Yours sincerely,



Ian Thistlethwaite  
Social Research Branch

Your reference number is P2003/<<Serial>>

## **APPENDIX C**

### **SHOW CARDS**

P.1993

**CARD A1**

1. Paid work
2. Supported employment
3. Therapeutic work
4. Work Placement
5. Voluntary work
6. Full-time education (22+ hours per week) and in part time paid work
7. Full-time education only (22+ hours per week)
8. Government/TEC/LEC programme
9. Unemployed and looking for work
10. Looking after home/children
11. Sick or disabled
12. On temporary sick leave
13. On paid leave
14. Retired
15. Something else

P.1993

**CARD B1**

1. Incapacity Benefit (this used to be known as Invalidity Benefit)
2. Severe Disablement Allowance
3. Income Support
4. Credits towards your National Insurance Contributions because of sickness or disability
5. Statutory Sick Pay
6. Occupational Sick Pay
7. Disability Living Allowance
8. Disabled Person's Tax Credit/  
Disability Working Allowance
9. Industrial Injuries Disablement Allowance
10. War Disablement Pension
11. Another sickness or disability benefit
0. None of these

P.1993

## CARD C1

1. Incapacity Benefit
2. Severe Disablement Allowance
3. Income Support with a disability premium
4. Credits towards your National Insurance Contributions because of sickness or disability
0. None of these

P.1993

## CARD C2

1. I have spent most of my working life in steady jobs
2. I've mainly done casual or short-term work
3. I've spent a lot of time out of work due to sickness or injury
4. I've spent most of my working life self-employed
5. Before now, I've never been unemployed
6. I've spent more time unemployed than in work
7. I've been in work, then out of work, several times over
8. I've spent a lot of my adult life looking after the family/home
0. None of these apply to me

P. 1993

**CARD D1**

1. Evening institute/adult education centre
2. Further Education (FE) college/ technical college
3. University or Higher Education (HE) college
4. Community centre
5. Skill centre
6. Private training
7. Jobcentre or Jobclub
8. Day centre
9. Adult training centre
10. At home (Open University, correspondence course, distance learning course)
11. At home (other)
12. Other

P.1993

**CARD D2**

1. Agree strongly
2. Agree slightly
3. Neither agree nor disagree
4. Disagree slightly
5. Disagree strongly

P.1993

### CARD D3

1. Failed DSS medical
2. Did not return DSS questionnaire
3. Did not attend DSS medical
4. Started work
5. Started training
6. Reached retirement age
7. DSS suspected fraud
8. Returned to work
9. My health improved
10. Started claiming Jobseeker's Allowance
11. Started Government training
12. Started looking for work
13. IB etc not enough to live on
14. My Doctor said that I was fit
15. Own choice
16. Family reasons
17. Other

P.1993

### CARD E1

1. Looked at adverts in local papers, magazines, shop windows etc.
2. Looked at adverts in national papers, magazines, journals etc.
3. Went to private recruitment agency
4. Went to Jobcentre
5. Went to Jobclub
6. Tried to find self-employed work
7. Asked a friend or relative
8. Directly contacted employer (telephone, letter, visit)
9. Talked to a Disability Employment Adviser
10. Taken any kind of training or rehabilitation course
11. Enquired locally about job vacancies
12. Looked for work in other ways
0. None of these



P.1993

## CARD E2

1. There aren't enough suitable jobs around here
2. It's difficult for me to find the kind of work to suit me
3. I have worries about leaving benefit
4. I have worries about managing financially until the first pay day
5. I have worries about managing financially while in work
6. I think I would be worse off financially if I started or increased the amount of work I do
7. Working makes too many demands on my time
8. I haven't got enough skills and experience to find the right work
9. I have difficulties getting to work
0. None of these

P.1993

## CARD E3

1. Other people's prejudices make it difficult for me to work
2. I'm too sick or disabled to work
3. An employer is unlikely to give me a job because of my health condition
4. I'm unlikely to get a job because of my age
5. My confidence about working is low
6. My health problem or disability does not limit the type or amount of work I can do
0. None of these

P.1993

**CARD E4**

1. Specialist equipment
2. Someone to help you at work
3. Work that isn't heavy and doesn't need a lot of physical strength or stamina
4. Work that isn't stressful
5. Work that doesn't need a lot of concentration
6. A flexible job
0. None of these

P.1993

**CARD E5**

1. Knowing about the job before you began
2. More confidence in yourself
3. Training to get ready for work
4. Continued training when you were in work
5. Suitable clothes for work
0. None of these

P.1993

**CARD E6**

1. Transport to and from work
2. Help with childcare
3. A doctor or some medical expertise based at your place of work
4. Knowing you could definitely get back to your original benefit if the job didn't work out
5. A benefit or tax credit paid to top-up your earnings
6. A subsidy to an employer to help them pay your wage
7. A grant to help you find or start a job
0. None of these

P.1993

**CARD F1**

0. Recruitable (N. Yorks)
1. City of York Council (N. Yorks)
2. Shaw Trust (S Tyneside)
3. The Eco Centre (S Tyneside)
4. Sema group (Mercia East)
5. Shaw linc centre (Mercia East)
6. Outset (Bedfordshire)
7. B Active (Bedfordshire)
8. Shaw Trust (Newham)
9. Stratford Advice Arcade (Newham)
10. Musgrave house (Exeter)

P.1993

**CARD F2**

1. To help me move back into work
2. I don't feel able to find work by myself
3. To find out whether I am able to go back to work
4. To find a job that is tailored to my needs
5. To help me find training
6. To help me get or increase my benefits
7. I thought it was compulsory
8. To provide me with more information about the benefits I am entitled to or could get
9. It seemed a good idea
10. It was an opportunity to talk about my situation with someone
11. Some other reason
0. None of these

P.1993

**CARD G1**

1. Agree to talk to your Adviser again
2. Agree to meet with someone else
3. Agree that you would do certain activities to help you find work, training or something like that
4. Agree that you would have no further contact with your Adviser
5. Something else
0. None of these

P.1993

**CARD G2**

1. The possibility of training or education
2. Training or qualifications you might need
3. The work you might do
4. Your previous work or other experience
5. The hours you might work
6. The possibility of doing unpaid or voluntary work
7. The possibility of supported employment
8. The possibility of therapeutic work
9. What you expect to earn
10. Your concerns about working
11. Something else
0. None of these

P.1993

**CARD G3**

1. Where to look for suitable vacancies
2. How to complete a job application
3. How to prepare for job interviews
4. Advice on presentation at job interviews
0. None of these

P.1993

### CARD G4

1. Any special adaptations or equipment you might need while in work
2. Any training or other personal support you might need while in work
3. Any help or support you might need to keep a job
4. Help with childcare
5. Help with transport to work
0. None of these

P.1993

### CARD G5

1. How work may affect your benefits
2. Benefits you could claim if you were working
3. Information about other benefits
4. The adviser calculated whether you would be better off in work
5. The adviser offered to help you fill in benefit forms
6. The adviser helped you fill in forms
7. What financial help might be available to you
8. Any other financial issues
0. None of these

P.1993

**CARD G6**

1. Say that s/he would be talking to employers
2. Offer to search for suitable jobs
3. Offer to search for suitable education or training courses
4. Offer to help pay for something you needed to find or keep training or work
5. Offer to refer you to see another person to help you
6. Say that s/he would be talking to a tutor/teacher/lecturer
7. Say that s/he would be helping you to find suitable childcare
0. None of these

P.1993

**CARD H1**

1. Increased your efforts to move towards work
2. Looked at Jobcentre vacancies
3. Looked in newspapers for job vacancies
4. Prepared a CV
5. Joined a Jobclub
6. Used the Employment Service telephone service to find a job
0. None of these

P.1993

**CARD H2**

1. Attended basic skills training
2. Looked into possible training schemes or education programmes
3. Applied for training scheme or education programme
4. Started a training scheme or education programme
0. None of these

P.1993

**CARD H3**

1. Applied for paid work
2. Started paid work
3. Started therapeutic work
4. Started supported employment
5. Started to do voluntary work
6. Started or done a work placement
7. Prepared to become self-employed
8. Become self-employed
9. Increased your hours of work
0. None of these



P.1993

**CARD H4**

1. Seen another person for help or advice
2. Made a claim for Jobseeker's Allowance
3. Applied for a different benefit
4. Used benefit enquiry helpline
5. Applied for a career development loan
0. None of these

P.1993

**CARD H5**

1. Something you would have done at that time anyway
2. Something you would have done later
3. Something you would have been unlikely to do, had you not talked to a personal adviser

P.1993

**CARD H6**

1. Agree strongly
2. Agree slightly
3. Neither agree nor disagree
4. Disagree slightly
5. Disagree strongly

P.1993

**CARD I1**

1. White
2. Black – Caribbean
3. Black – African
4. Black – Other Black groups
5. Indian
6. Pakistani
7. Bangladeshi
8. Chinese
9. Mixed Race
0. None of these

P.1993

**CARD I2**

1. Housing Benefit or help paying the rent
2. Council Tax Benefit
3. Job Seekers Allowance
4. Family Credit
5. Child Benefit/One Parent Benefit
6. Invalid Care Allowance
7. Working Families Tax Credit
8. Job Finders Grant
9. Other type of benefit
0. None of these

P.1993

**CARD I3**

1. UK university/CNAA degree/diploma
2. GCE A level/Higher school Cert
3. GCE O level/School Cert/Matric
4. GCSE Grades A-C
5. GCSE Grades D-G
6. CSE Grade 1
7. CSE Grades 2-5/ungraded
8. Certificate of 6<sup>th</sup> year studies
9. SCE/SLC/SUPE Higher Grade
10. SUPE/SLC Lower or Ordinary Grade
11. SCE Grades A-C or 1-3
12. SCE Grades D or E or 4 or 5
13. Other qualification

P.1993

## CARD I4

1. Recognised trade apprenticeship completed
2. Clerical/commercial qualification (e.g. typing, shorthand, book-keeping, commerce)
3. City and Guilds Certificate: Craft/intermediate/ordinary/part I
4. City and Guilds Certificate: Advanced/Final/Part II
5. City and Guilds Certificate: Full technological/Part III
6. National Vocational Qualification (NVQ)
7. General National Vocational Qualification (GNVQ)
8. Ordinary National Certificate (ONC) or Diploma (OND)
9. BEC/TEC National/General Certificate or Diploma
10. SCOTVEC
11. Higher National Certificate (HNC) or Higher Diploma (HND)
12. Teaching qualification
13. Nursing qualification (e.g. SEN, SRN, SCM)
14. YTS certificate
15. Other professional qualification

P.1993

## CARD I5

1. Owned outright
2. Being bought on a mortgage/bank loan
3. Shared ownership (part mortgage and rented) part
4. Rented from a Council/ Local Authority/ Town New
5. Rented from a Housing Association
6. Rented privately
7. Rent free
8. Other



## **APPENDIX D**

### **EXAMPLE FROM THREE YEAR CALENDAR**

# 1998

## January

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

## February

Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28

## March

Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

## April

Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30		

## May

Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

## June

Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

## July

Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

## August

Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

## September

Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

## October

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

## November

Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

## December

Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

# 1999

## January

Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

1  
2  
3  
4  
5

## February

Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28						

1  
2  
3  
4  
5

## March

Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

1  
2  
3  
4  
5

## April

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

1  
2  
3  
4  
5

## May

Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

1  
2  
3  
4  
5

## June

Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30			

1  
2  
3  
4  
5

## July

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

1  
2  
3  
4  
5

## August

Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

1  
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4  
5

## September

Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30		

1  
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4  
5

## October

Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

1  
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4  
5

## November

Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

1  
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3  
4  
5

## December

Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

1  
2  
3  
4  
5



# 2000

January

Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

February

Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29				

March

Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

April

Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30						

May

Su	Mo	Tu	We	Th	Fr	Sa
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

June

Su	Mo	Tu	We	Th	Fr	Sa
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

July

Su	Mo	Tu	We	Th	Fr	Sa
						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					

August

Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

September

Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

October

Su	Mo	Tu	We	Th	Fr	Sa
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

November

Su	Mo	Tu	We	Th	Fr	Sa
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30		

December

Su	Mo	Tu	We	Th	Fr	Sa
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30
31						

## **APPENDIX E**

### **CAPI QUESTIONNAIRE FOR SUMMER 2000 SURVEYS**

**New Deal for Disabled People****Second stage survey of participants and non-participants and national comparison****CAPI Specification****National Centre for Social Research****June 2000 Version 4 Final****SECTION A INTRODUCTION**

- SAMPLE 1 ASK OF ALL RESPONDENTS
- **SAMPLE 2 ASK OF ALL RESPONDENTS**
- **NATIONAL COMPARISON RESPONDENTS ASK ALL**

INTDATE            Date of interview appears automatically.

Aproxy            INTERVIEWER: ENTER WHETHER:

The named person is responding	1
A proxy is responding on behalf of the named person	2
Someone is helping the named person respond (e.g. translating, helping recall)	3

**If Aproxy = 3**

AAsst            INTERVIEWER: DO YOU WANT THE QUESTIONS TO APPEAR IN THE NORMAL WAY, E.G. 'HOW OLD ARE YOU?', OR REFER TO THE NAMED PERSON, E.G. 'HOW OLD IS JOHN?'

Appear in the normal way	1
Refer to the named person	2

**If Aproxy = 2 or If Aproxy = 3 AND AAsst = 2**

Aproxnam        "INTERVIEWER: WHAT NAME DOES THE PROXY USE TO REFER TO THE PERSON WHO WAS SELECTED TO TAKE PART IN THE SURVEY (I.E. NICHOLAS, NICK OR MR.BROWN). PLEASE ENTER IT HERE:"

**If Aproxy = 2**

AproxHH        "Can I ask, what is your relationship to Aproxnam?"

Husband/wife living in the same household	1
Husband/wife not living in the same household	2
Partner/Cohabitee living as married in the same household	3
Partner/Cohabitee but not living in the same household	4
Son or Daughter living in the same household	5
Son or Daughter not living in the same household	6
Sister or Brother living in the same household	7
Sister or Brother not living on the same household	8
Father or Mother living in the same household	9
Father or Mother not living in the same household	10
Other relative living in the same household	11
Other person who is not <u>Aproxnam</u> 's relative but lives in the same household	12
Other person who is not <u>Aproxnam</u> 's relative and does not live in the same household	13

If Proxy: *textfill1*={thank you for agreeing to answer questions on behalf of Aproxnam} *textfill2*=  
{Aproxnam and any other people living in Aproxnam's household} *textfill3*= {Aproxnam's}

Everyone else: *textfill1*= {n/a} *textfill2*={yourself and any other people living in your household}  
*textfill3*= {your}

If from Sample 1 pilots: *textfill4* {You may remember being asked similar questions some time ago}

## All

ASex “This is a survey about benefits and work which has been commissioned by the Department of Social Security and the Department for Education and Employment. {*textfill1*} {*textfill4*} We are very interested in peoples’ views about benefits and work. What you say will be held in confidence, and will not have any effect on your {*textfill3*} benefits, either now or in the future. I would like to begin by asking you a few questions about {*textfill2*}.

INTERVIEWER: ENTER SEX OF RESPONDENT

- |   |        |
|---|--------|
| 1 | Male   |
| 2 | Female |

(Grid)

INTERVIEWER: ASK NAMES OF ALL PEOPLE IN HOUSEHOLD

Ahou computed to number of people in household: 1-15)

If  $Ahou > 1$

If Named use first option, if proxy use second

*PName* = name of household member

What is your relationship to the {Use ‘first’ for  $Ahou=2$  then follow loop for remaining household members inserting ‘next’ }

If  $Ahou > 1$ +number of loops already carried out

Ahou02 “What is *NAME*’S relationship to {*you*, Aproxnam} {I would now like to ask how the other people in {*your*, Aproxnam’s household are related to {*you*, *him/her*} }

- |                                    |   |
|------------------------------------|---|
| Husband/wife (married)             | 1 |
| Partner (living as married)        | 2 |
| Son or daughter                    | 3 |
| Sister or brother                  | 4 |
| Father or Mother                   | 5 |
| Other relative                     | 6 |
| Other person who is not a relative | 7 |

**DATE [1] - DATE [7] = Monday- Sunday 1 week prior to date of interview**

Aec102 CARD A1

“Can you look at this card and tell me, what *PName* was doing last week, that is between Monday the *DATE [1]* and Sunday the *DATE [7]*?”

**CODE ONE ONLY – PRIORITY CODE [prompt for main activity]**

- |                      |     |
|----------------------|-----|
| Paid work            | [1] |
| Supported employment | [2] |
| Therapeutic work     | [3] |

	Work placement	[4]
	Voluntary work	[5]
Full-time education (22+ hours) <u>and</u> in part-time paid work		[6]
	Full-time education <u>only</u> (22+ hours per week)	[7]
	Government/TEC/LEC programme	[8]
	Unemployed and looking for work	[9]

NOT LOOKING FOR WORK:

	Looking after home/children	[10]
	Sick or disabled	[11]
On temporary sick leave (code as in work – probe for work hours)		[12]
	Paid leave (code as in work – probe for work hours)	[13]
	Retired	[14]
	Something else (SPECIFY)	[15]

**If Aec102= something else**

INTERVIEWER: ENTER DETAILS OF WHAT RESPONDENT WAS DOING LAST WEEK.  
PROBE.

**If Aec102 = in work (codes 1 or 2)**

Aec202 “How many hours per week does *NAME* work in this job?”

30 or more hours per week	[1]
16-29 hours per week	[2]
Less than 16 hours per week	[3]

**If Aec102 = in work (code 1)**

Aec302 “Is this job a Work Trial whereby someone can try up to 15 days unpaid work and still continue to receive benefit?”

Yes, Work Trial	[1]
No, not a Work Trial	[2]
Don't know	[3]

**If Ahou=1 or Ahou>1 and loop above is complete.**

***END OF SECTION A***

**SECTION B**

**HEALTH AND DISABILITY**

- |  |
|--|
| <ul style="list-style-type: none"> <li>• <b>SAMPLE 1 ASK OF ALL RESPONDENTS</b></li> <li>• <b>SAMPLE 2 ASK OF ALL RESPONDENTS</b></li> <li>• <b>NATIONAL COMPARISON RESPONDENTS ASK ALL</b></li> </ul> |
|--|

Bproxy

INTERVIEWER: ENTER WHETHER:

The named person is responding

1

A proxy is responding on behalf of the named person

2

Someone is helping the named person respond (e.g. translating, helping recall)

3

**If Bproxy = 3**

BAsst

INTERVIEWER: DO YOU WANT THE QUESTIONS TO APPEAR IN THE

NORMAL WAY, E.G. 'HOW OLD ARE YOU?', OR REFER TO THE NAMED PERSON, E.G.

'HOW OLD IS JOHN?'

Appear in the normal way

1

Refer to the named person

2

**If Bproxy = 2 or If Bproxy = 3 AND BAasst = 2**

Aproxnam

INTERVIEWER: WHAT NAME DOES THE PROXY USE TO REFER TO THE

PERSON WHO WAS SELECTED TO TAKE PART IN THE SURVEY (I.E. NICHOLAS, NICK

OR MR.BROWN). PLEASE ENTER IT HERE

**If Bproxy = 2**

BproxHH

Can I ask, what is your relationship to Bproxnam?

Husband/wife living in the same household

1

Husband/wife not living in the same household

2

Partner/Cohabitee living as married in the same household

3

Partner/Cohabitee but not living in the same household

4

Son or Daughter living in the same household

5

Son or Daughter not living in the same household

6

Sister or Brother living in the same household

7

Sister or Brother not living on the same household

8

Father or Mother living in the same household

9

Father or Mother not living in the same household

10

Other relative living in the same household

11

Other person who is not Bproxnam's relative but lives in the same household

12

Other person who is not Bproxnam's relative and does not live in the same household

13

Bimpnw{B1a} Can I ask, {do you, does aproxnam} have a physical or mental health condition or disability which affects {your, aproxnam's} everyday activities at the moment?

INCLUDE IF CONDITION HAS TEMPORARILY ABATED

Yes [1] {go to B2}

No [2] {ask B1b}

If Bimpnw{B1a}=No

Bimpgon{B1b} And {have you, has aproxnam} recently had a physical or mental health condition or disability which affected {your, his/her} everyday activities?

Yes [1] {go to  
 B2}  
 No [2] {go to B8a}

If B1a=Yes, textfill={Present tense e.g. What is, Do you}

If B1b=Yes, textfill={Past tense e.g. What was, Did you}

**If Bimpnow{B1a}=Yes or Bimpgon{B1b}=Yes**

Bimprnam{B2} Can I ask, {what is, what was} the name of your **main** health condition or disability?

INTERVIEWER: PROBE FOR WHAT THE RESPONDENT'S DOCTOR CALLS IT. THIS DOES NOT NEED TO BE VERBATIM. ENTER MAIN CONDITION ONLY. ENTER **ONE** MAIN CONDITION ONLY.

ENTER CONDITIONS SUCH AS 'ARTHRITIS' 'TROUBLE WITH YOUR LEGS' OR 'MENTAL HEALTH CONDITION' WHICH YOU CAN READ OUT AS PART OF LATER QUESTIONS":  
 STRING [60]

Bimpoth{B3a} {Do you, Did you} have any other health conditions or disabilities?

Yes [1]

No [2]

**If Bimpoth{B3a}= yes**

BXIMPOTH{B3b} INTERVIEWER: ENTER OTHER HEALTH CONDITIONS OR DISABILITIES

PROBE

Bevent{B4} INTERVIEWER: ENTER WHETHER **MAIN** CONDITION RELATES TO AN EVENT E.G. HAPPENED AS A RESULT OF AN ACCIDENT OR OPERATION INTERVIEWER: **DO NOT** ASK RESPONDENT DIRECTLY

Event [1]

Not an event [2]

Bimpever{B5} INTERVIEWER: ENTER WHETHER **MAIN** CONDITION IS PERMANENT OR TERMINAL - BUT BE CAREFUL NOT TO ASSUME TOO MUCH: DO NOT ASK RESPONDENT DIRECTLY

Condition is clearly permanent so insensitive to ask if long standing [1]

Respondent can be asked whether condition is long standing [2]

If Bevent{B4}=event insert *Textfill 1* = "happen":

If Bevent{B4}=not an event *Textfill 2* = "condition first affect your everyday activities":

BimpsY{B6a} When did this {*Textfill1, Textfill2*}?":

PROBE 'I mean when {*your, aproxnam's*} condition started to limit what {you, he/she} could do'

ENTER YEAR HERE AND, FOR 1996 OR LATER, ENTER MONTH AT NEXT QUESTION

IF AT BIRTH ENTER 0

IF DON'T KNOW ENTER ESTIMATE (AND MAKE A NOTE OF THIS), WHERE POSSIBLE

ADD SOFT CHECK FOR DATES BEFORE 1960": 1900..1999

**If BimpsY{B6a}=response and BimpsY{B6a}<>0 and Bimpsy{B6a}>=1996**

BimpsM{B6b} INTERVIEWER: ENTER MONTH MAIN HEALTH CONDITION OR DISABILITY STARTED.

IF EXACT MONTH IS NOT KNOWN USE CODES 22, 33, 44, 55 OR 66

January	[1]
February	[2]
March	[3]
April	[4]
May	[5]
June	[6]
July	[7]
August	[8]
September	[9]
October	[10]
November	[11]
December	[12]
SPRING	[22]
SUMMER	[33]
AUTUMN	[44]
BEFORE NEW YEAR	[55]
AFTER NEW YEAR	[66]

**B6c** Can you tell me, when did the condition you just told me about first affect your (aproxnam's) ability to do paid work?

ENTER YEAR AT THIS QUESTION AND, FOR 1996 OR LATER, ENTER MONTH AT NEXT QUESTION

IF DON'T KNOW ENTER ESTIMATE (AND MAKE A NOTE OF THIS), WHERE POSSIBLE  
IF NEVER ENTER 0

**If B6c=response and B6a>=1996**

**B6d** INTERVIEWER: ENTER MONTH MAIN HEALTH CONDITION OR DISABILLITY BEGAN TO AFFECT ABILITY TO WORK

IF EXACT MONTH IS NOT KNOWN USE CODES 22, 33, 44, 55 OR 66

January	[1]
February	[2]
March	[3]
April	[4]
May	[5]
June	[6]
July	[7]
August	[8]
September	[9]
October	[10]
November	[11]
December	[12]
SPRING	[22]
SUMMER	[33]
AUTUMN	[44]
BEFORE NEW YEAR	[55]
AFTER NEW YEAR	[66]



**SERVINTRO** I would like to ask you (*Aproxnam*) a few more questions on the effects which {*your/his/her*} health condition or disability has on your (*Aproxnam*'s) daily life. Some of the questions I ask won't apply to you (*Aproxnam*) or the answers may seem obvious, but I have to check

**ALL**

**Q27a1** First, some questions about problems to do with **moving about**. Can you (*Aproxnam*) walk a quarter of a mile on the level, without stopping or in severe discomfort?

- 1 Yes go to Q27a5
- 2 No go to Q27a2

**IF Q27a1 = No**

**Q27a2** Can you (*Aproxnam*) walk at all?

(INTERVIEWER: IF RESPONDENT HAS ALREADY DEMONSTRATED THAT THEY CAN WALK, CODE AS 2, DO NOT ASK)

- 1 Yes go to Q27a4
- 2 No go to Q27a3

**IF Q27a2 = No**

**Q27a3** Can I just check, can you (*Aproxnam*) stand at all?

- 1 Yes go to Q27a8
- 2 No go to Q28a1

**IF Q27a2 = Yes**

**Q27a4** How far can you (*Aproxnam*) walk on your (*his/her*) own and without stopping or in severe discomfort?

PROMPT AND CODE FIRST WHICH APPLIES

- 1 at least 200 yards
- 2 less than 200 yards but at at least 50 yards
- 3 less than 50 yards but more than a few steps
- 4 only a few steps

go to Q27a5

**IF Q27a1 = Yes or Q27a4 = 1-4**

**Q27a5** Do you (*Aproxnam*) walk up and down steps or stairs in a normal manner, or do you (*does Aproxnam*) have to take one step at a time or go sideways or anything like that?

- 1 manages normally go to Q27a8
- 2 does not manage normally go to Q27a6

**IF Q27a5 = No**

**Q27a6** Can you (*Aproxnam*) walk up and down one step on your [*his/her*] own?

- 1 yes go to Q27a7
- 2 no go to Q27a8

**IF Q27a6 = Yes**

**Q27a7** Can you (*Aproxnam*) walk up **and** down a flight of 12 stairs on your [*his/her*] own...READ OUT...

CODE FIRST TO APPLY

- 1 ...without stopping for a rest and without holding on
- 2 by holding on, but without stopping for a rest
- 3 by holding on AND by stopping for a rest
- 4 or not at all?

go to Q27a8

**Q27a8** In the past 12 months have you (*has Aproxnam*) ever lost your [*his/her*] balance and fallen?

- 1 yes go to Q27a9
- 2 no go to Q27a10

**IF Q27a8 = Yes**

**Q27a9** How many times have you (*has Aproxnam*) fallen in the past 12 months?

- 1 once or twice
- 2 3-11 times
- 3 12 times or more

go to Q27a10

**Q27a10** Do you (*does Aproxnam*) need to hold onto something to keep your [*his/her*] balance?

- 1 yes go to Q27a11
- 2 no go to Q27a12

**IF Q27a10 = Yes**

**Q27a11** How often do you (*does Aproxnam*) need to hold onto something to help you [*him/her*] keep your [*his/her*] balance?

- 1 all the time
- 2 quite often
- 3 or only occasionally?

go to Q27a12

**Q27a12** From standing up can you (*Aproxnam*) bend down and sweep something up with a dustpan and brush and straighten up again, holding on if necessary?

- 1 yes go to Q28a1
- 2 no go to Q27a13

**IF Q27a12 = No**

**Q27a13** From standing up, can you (*Aproxnam*) bend down and pick something up from the floor, and straighten up again, holding on if necessary?

- 1 yes go to Q28a1
- 2 no go to Q27a14

**IF Q27a13 = No**

**Q27a14** From standing up, can you (*Aproxnam*) bend down far enough to touch your [*his/her*] knees and straighten up again, holding on if necessary?

- 1 yes
- 2 no

go to Q28a1

28. **Severity scales – reaching and stretching**

**ALL**

Q28a1 Now some questions about **reaching and stretching**. Do you (*does Aproxnam*) have difficulty using your [*his/her*] arms to reach and stretch for things?

- 1 yes go to Q28a2
- 2 no go to Q29a1

**IF Q28a1 = Yes**

Q28a2 Can you (*Aproxnam*) stretch both arms above your [*his/her*] head at the same time to reach for something above you [*him/her*]?

- 1 yes go to Q29a1
- 2 no go to Q28a3

**IF Q28a2 = No**

Q28a3 Can you (*Aproxnam*) **without difficulty** put your [*his/her*] right arm above your [*his/her*] head to reach for something above you [*him/her*]?

- 1 yes
  - 2 no
- go to Q28a4

Q28a4 ...and with your [*his/her*] left arm?

- 1 yes
  - 2 no
- go to Q28a5

Q28a5 If you (*Aproxnam*) need to tuck in a blouse/shirt **behind** your [*his/her*] back, could you [*he/she*] do this **without** difficulty with your [*his/her*] right arm?

- 1 yes
  - 2 no
- go to Q28a6

Q28a6 ...and with your [*his/her*] left arm?

- 1 yes
  - 2 no
- go to Q28a7

Q28a7 Can you (*Aproxnam*) **without difficulty** hold your [*his/her*] right arm out to put it into the sleeve of a jacket?

- 1 yes
  - 2 no
- go to Q28a8

Q28a8 ...and with your [*his/her*] left arm?

- 1 yes
  - 2 no
- go to Q28a9

Q28a9 Can you (*Aproxnam*) **without difficulty** put your [*his/her*] right arm up to your [*his/her*] head to put a hat on?  
1 yes  
2 no  
go to Q28a10

Q28a10 ...and with your [*his/her*] left arm?  
1 yes  
2 no  
go to Q28a11

Q28a11 Can you (*Aproxnam*) hold **both** your [*his/her*] right and [*his/her*] left arm out in front of you [*him/her*] to shake hands with someone?  
1 yes  
2 no  
go to Q29a1

29. **Severity scales - dexterity**

**ALL**

Q29a1 Now some questions about **using your (*his/her*) hands**. Do you (*does Aproxnam*) have a problem picking things up or holding, gripping or turning things?  
1 yes go to Q29a2  
2 no go to Q30a1

**IF Q29a1 = Yes**

Q29a2 Can you (*Aproxnam*) pick up a small object such as a safety pin lying on a table...**READ OUT**...  
1 ...with either hand go to Q29a3  
2 only with one hand go to Q29a5  
3 or not at all? go to Q29a3

**IF Q29a2 = 1 or 3**

Q29a3 Can you (*Aproxnam*) pick up and carry a pint of milk...**READ OUT**...  
1 ...with either hand go to Q29a4  
2 only with one hand go to Q29a5  
3 or not at all? go to Q29a5

**IF Q29a3 = 1**

Q29a4 Apart from any holding problems, do you (*does Aproxnam*) have difficulty tying a bow in laces or string?  
1 yes go to Q29a5  
2 no go to Q30a1

**IF Q29a2 = 2 or Q29a3 = 2 or 3 or Q29a4 = 1**

Q29a5 Can you (*Aproxnam*) squeeze the water from a sponge...**READ OUT**...  
1 ...with either hand go to Q29a6  
2 only with one hand go to Q29a7  
3 or not at all? go to Q29a6

**IF Q29a5 = 1 or 3**

Q29a6 Can you (*Aproxnam*) turn the control knobs on a cooker...

- |   |                     |             |
|---|---------------------|-------------|
| 1 | ...with either hand | go to Q30a1 |
| 2 | only with one hand  | go to Q29a7 |
| 3 | or not at all?      | go to Q29a7 |

**IF Q29a5 = 2 or Q29a6 = 2 or 3**

Q29a7 Can you (*Aproxnam*) pick up and hold a mug of coffee...READ OUT...

- |   |                     |             |
|---|---------------------|-------------|
| 1 | ...with either hand | go to Q30a1 |
| 2 | only with one hand  | go to Q29a8 |
| 3 | or not at all?      | go to Q30a1 |

**IF Q29a7 = 2**

Q29a8 Can you (*Aproxnam*) wring out light washing?

- |   |     |              |
|---|-----|--------------|
| 1 | yes | go to Q29a9  |
| 2 | no  | go to Q29a10 |

**IF Q29a8 = Yes**

Q29a9 Can you (*Aproxnam*) use a pair of scissors?

- |   |     |              |
|---|-----|--------------|
| 1 | yes | go to Q30a1  |
| 2 | no  | go to Q29a10 |

**IF Q29a8 = No or Q29a9 = No**

Q29a10 Can you (*Aproxnam*) pick up and carry a 5lb bag of potatoes with either or both hands?

- |   |     |              |
|---|-----|--------------|
| 1 | yes | go to Q30a1  |
| 2 | no  | go to Q29a11 |

**IF Q29a10 = No**

Q29a11 Can you (*Aproxnam*) unscrew the lid of a coffee jar?

- |   |     |              |
|---|-----|--------------|
| 1 | yes | go to Q29a12 |
| 2 | no  | go to Q29a12 |

Q29a12 Can you (*Aproxnam*) pick up and pour from a full kettle without difficulty?

- |   |     |              |
|---|-----|--------------|
| 1 | yes | go to Q29a13 |
| 2 | no  | go to Q29a13 |

Q29a13 Can you (*Aproxnam*) serve food from a pan using a spoon or ladle?

- |   |     |             |
|---|-----|-------------|
| 1 | yes | go to Q30a1 |
| 2 | no  | go to Q30a1 |

**30. Severity scales - seeing**

**ALL**

Q30a1 Now a few questions about **seeing things**. Do you (*does Aproxnam*) wear glasses or contact lenses?

(INTERVIEWER: IF RESPONSE = YES, REFER TO GLASSES/LENSES IN SECTION 30)

- |   |     |
|---|-----|
| 1 | yes |
|---|-----|

2 no go to Q30a2

**Q30a2** Do you (*does Aproxnam*) have difficulty seeing to read ordinary newspaper print (even when glasses or contact lenses are worn)?

1 yes go to Q30a3

2 no go to Q31a1

**IF Q30a2 = Yes**

**Q30a3** Can you (*Aproxnam*) see well enough to recognise a friend across the road (wearing glasses or contact lenses, if necessary)?

1 yes go to Q31a1

2 no go to Q30a4

**If Q30a3 = No**

**Q30a4** Can you (*Aproxnam*) tell by the light where the windows are?

1 yes go to Q30a5

2 no go to Q31a1

**IF Q30a4 = Yes**

**Q30a5** Can you (*Aproxnam*) see well enough to see a friend across a room (wearing glasses or contact lenses, if necessary)?

1 yes go to Q31a1

2 no go to Q30a6

**IF Q30a5 = No**

**Q30a6** Can you (*Aproxnam*) see well enough to read a large print book (wearing glasses or contact lenses, if necessary)?

1 yes go to Q31a1

2 no go to Q30a7

**IF Q30a6 = No**

**Q30a7** Can you (*Aproxnam*) see well enough to read a newspaper headline (wearing glasses or contact lenses, if necessary)?

1 yes go to Q31a1

2 no go to Q30a8

**IF Q30a7 = No**

**Q30a8** Can you (*Aproxnam*) see well enough to recognise a friend who is an arm's length away (wearing glasses or contact lenses, if necessary)?

1 yes go to Q31a1

2 no go to Q30a9

**IF Q30a8 = No**

**Q30a9** Can you (*Aproxnam*) see well enough to recognise a friend who is close to your (*Aproxnam's*) face (wearing glasses or contact lenses, if necessary)?

1 yes go to Q31a1

2 no go to Q30a10

**IF Q30a9 = No**

Q30a10 Can you (*Aproxnam*) see the shapes of furniture in the room?

- 1        yes
- 2        no                    go to Q31a1

**31.        Severity scales - hearing**

**ALL**

Q31a1            Next, I have some questions for you (*Aproxnam*) about **hearing**. Do you (*does Aproxnam*) wear a hearing aid at all?

INTERVIEWER: IF RESPONSE = YES, REFER TO HEARING AID IN SUBSEQUENT QUESTIONS ON HEARING IN THIS SECTION

- 1        yes
  - 2        no
- go to Q31a2

Q31a2            Do you (*Aproxnam*) have difficulty following a conversation if there is background noise – for example a TV, radio or children playing (even with a hearing aid, if necessary)?

- 1        yes                    go to Q31a3
- 2        no                      go to Q32a1

**IF Q31a2 = Yes**

Q31a3            Do you (*Aproxnam*) have difficulty hearing someone talking to you [him/her] in a normal voice in a quiet room (even with a hearing aid, if worn)?

- 1        yes                    go to Q31a4
- 2        no                      go to Q32a1

**IF Q31a3 = Yes**

Q31a4 Can I check, are you (*is Aproxnam*) totally deaf in both ears?

- 1        yes                    go to Q32a1
- 2        no                      go to Q31a5

**IF Q31a4 = No**

Q31a5            Do you (*does Aproxnam*) have difficulty following a TV programme at a volume others find acceptable (even with a hearing aid, if worn)?

- 1        yes                    go to Q31a6
- 2        no                      go to Q32a1

**IF Q31a5 = Yes**

Q31a6 Can you (*Aproxnam*) use an ordinary telephone (with hearing aid, if worn)?

- 1        yes                    go to Q32a1
- 2        no                      go to Q31a7

**IF Q31a6 = No**

Q31a7            Can you (*Aproxnam*) hear a doorbell, alarm clock or telephone ring (even with a hearing aid, if worn)?

- 1        yes                    go to Q32a1
- 2        no                      go to Q31a8

**IF Q31a7 = No**

- Q31a8 Do you (*does Aproxnam*) have difficulty hearing someone talking in a loud voice in a quiet room (even with a hearing aid, if worn)?
- 1 yes go to Q31a9
  - 2 no go to Q32a1

**IF Q31a8 = Yes**

- Q31a9 Can you (*Aproxnam*) follow a TV programme with the volume turned up (with a hearing aid, if worn)?
- 1 yes
  - 2 no go to Q32a1

**32. Severity scales - continence**

**ALL**

- Q32a1 There are still a few more questions about possible problems. Again I would stress that some of them may well not apply to you (*Aproxnam*), but I just have to check. Do you (*does Aproxnam*) use any sort of device to manage either your [*his/her*] bladder or [*his/her*] your bowels?
- 1 yes
  - 2 no
- go to Q32a2

Q32a2 Do you (*does Aproxnam*) ever lose control of your [*his/her*] bladder?

- 1 yes go to Q32a3
- 2 no go to Q32a4

**IF Q32a2 = Yes**

Q32a3 Do you (*does Aproxnam*) lose control of your {*his/her*} bladder ...READ OUT...  
CODE FIRST TO APPLY

- 1 ...at least once every 24 hours
  - 2 less than 24 hours but at least once a week
  - 3 less than once a week, but at least twice a month
  - 4 less than twice a month, but at least once a month
  - 5 less than once a month
  - 6 or do you {*does aproxnam*} have no voluntary control over your {*his/her*} bladder?
- go to Q32a4

**If Q32a2 = No or Q32a3 = 1-5**

Q32a4 Do you (*does Aproxnam*) ever lost control of your [*his/her*] bowels?

- 1 yes go to Q32a5
- 2 no go to Q33a1

**IF Q32a4 = Yes**

Q32a5 Do you (*does Aproxnam*) lost control of your [*his/her*] bowels ...READ OUT...  
CODE FIRST TO APPLY

- 1 ...at least once every 24 hours
- 2 less than 24 hours but at least once a week
- 3 less than once a week, but at least twice a month
- 4 less than twice a month, but at least once a month



5 less than once a month

6 or do you {*does aproxnam*} have no voluntary control over your {*his/her*} bowels?  
go to Q33a1

**33 Severity scales - consciousness**

**ALL**

Q33a1 Have you (*Aproxnam*) had a fit or convulsion in the last two years?

1 yes go to Q33a2

2 no go to Q34a1

**IF Q33a1 = Yes**

Q33a2 About how many fits or convulsions have you (*has Aproxnam*) had in the last year?

1 ENTER NUMBER

2 NONE go to Q33a3

Q33a3 When you have (*Aproxnam has*) had a fit or convulsion, do you usually lose consciousness completely?

1 yes

2 no

go to Q33a4

Q33a4 At what time of day do the fits or convulsions usually occur?

CODE ALL THAT APPLY

1 during the night

2 early morning/on awakening

3 during the day

4 evenings

go to Q33a5

Q33a5 Do you (*does Aproxnam*) usually get a warning before a fit or convulsion?

1 yes

2 no

go to Q34a1

**34. Severity scales – eating, drinking and digestion**

**ALL**

Q34a1 Do you (*does Aproxnam*) suffer from difficulties with eating, drinking or digestion which severely affect your (*Aproxnam's*) ability to lead a normal life?

1 yes

2 no

go to Q35a1

**35 Severity scales – pain/irritation**

**ALL**

Q35a1 Do you (*does Aproxnam*) suffer from severe pain or irritation which severely affects your (*Aproxnam's*) ability to lead a normal life?

1 yes

2 no

go to Q36a1

36 **Severity scales – breathlessness etc.**

**ALL**

Q36a1

Do you (*does Aproxnam*) suffer from bouts of breathlessness, wheezing or coughing which severely affect your (*Aproxnam's*) ability to lead a normal life?

1 yes

2 no

go to Q37a1

37 **Severity scales - disfigurement**

Q37a1

Do you (*does Aproxnam*) have a visible scar, blemish or deformity which severely affects your (*Aproxnam's*) ability to lead a normal life?

1 yes

2 no

go to Q38a1

38 **Severity scales - Communication**

Q38a1

Do you (*does Aproxnam*) have difficulty understanding what other people say or what they mean?

INTERVIEWER: EXCLUDE DIFFICULTIES DUE TO POOR ENGLISH

1 yes go to Q38a2 if have a hearing difficulty (ie B1c = 5),  
otherwise go to Q38a3

2 no go to Q38a5

**IF Q38a1 = Yes AND B1c = 5**

Q38a2 Can I check, is this difficulty just due to your (*Aproxnam's*) hearing problem?

1 yes

2 no

go to Q38a3

**IF Q38a1 = Yes AND B1c not equal 5, or Q38a2 = Yes or No**

Q38a3 How difficult is it for you (*Aproxnam*) to understand strangers – is it ...READ OUT...

1 ...not difficult at all go to Q38a5

2 quite difficult go to Q38a4

3 very difficult go to Q38a4

4 or impossible? go to Q38a4

**IF Q38a3 = 2-4**

Q38a4

How difficult is it for you (*Aproxnam*) to understand people you know (*Aproxnam knows*) very well – is it ...READ OUT...

1 ...not difficult at all

2 quite difficult

3 very difficult

4 or impossible?

go to Q38a5

**IF Q38a1 = no or Q38a3 = 1 or Q38a4 = 1-4**

Q38a5 Do other people have difficulty understanding you (*Aproxnam*)?  
INTERVIEWER: EXCLUDE DIFFICULTIES DUE TO POOR ENGLISH

1	yes	go to Q38a6
2	no	go to Q39a1

(IF Q38a5 = yes)

Q38a6 How difficult is it for people who know you (*Aproxnam*) well to understand you [him/her]? Is it ...READ OUT...

1	...not difficult at all	go to Q38a7
2	quite difficult	go to Q38a7
3	very difficult	go to Q38a7
4	or impossible?	go to Q39a1

(IF Q38a6 = 1-3)

Q38a7 How difficult is it for strangers to understand you (*Aproxnam*)? Is it ...

1	...not difficult at all	
2	quite difficult	
3	very difficult	
4	or impossible?	go to Q39a1

### 39 Severity scales – behaviour and intellectual functioning

ALL

Q39a1 Do you (*Does Aproxnam*) suffer from severe depression or anxiety which affects your [*his/her*] daily activities?

1	yes	
2	no	

go to Q39a2

Q39a2 Do you (*does Aproxnam*) have difficulty getting on with people, so that it affects family life, work or leisure?

1	yes	
2	no	

go to Q39a3

Q39a3 Do you (*does Aproxnam*) frequently get confused about what day or time it is, or where you are or who people are?

1	yes	
2	no	

go to Q39a4

Q39a4 Do you (*does Aproxnam*) have a severe learning difficulty (mental handicap)?

1	yes	
2	no	

go to Q39a5

Q39a5 Do you (*does Aproxnam*) have a mental illness or suffer from phobias, panics or other nervous disorders?

1	yes	
2	no	

go to Q39a6

Q39a6 In the last 12 months have you (*has Aproxnam*) seen a psychiatrist or other specialist because of a mental, nervous or emotional problem?

INTERVIEWER: BY SPECIALIST THIS DOES NOT MEAN GP OR DOCTOR

1 yes

2 no

go to Q39a7 if at least one response to questions Q39a1- Q39a6 is 1 ("yes). If they are all 2 ('no'), go to Q40a1

**IF any Q39a1 to Q39a6 coded 1 (yes) then ask Q39a7**

**IF all Q39a1 to Q39a6 coded 2 (No) then ask Q40a1**

Q39a7 Again many of the following questions will not be relevant to you (*Aproxnam*). First, do you (*does Aproxnam*) often forget what you are [*he/she is*] supposed to be doing in the middle of something?

1 yes

2 no

go to Q39a8

Q39a8 Do you (*does Aproxnam*) often lose track of what's being said in the middle of a conversation?

1 yes

2 no

go to Q39a9

Q39a9 Do your (*do Aproxnam's*) thoughts tend to be muddled or slow?

1 yes

2 no

go to Q39a10

Q39a10 Do you (*does Aproxnam*) often get confused about what time of day it is?

1 yes

2 no

go to Q39a11

Q39a11 Can you (*Aproxnam*) watch a TV programme lasting about half an hour, all the way through?

1 yes go to Q39a12

2 no go to Q39a13

**IF Q39a11 = Yes**

Q39a12 Could you (*Aproxnam*) tell someone else what the programme was about?

1 yes

2 no

go to Q39a13

Q39a13 If a neighbour came to the door with a simple message for someone else, could you (*Aproxnam*) remember the message and pass it on correctly?

1 yes

2 no

go to Q39a14

- Q39a14 Do you (*does Aproxnam*) often forget to turn things off, such as fires, cookers or taps?
- 1 yes
  - 2 no

go to Q39a15

- Q39a15 Do you (*does Aproxnam*) often forget the names of people in your [*i*] family, or people whom you [*he/she*] see[s] regularly?
- 1 yes
  - 2 no

go to Q39a16

- Q39a16 Do you (*does Aproxnam*) have difficulty reading? (ie not related to a sight problem)?
- 1 can't read at all go to Q39a18
  - 2 yes, has difficulty go to Q39a17
  - 3 no difficulty go to Q39a18

**IF Q39a16 = 2**

Q39a17 Could you (*Aproxnam*) read a short newspaper article?

- 1 yes
- 2 no

go to Q39a18

Q39a18 Do you (*does Aproxnam*) have difficulty with sums and calculations?

- 1 yes go to Q39a19
- 2 no go to Q39a20

**IF Q39a18 = Yes**

Q39a19 Can you (*Aproxnam*) count well enough to handle money?

- 1 yes
- 2 no go to Q39a20

Q39a20 Turning now to other types of problems. Do you (*does Aproxnam*) ever get so upset that you injure yourself [*he/she injures him/herself*]

- 1 yes go to Q40a1
- 2 no go to Q39a21

**IF Q39a20 = No**

Q39a21 Do you (*does Aproxnam*) ever get so upset that you hit [*he/she hits*] other people?

- 1 yes go to Q40a1
- 2 no go to Q39a22

**IF Q39a21 = No**

Q39a22 Do you ever get so upset that you (*Aproxnam*) break[s] or rip[s] things up?

- 1 yes go to Q40a1
- 2 no go to Q39a23

**IF Q39a22 = No**

Q39a23 Do you (*does Aproxnam*) feel that you need [*he/she needs*] someone with you [*him/her*] all the time?

- 1 yes go to Q40a1
- 2 no go to Q39a24

**IF Q39a23 = No**

Q39a24 Do you (*does Aproxnam*) find relationships with members of your [*his/her*] family very difficult?

- 1 yes go to Q40a1
- 2 no go to Q39a25

**IF Q39a24 = No**

Q39a25 Do you (*does Aproxnam*) often have outbursts of temper at people with very little cause?

- 1 yes go to Q40a1
- 2 no go to Q39a26

**IF Q39a25 = No**

Q39a26 Do you (*does Aproxnam*) find relationships with people outside your [*his/her*] family very difficult?

- 1 yes go to Q40a1
- 2 no go to Q39a27

**IF Q39a26 = No**

Q39a27 Do you (*does Aproxnam*) sometimes sit for hours doing nothing?

- 1 yes go to Q40a1
- 2 no go to Q39a28

**IF Q39a27 = No**

Q39a28 Do you (*does Aproxnam*) often feel aggressive or hostile towards other people?

- 1 yes go to Q40a1
- 2 no go to Q39a29

**IF Q39a28 = No**

Q39a29 Do you (*does Aproxnam*) find it difficult to stir yourself [*him/herself*] to do things?

- 1 yes
  - 2 no
- go to Q40a1

40 **Severity cases – personal care**

**ALL**

Q40a1 To finish, I have a few questions about activities of daily living. First, do you (*does Aproxnam*) have difficulty getting in and out of a chair?

- 1 yes go to Q40a3
- 2 no go to Q40a2

**IF Q40a1 = No**

Q40a2 Do you (*does Aproxnam*) have difficulty getting in and out of bed?

- |   |     |             |
|---|-----|-------------|
| 1 | yes | go to Q40a3 |
| 2 | no  | go to B7    |

**IF Q40a1 = Yes or Q40a2 = Yes**

Q40a3 Do you (*does Aproxnam*) have difficulty getting to and using the lavatory?

- |   |     |             |
|---|-----|-------------|
| 1 | yes | go to Q40a5 |
| 2 | no  | go to Q40a4 |

**IF Q40a3 = No**

Q40a4 Do you (*does Aproxnam*) have difficulty feeding yourself [*him/herself*]?

- |   |     |             |
|---|-----|-------------|
| 1 | yes | go to Q40a5 |
| 2 | no  | go to B7    |

**IF Q40a3 = Yes or Q40a4 = Yes**

Q40a5 Do you (*does Aproxnam*) need help to wash all over?

- |   |     |             |
|---|-----|-------------|
| 1 | yes | go to Q40a6 |
| 2 | no  | go to B7    |

**IF Q40a5 = Yes**

Q40a6 Do you (*does Aproxnam*) need help to dress and undress?

- |   |     |             |
|---|-----|-------------|
| 1 | yes | go to Q40a8 |
| 2 | no  | go to Q40a7 |

**IF Q40a6 = No**

Q40a7 Do you (*does Aproxnam*) need help to wash your [*his/her*] hands and face?

- |   |     |             |
|---|-----|-------------|
| 1 | yes | go to Q40a9 |
| 2 | no  | go to B7    |

**IF Q40a6 = Yes**

Q40a8 Do you (*does Aproxnam*) need help to get into and out of a chair?

- |   |     |              |
|---|-----|--------------|
| 1 | yes | go to Q40a10 |
| 2 | no  | go to Q40a9  |

**IF Q40a7 = Yes or Q40a8 = No**

Q40a9 Do you (*does Aproxnam*) need help to get into and out of bed?

- |   |     |              |
|---|-----|--------------|
| 1 | yes | go to Q40a10 |
| 2 | no  | go to B7     |

**IF Q40a8 = Yes**

Q40a10 Do you (*does Aproxnam*) need help to go to and use the lavatory?

- |   |     |              |
|---|-----|--------------|
| 1 | yes | go to B7     |
| 2 | no  | go to Q40a11 |

**IF Q40a10 = No**

Q40a11 Do you (*does Aproxnam*) need help to feed yourself [*him/herself*]

- 1      yes
- 2      no

go to B7

**If Bimpnow{B1a}=Yes and Bimpever{B5}= Respondent should be asked whether condition is long standing”)**

Bimpfut{B7}      “{This might seem a bit obvious but) Can I just check, do you expect to have your {*Bimpnam*} a year from now?”:

- Yes      [1]
- No      [2]
- Don't know/Can't say      [3]

***END OF SECTION B***



## SECTION C WORK AND BENEFIT HISTORY

- **SAMPLE 1 ASK OF ALL RESPONDENTS**
- **SAMPLE 2 ASK OF ALL RESPONDENTS**
- **NATIONAL COMPARISON RESPONDENTS ASK ALL**

Cproxy

INTERVIEWER: ENTER WHETHER:

- |  |   |
|--|---|
| The named person is responding   | 1 |
| A proxy is responding on behalf of the named person                            | 2 |
| Someone is helping the named person respond (e.g. translating, helping recall) | 3 |

**If Cproxy = 3**

CAsst

INTERVIEWER: DO YOU WANT THE QUESTIONS TO APPEAR IN THE NORMAL WAY, E.G. 'HOW OLD ARE YOU?', OR REFER TO THE NAMED PERSON, E.G. 'HOW OLD IS JOHN?'

- |                           |   |
|---------------------------|---|
| Appear in the normal way  | 1 |
| Refer to the named person | 2 |

**If Cproxy = 2 or If Cproxy = 3 AND CAsst = 2**

Cproxnam

“INTERVIEWER: WHAT NAME DOES THE PROXY USE TO REFER TO THE PERSON WHO WAS SELECTED TO TAKE PART IN THE SURVEY (I.E. NICHOLAS, NICK OR MR.BROWN). PLEASE ENTER IT HERE:”

**If Cproxy = 2**

CproxHH

“Can I ask, what is your relationship to Cproxnam?”

- |   |    |
|---|----|
| Husband/wife living in the same household   | 1  |
| Husband/wife not living in the same household   | 2  |
| Partner/Cohabitee living as married in the same household                                   | 3  |
| Partner/Cohabitee but not living in the same household                                      | 4  |
| Son or Daughter living in the same household  | 5  |
| Son or Daughter not living in the same household  | 6  |
| Sister or Brother living in the same household  | 7  |
| Sister or Brother not living on the same household  | 8  |
| Father or Mother living in the same household   | 9  |
| Father or Mother not living in the same household   | 10 |
| Other relative living in the same household   | 11 |
| Other person who is not <u>Cproxnam</u> 's relative but lives in the same household         | 12 |
| Other person who is not <u>Cproxnam</u> 's relative and does not live in the same household | 13 |

Fage

Can I ask when you were {aproxnam was} born?

INTERVIEWER ENTER DAY-MONTH-YEAR

## **TWO YEAR BENEFIT HISTORY TABLE**

**The following block of questions is asked to establish the benefit history of the respondent over the last 2 years. The block consists of a loop of questions asked in an order depending on the response to BeligDB and subsequent questions, and finishing when a complete record is achieved. The filtering is complex and affects the point in the loop at which the respondent's questions start.**

All

BEligDB{B8a}

CARD B1

“I’d like to ask if {you are, aproxnam is } receiving any benefit because of {your, aproxnam’s} health condition or disability. Can I just remind you that all your answers are entirely confidential, and cannot have any effect on {your, aproxnam’s} benefits, either now or in the future. {Is aproxnam receiving, Are you receiving, does aproxnam receive, do you receive} any of the benefits on this card?”

- None of these [0]
- Incapacity Benefit (this used to be known as Invalidity Benefit) [1]
- Severe Disablement Allowance [2]
- Income Support [3]
- Credit towards National Insurance Contributions [4]
- Statutory Sick Pay [5]
- Occupational Sick Pay [6]
- Disability Living Allowance [7]
- Disabled Person’s Tax Credit/Disability Working Allowance [8]
- Industrial Injuries Disablement Allowance [9]
- War Disablement Pension [10]
- Another sickness or disability benefit [11]
- (Motability) [12]

**If BEligDB{B8a}=11 “Another sickness or disability benefit”**

Bxothdb{B8b}

INTERVIEWER: ENTER THE NAME OF THE ‘OTHER’ SICKNESS OR DISABILITY BENEFIT IF GIVEN OR PROBE FOR NAME,

EG “What is the name of the other benefit you mentioned?”

PROBE FOR ANY OTHERS

MAKE A NOTE OF PHRASES LIKE ‘JUST ON THE SICK’ ETC.”

**If BEligDB{B8a} =3 (Income Support)**

B1Sdp{B8c} “Does {your, aproxnam’s} Income Support include a disability premium?”:

- Yes [1] (ask CB2yd)
- No [2]
- Don’t know/Can’t say [3]

**If (BEligDB = 1, 2 or 4) or (BeligDB = 3 AND BISdp = 1) NOW enter benefit loop at CB2Yd**

**If (BEligDB = 5 – 12) or (BEligDB = 0) or (BEligDB = 3 AND B1Sdp = 2 or B1Sdp = 3) ask**

CB2b CARD C1

Please look at Card C1 and tell me which, if any of these benefits you {aproxnam} have {has} received in the past? (SELECT UP TO FOUR CODES)

- None of these [0] (ask C1B1A)
- Incapacity benefit [1]
- Severe Disablement allowance [2]
- Income Support with a Disability Premium [3]

*If (BeligDB = 5 – 12) or (BeligDB = 3 AND B1Sdp = 2 or B1Sdp = 3) AND CB2b = 1 to 4 NOW enter benefit loop at CB2Yc*

*If (BeligDB = 5 – 12) or (BeligDB = 3 AND B1Sdp = 2 or B1Sdp = 3) AND CB2b = 0 go to Cb3*

**NOTE: If the period of past benefit falls entirely BEFORE the 1998-2000 period, then the loop is only asked once and all are filtered to C3b.**

**(The loop can repeat up to six times)**

**CB2B is multi-coded with four possible answers thus Cb2b1 – Cb2b4 relate to iteration 1 in the loop, similarly Cb2b5-Cb2b8 relate to iteration 2 in the loop, etc**

**The loop is as follows (in variable name order as appears on the CAPI screen):**

**CB2Yd** And when did you {*aproxnam*} START receiving that spell of {*CB2b*}?  
REFER TO THAT SPELL. DO NOT GO BACK TO START OF EARLIER SPELLS. WRITE IN YEAR. IF DON'T KNOW/CAN'T REMEMBER PLEASE ESTIMATE.

**CB2MD** INTERVIEWER ENTER MONTH STARTED RECEIVING {*CB2b*} HERE.

**CB2WD** INTERVIEWER NOW ENTER WEEK STARTED RECEIVING {*CB2b*}  
HERE. IF UNSURE/DON'T KNOW CODE AS (0).

Unsure/don't know	[0]
Week 1	[1]
Week 2	[2]
Week 3	[3]
Week 4	[4]
Week 5	[5]

**If start of spell is later than MARCH 1998 repeat loop to identify receipt of 4 key benefits. Otherwise LOOP finishes and filter ALL to C3b.**

**CB2b** Before {Cb2MD, Cb2Yd}had you received any of the benefits on Card C1?

None of these	[0]
Incapacity benefit	[1]
Severe Disablement allowance	[2]
Income Support with a Disability Premium	[3]
Credit towards your National Insurance contributions	[4]

**If CB2b = 0 filter to C3b.**

**If CB2b = 1 to 4**

**CB2Yc** I'd like to know when that spell on {*CB2b*} started and stopped. To begin with, can you tell me when you {*aproxnam*} STOPPED receiving that spell of {*CB2b*}?  
WRITE IN YEAR. IF DON'T KNOW/CAN'T REMEMBER PLEASE ESTIMATE.

<u>CB2MC</u>	INTERVIEWER ENTER MONTH STOPPED RECEIVING {CB2b} HERE.	
<u>CB2WC</u>	INTERVIEWER NOW ENTER WEEK STOPPED RECEIVING {CB2b} HERE. IF UNSURE/DON'T KNOW CODE AS (0).	
		Unsure/don't know [0]
		Week 1 [1]
		Week 2 [2]
		Week 3 [3]
		Week 4 [4]
		Week 5 [5]

C3b INTERVIEWER DO NOT READ TO RESPONDENT

Code YOUR response of accuracy of benefit history.

How many of the dates on the benefit history would you estimate are accurate to +/- 2 weeks?

All or nearly all	[1]
More than half	[2]
About half	[3]
Less than half	[4]
Very few or none	[5]
Can't say	[6]

**Ask ALL**

C1b1a INTERVIEWER SHOW CARD A1

“Please can you look at this card and tell me what you were {Cproxnam was} doing last week, that is between Monday DATE [1] and Sunday DATE [7]?”

CODE ONE ONLY – PRIORITY CODE.

INTERVIEWER: If respondent reads codes 12, 13, 14 or 15 please refer to the *supplementary briefing note* for this project.

Paid work (including any part-time work, self-employed work, temporary sick leave, paid leave)	[1]
Supported employment	[2]
Therapeutic work	[3]
Work placement	[4]
Voluntary work	[5]
Full-time education (22+ hours) <u>and</u> in part-time paid work	[6]
Full-time education <u>only</u> (22+ hours per week)	[7]
Government/TEC/LEC programme	[8]
Unemployed and looking for work	[9]
Looking after home/children	[10]
Sick or disabled	[11]
Retired	[12]
Something else	[13]

**If C1b1a = paid work [1] or supported employment [2]**

C1b1b How many hours do you {does Cproxnam} work in that job?

30 or more hours per week	[1]
16-29 hours per week	[2]
Less than 16 hours per week	[3]

**If C1b1a = codes 1 to 6 inclusive**

C1b1c Is this job a Work Trial whereby someone can try up to 15 days unpaid work and still continue to receive incapacity benefit?

Yes [1]  
No [2]

**If C1b1a = codes 7-13 inclusive filtered straight to work history table.**

**TWO YEAR WORK HISTORY TABLE**

The following block of questions is asked to establish the benefit history of the respondent over the last 2 years. The block consists of 3 questions (Wrksyr, Wrksmo, WRKSWK) and then a loop of questions asked in the following order.

**Wrksta:** For the first iteration this is coded automatically from C1B1A into the Work History area.

**Wrklab:** This variable displays the ‘WORK STATUS’ label coded automatically from the above question. Doing this is helpful for the interviewer, in keeping track on screen among the different work status spells.

Wrksyr (Earlier) you said that last week you were {*aproxnam was*} {C1B1A}. How long have you been {*has aproxnam been*} {C1B1A}. When did it start?

INTERVIEWER: CHECK THAT RESPONDENT HAS BEEN DOING THIS CONTINUOUSLY SINCE THEN AND THAT THERE WAS NO TIME IN BETWEEN WHEN THE SITUATION CHANGED.

INTERVIEWER: If the respondent has told you of a short spell of paid work which falls entirely within a single month AND started or stopped their main benefit spell **in the same month**, please add (or take away) a couple of weeks so that the spell of work and benefit start or stop are recorded in separate months. Please make a note explaining what you have done.

Wrksmo INTERVIEWER: ENTER MONTH RESPONDENT STARTED BEING {C1B1A}

WRKSWK INTERVIEWER NOW ENTER WEEK RESPONDENT STARTED BEING {C1B1A}.  
IF UNSURE/DON’T KNOW CODE AS (0).

Unsure/don’t know [0]  
Week 1 [1]  
Week 2 [2]  
Week 3 [3]  
Week 4 [4]  
Week 5 [5]

**For the first iteration, if the start of the spell is before March 1998 the respondent is filtered to C3a. Otherwise respondent enters the loop to establish a complete record of the respondent’s activity during the last two years.**

**The loop is as follows (in variable name order as appears on the CAPI screen):**

Wrksta2 refers to second loop i.e second activity , similarly Wrksta3 refers to the

Third loop i.e third activity, etc up to Wrksta10

Wrksta(2-10)

CARD A1

Also looking at this card, what were you doing immediately before this period when you were {Wrksta (from previous iteration)}?

IF MORE THAN ONE JOB, CODE FOR JUST THE BEST-PAID ONE.

- Paid work (including any part-time work, self-employed work, temporary sick leave, paid leave) [1]
- Supported employment [2]
- Therapeutic work [3]
- Work placement [4]
- Voluntary work [5]
- Full-time education (22+ hours) and in part-time paid work [6]
- Full-time education only (22+ hours per week) [7]
- Government/TEC/LEC programme [8]
- Unemployed and looking for work [9]
- Looking after home/children [10]
- Sick or disabled [11]
- Retired [12]
- Something else [13]

If Wrksta = paid work (1) or supported employment (2)

Wrkhrs (2-10) How many hours did you (*aproxnam*) work in that job?

- 30 or more hours per week [1]
- 16-29 hours per week [2]
- Less than 16 hours per week [3]

If Wrksta = 1- 6

WRKTRIAL(2-10) Was this job a Work Trial (whereby someone can try up to 15 days work and still continue to receive benefit)?

- Yes [1]
- No [2]

**Wrklab(2-10): This variable displays the ‘WORK STATUS’ label coded automatically from Wrksta. Doing this is helpful for the interviewer, in keeping track on screen among the different work status spells. NOTE: If Wrksta = something else (13), then the interviewer needs to enter a label at Wrksta to describe this activity.**

Wrksyr(2-10) When did you (*aproxnam*) start that period of being {Wrksta}?

INTERVIEWER: CHECK THAT RESPONDENT HAS BEEN DOING THIS CONTINUOUSLY SINCE THEN AND THAT THERE WAS NO TIME IN BETWEEN WHEN THE SITUATION CHANGED.

INTERVIEWER: If the respondent has told you of a short spell of paid work which falls entirely within a single month AND started or stopped their main benefit spell **in the same month**, please add (or take away) a couple of weeks so that the spell of work and benefit start or stop are recorded in separate months. Please make a note explaining what you have done.

Wrksmo(2-10) INTERVIEWER: ENTER MONTH RESPONDENT STARTED BEING {CIBIA}

WRKSWK(2-10) INTERVIEWER NOW ENTER WEEK RESPONDENT STARTED BEING {CIBIA}.

IF UNSURE/DON'T KNOW CODE AS (0).

- Unsure/don't know [0]
- Week 1 [1]
- Week 2 [2]
- Week 3 [3]
- Week 4 [4]
- Week 5 [5]

**Note: for the first iteration the year of the interview (i.e. 2000) is automatically entered for Wrkfyr. For second and subsequent iterations the respondent is asked the following question:**

Wrkfyr(2-10) And could you tell me when that period of being {Wrksta} stopped?

Wrkmo(2-10) ENTER MONTH RESPONDENT STOPPED BEING {Wrksta}

WRKFWK(2-10) INTERVIEWER NOW ENTER WEEK RESPONDENT STOPPED BEING {C1B1A}.

IF UNSURE/DON'T KNOW CODE AS (0).

- Unsure/don't know [0]
- Week 1 [1]
- Week 2 [2]
- Week 3 [3]
- Week 4 [4]
- Week 5 [5]

**Repeat loop until complete record is achieved then filter all to C3a.**

C3a INTERVIEWER DO NOT READ TO RESPONDENT

Code YOUR response of accuracy of activity history on WBHS.

How many of the dates on the work history would you estimate are accurate to +/- 2 weeks?

- All or nearly all [1]
- More than half [2]
- About half [3]
- Less than half [4]
- Very few or none [5]
- Can't say [6]

**If respondent not currently on and has never been on benefit filter to section D.**

**If in employment at C1B1A (i.e. Codes 1-6)**

D2a What is the name of your {aproxnam's} current job?  
WRITE IN

D2b What kind of work do you {does aproxnam} do most of the time? What materials/equipment do you {does aproxnam} use?  
WRITE IN

D3 What industry is the job in? What is made or done at the place where you {aproxnam} work {works}?  
WRITE IN

D4 How many hours per week do you {does aproxnam} usually work excluding meal breaks, but including any paid overtime?

WRITE IN HOURS

Don't know 98

D5 In that job, are you {is aproxnam} an employee or self-employed?

Employee [1] { Ask D6}  
Self-employed [2] { go to

D8a}

(IF D5 = 1)

D6 Do you {Does aproxnam} have managerial duties or are you {is he/she} supervising other employees?

Yes, managerial [1]  
Yes, supervisory [2]  
No [3]  
Can't remember [4]

**IF D5 = 1**

D7 What is the hourly rate of pay in that job?

(I.E. GROSS HOURLY RATE, BEFORE TAX, NI, ETC. AND EXCLUDING OVERTIME, BONUSSES)

WRITE IN HOURLY RATE OF PAY

No hourly rate 9997

D8a What is your {aproxnam's} usual take-home pay after all deductions for tax, NI and so on, but including overtime, bonuses, commission or tips?

WRITE IN AMOUNT TO NEAREST £ { Ask D8b}

Refused 9997 {go to D9}

Can't say 9996 {go to D9}

**If D8a = WRITE IN AMOUNT TO NEAREST £**

D8b How long a period does that pay cover?

One week [1]  
Four weeks [2]  
Calendar month [3]  
Year [4]  
Other (SPECIFY) [5]

**If D8b = 5**

D8BOTH PLEASE SPECIFY OTHER PERIOD

D8c INTERVIEWER: DO NOT READ TO RESPEONDENT

CODE ONE OR MORE

No usual pay (asked about pay in last full week in job) [1]

Respondent showed/referred to payslip [2]

Respondent knew pay with reasonable certainty [3]

Respondent unable to state pay and gave estimate [4]



Can't state take-home, recorded gross pay [5]

D9 To what extent does this job make use of your {*aproxnam*'s} skills and previous work experience...READ OUT...

- ...to a great extent [1]
- To some extent [2]
- Not much [3]
- Or not at all? [4]
- (No skills/no previous work experience) [5]
- Can't say [6]

D10 All things considered, how satisfied or dissatisfied are you {*is aproxnam*} with this job...READ OUT...

- ...very satisfied [1]
- Fairly satisfied [2]
- Neither satisfied or dissatisfied [3]
- Fairly dissatisfied [4]
- Or very dissatisfied? [5]
- Can't say [8]

## **TWO YEAR WORK HISTORY BLOCK ASKED HERE**

**If respondent not currently on benefit but has been in past**

D16a SHOW CARD A1

Thinking of the week immediately after your most recent spell on benefit for incapacity to work. Can you look at this card and tell me what you were doing then?

- Paid work (including any part-time work, self-employed work, temporary sick leave, paid leave) [1]
- Supported employment [2]
- Therapeutic work [3]
- Work placement [4]
- Voluntary work [5]
- Full-time education (22+ hours) and in part-time paid work [6]
- Full-time education only (22+ hours per week) [7]
- Government/TEC/LEC programme [8]
- Unemployed and looking for work [9]
- Looking after home/children [10]
- Sick or disabled [11]
- Retired [12]
- Something else [13]

**If D16a = something else**

D16OTH INTERVIEWER: ENTER FULL DETAILS OF 'OTHER' ACTIVITY

**If D16a=1 or 2**

D16b How many hours did you {*did aproxnam*} work in that job?

- 30 or more hours per week [1]
- 16-29 hours per week [2]
- less than 16 hours per week [3]

**If D16a = in work**

D16c Was that job a Work Trial whereby someone can try up to 15 days unpaid work and still continue to receive incapacity benefit?

Yes [1]  
No [2]

D17AA When you {aproxnam} started this job, what was the name or title of it?  
WRITE IN.

**If in employment (i.e. codes 1-6) at C1B1A AND not currently receiving (IB, SDA, IS, Credits) benefit but have done so in the past  
TWO YEAR WORK HISTORY BLOCK ASKED HERE**

**If this benefit period fell entirely before March 1998, and if respondent in employment during last 2 years but gap between when benefit stopped and employment started then ask**

CHECKJOB You told me that you were {employment activity} and this started in ^SMONTH ^WORKHIST ^WRKSYR. Can I just check is this the first job you've had since you left benefit for your incapacity in {date left benefit}?

**If CHECKJOB = no**

FIRSTSY INTERVIEWER: ESTABLISH FIRST JOB SINCE RESPONDENT LEFT BENEFIT IN {DATE LEFT BENEFIT}. ENTER YEAR JOB STARTED HERE. IF DON'T KNOW/CAN'T REMEMBER PLEASE ESTIMATE.

FIRSTSM INTERVIEWER: ENTER MONTH JOB STARTED HERE.

FIRSTFY INTERVIEWER: NOW ENTER YEAR THIS FIRST JOB SINCE RESPONDENT LEFT BENEFIT IN {DATE LEFT BENEFIT}. ENTER YEAR JOB STARTED HERE. IF DON'T KNOW/CAN'T REMEMBER PLEASE ESTIMATE.

FIRSTFM INTERVIEWER: ENTER MONTH JOB STOPPED HERE.

FIRSTHR How many hours did you {did aproxnam} work in that job?

30 or more hours per week [1]  
16-29 hours per week [2]  
less than 16 hours per week [3]

FIRSTWT Was that job a Work Trial whereby someone can try up to 15 days unpaid work and still continue to receive incapacity benefit?

Yes [1]  
No [2]

**Then ASK**

D17a The next questions I want to ask are about the first job you {aproxnam} did after your {his/her} recent spell receiving benefit for your {his/her} incapacity to work came to an end. When you {aproxnam} started this job, what was the name or title of it?

WRITE IN

D17b What kind of work did you {*aproxnam*} do most of the time? What materials/equipment did you {*he/she*} use?

WRITE IN

D17c What industry was the job in? What was done or made at the place where you {*aproxnam*} worked?

WRITE IN

D18a At the time you {*aproxnam*} started, did you {*he/she*} understand that the job would be permanent, temporary, a fixed-term contract or some other arrangement?

Permanent	1
Temporary	2
A fixed-term contract	3
Some other arrangement SPECIFY	4

**If D18a = 4**

D18AOTH PLEASE SPECIFY OTHER ARRANGEMENT

**If D18a = 2 or 3**

D18b Did you {*aproxnam*} take that type of job rather than a permanent job because...READ OUT...

...You {*he/she*} could not find a permanent job [1] {ask D18c}

You {*he/she*} did not want a permanent job [2] {ask D19}

Or other reason? SPECIFY [3] {ask D18c}

**IF D18b = 3**

D18BOTH PLEASE SPECIFY OTHER REASON

**IF D18b = 1, 3**

D18c When you {*aproxnam*} took that job, did you {*he/she*} hope that it would help you {*him/her*} to find a permanent job?

Yes 1

No 2

D19 How did you {*aproxnam*} hear about that job?

Looked at adverts in papers, magazines, shop windows etc. [1]

Went to private recruitment agency [2]

Went to Jobcentre [3]

Went to Jobclub [4]

Tried to find self-employed work [5]

Asked a friend or relative [6]

Directly contacted employer (telephone, letter, visit) [7]

Through Personal Adviser [8]

Other [9]

Can't remember [10]

D20 Can I check, in that job were you {*was aproxnam*} an employee or self-employed?

Employee [1] {ask D21}

Self-employed [2] {go to D25}

**IF D20 = 1**

D21 Did you {*aproxnam*} have managerial duties or were you {*was he/she*} supervising other employees?  
Yes, managerial [1]  
Yes, supervisory [2]  
No [3]  
Can't remember [4]

D22 How many hours per week did you {*aproxnam*} usually work excluding meal breaks, but including any paid overtime?  
  
WRITE IN HOURS  
Don't know 98

D23 What was the hourly rate of pay in this job? (when you {*aproxnam*} started it)  
(I.E. GROSS HOURLY RATE, BEFORE TAX, NI ETC AND EXCLUDING OVERTIME, BONUSES)  
  
HOURLY RATE  
No hourly rate  
Don't know

D24a When you {*aproxnam*} first started that job, what was your {*his/her*} take-home pay after all deductions for tax, NI and so on, but including overtime, bonuses, commission or tips?  
  
RECORD TO NEAREST £  
Refused  
Can't say

D24b How long a period did that pay cover?  
  
One week [1] {go to D24c}  
Four weeks [2] {go to D24c}  
Calendar month [3] {go to D24c}  
Year [4] {go to D24c}  
Other (SPECIFY) [5] {go to D24BOTH}

**If D24b = other (5)**

D24BOTH PLEASE SPECIFY OTHER PERIOD

D24c INTERVIEWER: DO NOT READ TO RESPONDENT  
CODE ONE OR MORE

No usual pay (asked about pay in last full week in job) 1 {go to D29a}  
Respondent showed/referred to payslip 2 {go to D29a}  
Respondent knew pay with reasonable certainty 3 {go to D29a}  
Respondent unable to state pay and gave estimate 4 {go to D29a}  
Can't state take-home, recorded gross pay 5 {go to D29a}

**IF D20 = 2**

D25 How many hours per week did you {*aproxnam*} usually work excluding meal breaks, but including any paid overtime?  
  
WRITE IN HOURS  
Don't know 98

D26 Did you {*aproxnam*} have others working for you {*him/her*}?

IF YES: How many were paid employees?

No, none	1
Yes, 1-24	2
Yes, 25 or more	3
Can't say	4

D27 About how much a week were you {*was aproxnam*} earning after all expenses and other deductions, but before income tax?

WRITE IN AMOUNT TO NEAREST £  
IF CAN'T SAY CODE AS 9996

D28a Were you {*Was aproxnam*} receiving any money from a start-up scheme?

Yes	[1]	{ask D28b}
No	[2]	{go to D29a}

**IF D28a = Yes**

D28b Was money from the start-up scheme included in the amount you just gave me?

Yes	[1]	(go to D29a)
No	[2]	(go to D29a)

**If in employment (i.e. codes 1-6) at C1B1A AND not currently receiving (IB, SDA, IS, Credits) benefit but have done so in the past**

D29a Are you {*Is aproxnam*} still in this job?

Yes	[1]	{go to D30a}
No	[2]	{ask D29b}

**IF D29a = No**

D29b How long were you {*was aproxnam*} doing this job?

WRITE IN NUMBER OF WEEKS  
If Less than one week CODE AS 0  
If ON AND OFF PERIOD OF WEEKS CODE AS 97  
IF CAN'T SAY CODE AS 98

**IF D29a = No**

D29c Why did this job come to an end?

CODE ONE ONLY

Temporary/seasonal/casual job came to an end	[01]	
Fixed-term contract came to an end	[02]	
Dismissed or sacked	[03]	{ask D29d}
Made redundant	[04]	{ask D29d}
Took voluntary redundancy	[05]	{ask D29d}
Resigned/decided to leave	[06]	{ask D29d}
Gave up work for family or personal reasons	[07]	{ask D29d}
Gave up work for health/disability reasons	[08]	{ask D29d}
Took early retirement	[09]	{ask D29d}
Retired (at or after statutory retirement age)	[10]	
The company went out of business/site closed down	[11]	

Any other reason (SPECIFY) [12]  
 Can't say [98]

**If D29c = 12**

D29COTH PLEASE SPECIFY OTHER REASON JOB CAME TO AN END

**IF D29c = 3-9**

D29d We would like to know whether your {*aproxnam*'s} health condition or disability played a part in that job coming to an end. Did it play...READ OUT...

... a minor part 1  
 A major part 2  
 Or no part, in your job coming to an end? 3  
 Don't know 8

{*textfill If D29a =yes then{are}}*}

D30a Can I check, were (*are*) you doing any education or training, whether in working hours or in your {*his/her*} own time?

Yes [1] {go to D30b}  
 No [2] {go to section E}

**IF D30a = Yes**

D30b What was (*is*) the course you were (*are*) doing?  
 WRITE IN

D30c Did (*Does*) the course lead to a qualification?

Yes [1] {ask D30d}  
 No [2] {go to section E}

**IF D30c = Yes**

D30d What was (*is*) the qualification for which you {*were/are*} {*aproxnam was/is*} studying?  
 WRITE IN, PROBE FOR AWARDDING INSTITUTION AND EXACT LEVEL OF QUALIFCATION

**Ask ALL who are currently or have been in employment during last 2 years and are or have received benefit for incapacity.**

C5a CARD A1

"Thinking of the week immediately before your {*Cproxnam*'s} current (*last*) spell of receiving benefit for your {*his/her*} incapacity (i.e the spell beginning in ^C4MON ^C4AY). (I realise you may have told me this information already but) Can I just check, from this card, what you were {*Cproxnam was*} doing then?

Paid work (including any part-time work, self-employed work, temporary sick leave, paid leave)

[1]  
 Supported employment [2]  
 Therapeutic work [3]  
 Work placement [4]  
 Voluntary work [5]  
 Full-time education (22+ hours) and in part-time paid work [6]  
 Full-time education only (22+ hours per week) [7]  
 Government/TEC/LEC programme [8]

Unemployed and looking for work	[9]
Looking after home/children	[10]
Sick or disabled	[11]
Retired	[12]
Something else	[13]

**C50TH INTERVIEWER: ENTER FULL DETAILS OF 'OTHER' ACTIVITY**

**If C5a = paid work [1] or supported employment [2]**

**C5b** How many hours did you {Cproxnam} work in that job?

30 or more hours per week	[1]
16-29 hours per week	[2]
Less than 16 hours per week	[3]

**If C5a = codes 1 to 6 inclusive**

**C5c** Was that job a Work Trial whereby someone can try up to 15 days unpaid work and still continue to receive incapacity benefit?

Yes	[1]
No	[2]

**If C5a = in full-time education [6 or 7]**

**C7** "What was the course you were {Cproxnam was} doing the week before your {his/her} current {last} spell on benefit for your {his/her} incapacity? (ie the spell beginning in {DATE from benefit table})  
INTERVIEWER WRITE IN {go to C9a}

**If C5a = codes 9 –13**

**C8a** "In the week before your current/(last) spell on benefit for your incapacity (ie the spell beginning in {DATE from benefit table}), you said you were {C5a}. Can you tell me some more about what you were doing at that time?

INTERVIEWER WRITE IN, PROBE FULLY

**If C5a = codes 9 –13**

**C8b** Can I check, in the week before your current/(last) spell on benefit for your incapacity (ie the spell beginning in {DATE from benefit table}), were you receiving unemployment benefit (were you signing on as unemployed)?

INTERVIEWER, PROBE FOR WHETHER MOVED ONTO INCAPACITY BENEFITS FROM UNEMPLOYMENT BENEFITS

Yes	[1]	{Ask 8c}
No	[2]	{Go to C9a}

**If C5a <> in paid work**

**C9a** Can I check, did you have a regular paid job at any time **before** you began your spell of claiming benefit for your incapacity on \_\_\_\_\_ (START DATE FROM C4a)?

Yes	[1]	{ask C9b}
No	[2]	{go to C10a}

**IF C9a = Yes**

**C9bY** When did that job come to an end?

INTERVIEWER WRITE IN YEAR HERE AND MONTH AT NEXT QUESTION

**C9bM** INTERVIEWER WRITE IN MONTH JOB CAME TO AN END HERE {go to C11a}

**IF C9a = No**

C10a These days, some people have a job they have done for more time than any other, while others do not. What about {you, *aproxnam*'s}? Do you {*does aproxnam*} have a job that you (*aproxnam*) have (*has*) done for more time than any other?

- Yes, has worked more time in a job [1] {Go to C26a}
- Always done different types of work [2] {Go to C29a}
- Never worked [3] {Go to C29a}

**IF IN WORK AT ANY TIME BEFORE CURRENT/(LAST) SPELL RECEIVING BENEFIT FOR INCAPACITY:**

C11a I would like to ask about the last paid job you had before your current/(*last*) spell of receiving benefit for your incapacity. What was the name or title of that job?  
INTERVIEWER WRITE IN

C11b What kind of work did you {*aproxnam*} do most of the time? What materials/equipment did you {*aproxnam*} use?  
INTERVIEWER WRITE IN

C12 What industry or profession was the job in? What was made or done at the place where you {*aproxnam*} worked?  
INTERVIEWER WRITE IN

C13a In that job, were you {*aproxnam*} an employee or self-employed?

- Employee [1] {Ask C14}
- Self-employed [2] {go to C18}

**IF C13a = employee [1]**

C14 Did you {*aproxnam*} have managerial duties or were you {*was he/she*} supervising other employees?

- Yes, managerial [1]
- Yes, supervisory [2]
- No [3]
- Can't remember [4]

C15 How many hours per week did you {*aproxnam*} usually work excluding meal breaks, but including any paid overtime?  
  
WRITE IN HOURS  
Don't know 98

C16 What was the hourly rate of pay in that job?  
(I.E. GROSS HOURLY RATE, BEFORE TAX, NI, ETC. AND EXCLUDING OVERTIME, BONUSSES)  
  
WRITE IN HOURLY RATE OF PAY  
No hourly rate 9997  
Don't know 9998



C17a What was your {*aproxnam*'s} usual **take-home** pay including overtime, bonuses, commission or tips, but after all deductions for tax, NI and so on?

WRITE IN AMOUNT TO NEAREST £ {Ask C17b}

Refused 9997 {go to C22}

Can't say 9996 {go to C22}

**IF C17a = WRITE IN AMOUNT TO NEAREST £**

C17b How long a period did that pay cover?

One week [1]

Four weeks [2]

Calendar month [3]

Year [4]

Other (SPECIFY) [5]

C17BOTH PLEASE SPECIFY OTHER PERIOD

C17c INTERVIEWER DO NOT READ TO RESPONDENT

CODE ONE OR MORE

No usual pay (asked about pay in last full week in job) [1] {go to C22}

Respondent showed/referred to payslip [2] {go to C22}

Respondent knew pay with reasonable certainty [3] {go to C22}

Respondent unable to state pay and gave estimate [4] {go to C22}

Can't state take-home, recorded gross pay [5] {go to C22}

**IF C13a = self-employed [2]**

C18 How many hours per week did you {*aproxnam*} usually work excluding meal breaks, but including any paid overtime?

WRITE IN HOURS

Don't know 98

C19 Did you {*aproxnam*} have others working for you {*him/her*}?

IF YES: How many were paid employees

No, none [1]

Yes, 1-24 [2]

Yes, 25 or more [3]

Can't say [8]

C20 About how much a week were you {*was aproxnam*} earning after all expenses and other deductions, but before income tax and National Insurance?

WRITE IN AMOUNT TO NEAREST £

IF CAN'T SAY CODE AS 9996

C21a Were you {*was aproxnam*} receiving any money from a start-up scheme?

Yes [1] {ask C21b}

No [2] {go to C22}

**IF C21a = Yes**

C21b Was money from the start-up scheme included in the amount you just gave me?

Yes [1]

No [2]

**IF C13a = employee [1] or self-employed [2]**

C22 To what extent did this job make use of your {*aproxnam's*} skills and any previous work experience?

Was it...READ OUT...

...to a great extent [1]

to some extent [2]

not much [3]

or not at all? [4]

(no skills/no previous work experience) [5]

can't say [6]

C23 All things considered, how satisfied or dissatisfied were you {*was aproxnam*} with that job?

PROBE: WAS THAT VERY OF FAIRLY

Very satisfied [1]

Fairly satisfied [2]

Neither satisfied or dissatisfied [3]

Fairly dissatisfied [4]

Very dissatisfied [5]

Can't say [6]

C23b (Can I just check) Did that job come to an end?

Yes [1]

No [2]

**If C23b = yes**

C24a Could you tell me the main reason that job came to an end?

CODE ONE ONLY

Temporary/seasonal/casual job came to an end [1]

Fixed-term contract came to an end [2]

Dismissed or sacked [3] {ask C24b}

Made redundant [4] {ask C24b}

Took voluntary redundancy [5] {ask C24b}

Resigned/decided to leave [6] {ask C24b}

Gave up work for family or personal reasons [7] {ask C24b}

Gave up work for health/disability reasons [8] {ask C24b}

Took early retirement [9] {ask C24b}

Retired (at or after statutory retirement age) [10]

The company went out of business/site closed down [11]

Any other reason [12]

Can't say [98]

**IF C24a = 3-9**

C24b This may be obvious but can I just check whether your {*aproxnam's*} health condition or disability played a part in that job coming to an end. Did it play...READ OUT...

...a minor part [1]

a major part	[2]
or no part, in your job coming to an end?	[3]
don't know	[8]

C24c Could you {*aproxnam*} have remained in that job if you {*he/she*} had received help from someone?

Yes	[1]
No, help would not have made any difference	[2]
Don't know	[3]

C24d Can I ask, would you {*aproxnam*} have liked help to stay in that job?

Yes	[1]
No	[2]
Don't know	[3]

**If C23b = yes or no**

C25 Is the job you have just told me about, the job you have {*aproxnam has*} done for more time than any other?

INTERVIEWER: THIS MEANS THE JOB THEY HAVE DONE FOR MORE TIME THAN ANY OTHER

Yes	[1]	{go to C28}
No	[2]	{go to C26a}
Don't have a usual job	[3]	{go to C28}

**IF C25 = No**

C26a What is the name or title of the job {*you, aproxnam's*} have done for more time than any other?

WRITE IN

**IF C25 = No**

C26b In that job, what kind of work did you {*aproxnam*} do most of the time? What materials/equipment did you {*aproxnam*} use?

WRITE IN

**IF C25 = No**

C27 In that job, were you {*was aproxnam*} usually an employee or self-employed?

Employee	[1]
Self-employed	[2]
Both equally	[3]

**IF C25 = 1 or 3**

C28 How many years, in total, have you {*has aproxnam*} done that type of work?

WRITE IN NUMBER OF YEARS  
IF LESS THAN 6 MONTHS CODE AS 0  
IF 6-12 MONTHS CODE AS 1

C29a CARD C2

Other people have summed up their experiences of work in the ways shown on this card. Which one would you say describes you {*aproxnam*} best?

CODE ONE ONLY

- |   |      |
|---|------|
| None of these apply to me                                       | [01] |
| I have spent most of my working life in steady jobs             | [02] |
| I've mainly done casual or short-term work                      | [03] |
| I've spent a lot of time out of work due to sickness/injury     | [04] |
| I've spent most of my working life self-employed                | [05] |
| Before now, I've never been unemployed                          | [06] |
| I've spent more time unemployed than in work                    | [07] |
| I've been in work, then out of work, several times over         | [08] |
| I've spent a lot of my adult life looking after the family/home | [09] |

***END OF SECTION C***

**SECTION D WORK, STUDY AND VOLUNTARY WORK WHILE RECEIVING BENEFIT FOR INCAPACITY TO WORK AND ACTIVITY AFTER SPELL**

- **SAMPLE 1 ASK OF ALL RESPONDENTS**
- **SAMPLE 2 ASK OF ALL RESPONDENTS**
- **NATIONAL COMPARISON RESPONDENTS ASK ALL**

Dproxy INTERVIEWER: ENTER WHETHER:

The named person is responding	1
A proxy is responding on behalf of the named person	2
Someone is helping the named person respond (e.g. translating, helping recall)	3

**If Dproxy = 3**

DAsst INTERVIEWER: DO YOU WANT THE QUESTIONS TO APPEAR IN THE NORMAL WAY, E.G. ‘HOW OLD ARE YOU?’, OR REFER TO THE NAMED PERSON, E.G. ‘HOW OLD IS JOHN?’

Appear in the normal way	1
Refer to the named person	2

**If Dproxy = 2 or If Dproxy = 3 AND DAst = 2**

Dproxnam “INTERVIEWER: WHAT NAME DOES THE PROXY USE TO REFER TO THE PERSON WHO WAS SELECTED TO TAKE PART IN THE SURVEY (I.E. NICHOLAS, NICK OR MR.BROWN). PLEASE ENTER IT HERE:”

**If Dproxy = 2**

DproxHH “Can I ask, what is your relationship to Dproxnam?”

Husband/wife living in the same household	1
Husband/wife not living in the same household	2
Partner/Cohabitee living as married in the same household	3
Partner/Cohabitee but not living in the same household	4
Son or Daughter living in the same household	5
Son or Daughter not living in the same household	6
Sister or Brother living in the same household	7
Sister or Brother not living on the same household	8
Father or Mother living in the same household	9
Father or Mother not living in the same household	10
Other relative living in the same household	11
Other person who is not <u>Dproxnam</u> ’s relative but lives in the same household	12
Other person who is not <u>Dproxnam</u> ’s relative and does not live in the same household	13

**If respondent in full or part-time education (codes 6 or 7) AND receiving benefit (IB or SDA or Isdp or Credits Only) D11b coded as 3 (yes) automatically.**

**Else ask D11b**

D11b Are you {is aproxnam} doing any studying or education course?

Yes	[1]	{go to D11f}
No	[2]	{go to D11c}
Automatic yes	[3]	{ go to D11f}

**If D11b = 2 go through the following loop:**

**If Worksta in 2 year period = 6 or 7 (ie in education) when Benstatus at that time = IB or SDA or Isdp or Credits Only D11c coded as 3 (yes) automatically.**

**Else ask D11c**

D11c Have you {*Has aproxnam*} done any studying or education course since you {*he/she*} started your {*his/her*} current spell receiving benefit for your {*his/her*} incapacity to work?

Yes	[1]	{go to D11f}
No	[2]	{go to D11m}
Automatic yes	[3]	{go to D11f}

**IF respondent not receiving benefit**

D11d Just before you {*aproxnam*} stopped receiving benefit for your {*his/her*} incapacity, were you {*was he/she*} doing any studying or education course?

Yes	[1]	{go to D11f}
No	[2]	{Ask D11e}

**IF respondent not receiving benefit**

D11e And did you {*aproxnam*} do any studying or education course at any time while you were {*he/she was*} receiving benefit for your {*his/her*} incapacity?

Yes	[1]	{go to D11f}
No	[2]	{go to D11m}

**(IF D11b = yes or D11c = yes or D11d = Yes or D11e = Yes)**

If D11b = 3 then *Textfill1* = 'You mentioned earlier that you were studying or training last week, Can I ask'

If D14c = 3 then *Textfill2* = 'You mentioned earlier that while you were on benefit between *Month Year* and *Month Year* you were studying or training, Can I ask'

D11f {*Textfill1*} {*Textfill2*} How many hours per week are (*were*) you {*aproxnam*} attending a course of study, excluding studying you {*he/she*} do {*does, did*} in your {*his/her*} own time?

WRITE IN HOURS PER WEEK

Less than ½ hour 0

If it varied code as 97

If can't say code as 98

D11g CARD D1

What is (*was*) the main place where you {*aproxnam*} do {*does/did*} this course?

CODE ONE ONLY

Evening institute/adult education centre	[1]
Further Education (FE) college/technical college	[2]
University or HighEr Education (HE) college	[3]
Community	[4]
Skill centre	[5]
Private training	[6]
Jobcentre or Jobclub	[7]
Day centre	[8]
Adult training centre	[9]
At home (Open University, correspondence course, distance learning course)	[10]
At home (other)	[11]
Other	[12]

**If D11g = 10**

D11GOTH PLEASE SPECIFY OTHER PLACE

D11h What is(*was*) the title of the course?

WRITE IN, PROBE FOR SUBJECT AREA

D11gb Is (*was*) the course aimed at obtaining a particular qualification or not?

Yes [1] {Ask D11i)  
No [2] {go to D11m)

**IF D11gb = Yes**

D11i What qualification are{*is/were/was*} you {*aproxnam*} aiming towards?

CODE ONE ONLY

    ("UK university/CNAA degree/diploma",  
    "GCE A level/Higher school Cert",  
    "GCE O level/School Cert/Matric",  
    "GCSE Grades A-C",  
    "GCSE Grades D-G",  
    "CSE Grade 1",  
    "CSE Grades 2-5/ungraded",  
    "Certificate of 6<sup>th</sup> year studies",  
    "SCE/SLC/SUPE Higher Grade",  
    "SUPE/SLC Lower or Ordinary Grade",  
    "SCE Grades A-C or 1-3",  
    "SCE Grades D or E or 4 or 5",  
  
    "Recognised trade apprenticeship completed",  
    "Clerical/commercial qualification (e.g. typing, shorthand, book-keeping, commerce)",  
    "City and Guilds Certificate: Craft/intermediate/ordinary/part I",  
    "City and Guilds Certificate: Advanced/Final/Part II",  
    "City and Guilds Certificate: Full technological/Part III",  
    "National Vocational Qualification (NVQ)",  
    "General National Vocational Qualification (GNVQ)",  
    "Ordinary National Certificate (ONC) or Diploma (OND)",  
    "BEC/TEC National/General Certificate or Diploma",  
    "SCOTVEC",  
    "Higher National Certificate (HNC) or Higher Diploma (HND)",  
    "Teaching qualification",  
    "Nursing qualification (e.g. GCN, SEN, SRN, SCM)",  
    "YTS certificate",  
    "Other"

**IF D11c = Yes (i.e. if training was not last week but in the past)**

D11k Are you {*Is aproxnam*} still doing this course?

Yes [1] {go to D11m}  
No [2] {ask D11l}

**IF D11k = No**

D11l Did you {*aproxnam*} complete the course?

Yes [1]  
No [2]

**IF D11c = No or D11e = No or D11j = OTHER CODE or D11k = Yes**

D11m CARD D2

“Please choose a phrase from this card to say how much you {*aproxnam*} agree(s) or disagree(s) with the following statements...READ OUT...

...Studying can improve someone’s confidence.

SHOW CARD

Agree strongly [1]  
Agree slightly [2]  
Neither agree nor disagree [3]  
Disagree slightly [4]  
Disagree strongly [5]

D11m3 CARD D2

Please choose a phrase from this card to say how much you {*aproxnam*} agree(s) or disagree(s) with any of the following statements...READ OUT...

...Studying can improve someone’s chances of getting paid work.

SHOW CARD

Agree strongly [1]  
Agree slightly [2]  
Neither agree nor disagree [3]  
Disagree slightly [4]  
Disagree strongly [5]

**If respondent in paid work AND currently receiving benefit for incapacity then filter to D14b.**

**If respondent not in paid work but Wrksta in 2 year period = paid work when Benstatus at that time = IB or SDA or ISdp or Credits Only (or, more simply, if Wrksta was ever paid work) D12a coded as 3 (yes) automatically.**

**Otherwise if respondent is not in paid work and not currently receiving benefit ask D12a**

*If respondent on IB, SDA, ISdp or Credits Only then Textfill1 = ‘Since you {aproxnam} started receiving benefit in Month/Year’*

*If respondent not on IB, SDA, ISdp or Credits Only but did receive benefit before then Textfill2 = ‘While you were {aproxnam was} receiving benefit for your {his/her} incapacity between Month/Year’*

D12a {*Textfill1*} {*Textfill2*} Have you done/did you do {*has aproxnam done/did aproxnam do*} any paid work, casual or odd jobs?

Yes [1] {ask D12a1}



No [2] {go to D14a}  
Automatic yes [3] {ask D12a1}

**If D12a = yes (1 or 3)**

If D12a = 3 then *Textfill* = You mentioned earlier that while you were on benefit between Month/Year and Month/Year you did some paid work. Can I ask'

D12a1 {*Textfill*} During this (your last/aproxnam's last) spell of receiving benefit for your{his/her} incapacity have you done (has aproxnam done/did you do/did aproxnam do) any paid part-time, casual work or odd jobs?

Yes [1] {ask D12b}  
No [2] {go to D14a}

**IF D12a1 = Yes**

D12b Is {was} this work a regular job or not?

Regular [1] {ask D12c}  
Not regular [2] {go to D13}

**IF D12b = 1**

D12c How much take-home pay do {did} you {aproxnam} usually earn?

RECORD AMOUNT TO NEAREST £ {ask D12d}  
Refused 9997 {go to D12e}  
Can't say 9996 {go to D12e}

**IF D12c = RECORD AMOUNT TO NEAREST £**

D12d How long a period does {did} that pay cover?

One week [1]  
Four weeks [2]  
Calendar month [3]  
Year [4]  
Other [5]

D12DOTH INTERVIEWER PLEASE SPECIFY OTHER PERIOD

D12e Are you {Is aproxnam} still doing this job?

Yes [1]  
No [2]

**IF D12b = 2**

D13 How many weeks ago did you {aproxnam} last do some paid work whilst receiving benefit for your {his/her} incapacity?

CODE NUMBER OF WEEKS  
This week/less than 1 week 000  
Don't know 998

**If respondent currently in voluntary work and receiving benefit (IB or SDA or Isdp or Credits Only) then D14b coded as 3 (yes) automatically.**

**Else if respondent receiving benefit ask D14b**

D14b Now I'd like to ask about voluntary work. Are you {Is aproxnam} doing any unpaid work for an organisation or for other people apart from relatives or personal friends?

Yes [1] {go to D14d}  
No [2] {go to D14c}  
Automatic yes [3] {go to

D14d}

**If D14b = 2 (no) go through the following loop:**

**If Wrksta in 2 year period = voluntary work when Benstatus at that time = benefit (IB or SDA or Isdp or Credits Only (or, more simply if Wrksta was ever voluntary work) then D14c coded as 3 (yes) automatically.**

**Else ask D14c**

*If respondent on IB, SDA, ISdp or Credits Only then Textfill1 = 'Since you {aproxnam} started receiving benefit in Month/Year'*

*If respondent not on IB, SDA, ISdp or Credits Only but did receive benefit before then Textfill2 = 'While you were {aproxnam was} receiving benefit for your {his/her} incapacity between Month/Year'*

**D14c** {Textfill1} {Textfill2} Have you done/did you do {has aproxnam done/did aproxnam do} any unpaid work for an organisation or for other people apart from relatives or personal friends?

Yes [1] {go to D14d}  
No [2] {go to D14f}  
Automatic yes [3] {go to D14d}

**IF D14b = Yes (1 or 3) or D14c = Yes (1 or 3)**

*If D14b = 3 then Textfill1 = 'You mentioned earlier that you were {aproxnam was} doing some voluntary work last week. Can I ask'*

*If D14c = 3 then Textfill2 = You mentioned earlier that while you were {aproxnam was} on benefit between Month/Year and Month/Year you did some voluntary work, Can I ask'*

**D14d** {Textfill1} {Textfill2} How many hours voluntary work do (did) you {aproxnam} usually do per week?

WRITE IN HOURS  
No usual hours CODE AS 97

**D14e** Did you {aproxnam} start that voluntary work before or after you {he/she} started to receive benefit for your {his/her} incapacity to work?

Before [1]  
After [2]  
Can't remember [8]

**ASK ALL**

**D14f**

CARD D2

"Some people say that voluntary work can help them in different ways, do you {does aproxnam} agree or disagree with the following statements...READ OUT...

...Voluntary work can improve someone's confidence

SHOW CARD

Agree strongly [1]  
Agree slightly [2]  
Neither agree nor disagree [3]  
Disagree slightly [4]  
Disagree strongly [5]

D14f3

CARD D2

("Some people say that voluntary work can help them in different ways, do you {does aproxnam} agree or disagree with the following statements...READ OUT...)

...Voluntary work can improve someone's chances of getting paid work

SHOW CARD

- Agree strongly [1]
- Agree slightly [2]
- Neither agree nor disagree [3]
- Disagree slightly [4]
- Disagree strongly [5]

**If respondent is on or has done a Government Programme**

D31 I would now like to ask about the programme or scheme you {aproxnam} are {is} doing/did between Month/Year and Month/Year?

PROBE FOR NAME OF PROGRAMME AND OTHER DETAILS

WRITE IN

**If respondent is in or was in education**

D32a I would like to ask about the course you {aproxnam} are {is} doing /did between Month/Year and Month/Year? What was the course you were {he/she was} doing?

WRITE IN

D32b Does {Did} the course lead to a qualification?

- Yes [1] {ask D32c}
- No [2] {go to D32d}

**IF D32b = Yes**

D32c What is {was} the qualification for which you are {were} {aproxnam is/was} studying?

WRITE IN, PROBE FOR AWARDED INSTITUTION AND EXACT LEVEL OF QUALIFICATION

**If D32b = 1 or 2**

D32d How many hours studying/training does {did} the course usually involve per week, excluding study in your {aproxnam's} own time?

WRITE IN HOURS PER WEEK

No usual hours code as 98

**If respondent not currently on benefit but received benefit for period in the past**

D33 CARD D3

You told me earlier that you {aproxnam} left benefit in Month/Year. You may have told me this already, but can I just check, why did you {aproxnam} stop receiving benefit? Please take your answer from this card.

CODE ONE ONLY

- Failed DSS medical [1]
- DSS questionnaire not returned [2]
- Did not attend DSS medical [3]
- Started work [4]
- Started training [5]

- Retired [6]
- DSS suspected fraud [7]
- Returned to work [8]
- Health improved [9]
- Claimed UB/JSA [10]
- Started Government training [11]
- Looking for work [12]
- Incapacity Benefit etc not enough to live on [13]
- Own doctor said that I was fit [14]
- Own choice [15]
- Family reasons [16]
- Other [17]
- (Can't say) [18]

**DWRKCHK INTERVIEWER: RECORD OR CHECK WITH RESPONDENT**

(I realise you may have told me this information already but) Can I just check when, if ever, did you *{aproxnam}* last do any paid work?

- Never [1]
- More than 10 years ago [2]
- 5 but less than 10 years ago [3]
- 3 but less than 5 years ago [4]
- 1 but less than 3 years ago [5]
- Has done paid work in the last year (but not in paid work now) [6]
- In paid work at the moment [7]

***END OF SECTION D***

**SECTION E    LIMITATIONS, BARRIERS AND BRIDGES TO WORK**

- **SAMPLE 1 ASK OF ALL RESPONDENTS**
- **SAMPLE 2 ASK OF ALL RESPONDENTS**
- **NATIONAL COMPARISON RESPONDENTS ASK ALL**

If Bimpnow=Yes, textfill={affects you} and {Does} and {Can} i.e. present tense  
If Bimpgon=Yes, textfill={affected you} and {Did} and {Could} i.e. past tense  
If Bimpnow in paid work i.e. present tense  
If Bimpgon not in paid work i.e. future tense

**Filter for whole section: If (Bimpnow = Yes or Bimpgon = Yes)**

Eproxy            INTERVIEWER: ENTER WHETHER:  
The named person is responding    1  
A proxy is responding on behalf of the named person    2  
Someone is helping the named person respond (e.g. translating, helping recall)    3

**If Eproxy = 3**

EAsst            INTERVIEWER: DO YOU WANT THE QUESTIONS TO APPEAR IN THE NORMAL WAY, E.G. ‘HOW OLD ARE YOU?’, OR REFER TO THE NAMED PERSON, E.G. ‘HOW OLD IS JOHN?’  
Appear in the normal way    1  
Refer to the named person    2

**If Eproxy = 2**

EproxHH            “Can I ask, what is your relationship to Eproxnam?”  
Husband/wife living in the same household    1  
Husband/wife not living in the same household    2  
Partner/Cohabitee living as married in the same household    3  
Partner/Cohabitee but not living in the same household    4  
Son or Daughter living in the same household    5  
Son or Daughter not living in the same household    6  
Sister or Brother living in the same household    7  
Sister or Brother not living on the same household    8  
Father or Mother living in the same household    9  
Father or Mother not living in the same household    10  
Other relative living in the same household    11  
Other person who is not Eproxnam’s relative but lives in the same household    12  
Other person who is not Eproxnam’s relative and does not live in the same household    13

**IF respondent not in paid work**

Bintro    “Now I’d like to ask you a few questions so that we understand some of the ways in which your {aproxnam’s} **main** health condition or disability may {*affect you/him/her, have affected you/ him/her*}.”

**If not in paid work AND Bimpnow = yes or Bimpgon = yes**

Blimit    {*Does, Did*} having a health condition or disability effect {*your, aproxnam*’s} ability to do paid work?”

Yes	[1]	{go to Blimit1}
No	[2]	{go to E9}

**IF Blimit = Yes or IF in paid work**

Blimit1 “{Does it, Did it} affect the AMOUNT of time {you, aproxnam} {can, could} do paid work?

IF RESPONDENT SPONTANEOUSLY SAYS ‘I CAN’T WORK AT ALL, CODE 96:

Yes	[1]	{go to Blimit2}
No	[2]	{go to E6}
It means I can’t work at all	[96]	{go to E10}

**IF Blimit1 = Yes**

Blimit2 “Which one of these best describes how it {affects, affected} the amount of paid work you {aproxnam} {can, could} do...READ OUT...

...it means {you, aproxnam} can’t work at all	[1]	{go to E10}
It means {you, aproxnam} can only work part-time less than 16 hrs a week	[2]	{go to Blimit3}
or it means {you, aproxnam} can only work if {your, his, her} hours are very flexible, so you work {he/she works} when it suits you {him/her}?	[3]	go to Blimit3}
Other	[96]	{go to Blimit3}

**IF Blimit1 = Yes AND Blimit2<>1**

Blimit3 “{Does it, Did it} mean you {aproxnam} {would be, are, were} off work for more than 20 days a year because of sickness or treatment?

THIS MEANS EITHER REGULARLY OR OCCASIONALLY

Yes	[1]	{go to Blimit4}
No	[2]	{go to Blimit4}

Blimit4 “{Does it, Did it} mean you {aproxnam} {have, had, would have} to take breaks several times a day?

THIS MEANS 3 TIMES OR MORE PER DAY ON TOP OF NORMAL BREAKS AND FOR MORE THAN 10 MINUTES EACH TIME

Yes	[1]	{go to E5b}
No	[2]	{go to E5b}

E5b “{Does it, Did it} affect your {aproxnam’s} pace of work, meaning that you {he/she} sometimes have {has} to slow down or that you have {he/she has} to work at a slower rate?

Yes	[1]	{go to E6}
No	[2]	{go to E6}

**IF E5b = Yes OR Blimit1 = No**

E6 “{Does it mean you need/aproxnam needs, Did it mean you needed/aproxnam needed, Does it mean you/aproxnam would need} someone to help you {him/her}, at least some of the time?

FOR EXAMPLE, ACTING AS AN INTERPRETER OR HELPING YOU GET ROUND THE WORKPLACE”:

Yes	[1]	{go to E7}
No	[2]	{go to E7}
Don’t know	[3]	{go to E7}

E7 “{Does it mean you need/aproxnam needs, Did it mean you needed/aproxnam needed, Does it mean you/aproxnam would need} special aids or equipment to do a job?”

Yes	[1]	{go to E8}
No	[2]	{go to E8}

E8 “{Does it, did it} affect your {aproxnam’s} ability to SEARCH for work?  
 PROMPT: This can include getting to interviews, completing application forms, and so on”:

Yes	[1]	{go to E9}
No	[2]	{go to E9}

**IF E8 = Yes, No OR Blimit1 = No**

E9 “Can I just check, in terms of your {aproxnam’s} health condition or disability are you {is he/she} able to do some paid work immediately?”

Yes	[1]	{go to E11}
No	[2]	{go to E10}

**IF Blimit1 = 96 or Blimit2 = 1 or E9 = No**

E10 “Can I just check, although you have said that your {aproxnam’s} health condition or disability means that you {he/she} can’t work at all at present do you think that you {he/she} could do some work in the future?”

Yes, within the next 6 months	[1]
Yes, within the next 6-12 months	[2]
Yes, in more than one year from now	[3]
It depends or I’m not sure	[4]
No, never	[5]

**IF respondent not in paid work**

E12 “Even though you are not (*aproxnam is not*) in paid work now, would you (*aproxnam*) like to have a regular paid job...READ OUT...  
 INTERVIEWER MAKE IT CLEAR THAT THIS INCLUDES SELF-EMPLOYMENT

...now	[1]	{go to E14}
in the future	[2]	{go to E13}
or never?	[3]	{go to E27}

**IF E12 = 2**

E13 “And {do you, does aproxnam } want to move into paid work... READ OUT...”

...within the next 6 months	[1]
In more than 6 months but within a year from now	[2]
In more than one year from now	[3]
or does it depend?	[4]

**IF E12 = 1**

E14 “What are the main reasons you want {aproxnam wants} paid work?  
 INTERVIEWER PROBE FULLY, CODE ALL THAT APPLY

Money, standard of living, financial survival	[1]
Self-respect	[2]
to be occupied/avoid boredom, to have company/avoid loneliness, or to get out of the house	[3]
to be normal and used to working	[4]
to enjoy work and make a contribution	[5]
to improve health	[6]
to get off benefit	[7]

other [8]  
 none of these [9]

**IF E12 = 1,2**

E15a “Would {you, aproxnam} like to work...READ OUT...

...up to 15 hours a week [1] {go to E16}  
 between 16 and 29 hours a week [2] {go to E15c}  
 or 30 hours or more? [3] {go to E15b}

**IF E15a = 3**

E15b “Would {you, aproxnam} be willing to work for less than 30 hours a week?”

Yes [1]  
 No [2]  
 It depends [3]

**IF E15a = 2**

E15c “Would {you, aproxnam} be willing to work for less than 16 hours a week?”

Yes [1]  
 No [2]  
 It depends [3]

**IF E12 = 1,2**

E16 Can I just check, have you been (aproxnam) looking for work in the last four weeks?”

Yes [1] {go to E19}  
 No [2] {go to E25}

**IF respondent in paid work**

E17a “You said earlier {you were, aproxnam was} in paid work. Can I just check, would {you, aproxnam} like to...READ OUT...

...change your {his/her} hours of work {go to E17b}  
 find a different job {go to E17b}  
 or stay as you are {he/she is}? {go to E19}

**IF E17a = 1 or 2**

E17b “What are the main reasons {you want, aproxnam wants} to change {his/her} hours of work or find a different job?”

INTERVIEWER PROBE FULLY, CODE ALL THAT APPLY

Money, standard of living, financial survival [1]  
 to be occupied/avoid boredom, to have company/avoid loneliness, or to get out of the house [2]  
 to be normal and used to working [3]  
 to have company and avoid loneliness [4]  
 to enjoy work/make a contribution [5]  
 to improve health [6]  
 to get off benefit [7]  
 other [8]  
 none of these [9]



E18a “Would {you, aproxnam } like to work...READ OUT...

- ...up to 15 hours a week [1] {go to E19}
- between 16 and 29 hours a week [2] {go to E19}
- or 30 hours or more? [3] {go to E19}

**IF E16 = Yes or E17a = Stay as are or E18a = 1-3**

E19 Now I want to ask you about {your, aproxnam's} jobsearch {in the last four weeks, the four weeks before you/aproxnam started your/aproxnam's current job}. During that time were {you, was aproxnam} looking for...READ OUT...

- ...a particular type of job [1]
- a range of jobs [2]
- or any job you {he/she} could do? [3]
- (Can't say) [4]

E20a Were you {Was aproxnam} looking for...READ OUT...

- ...a full-time job [1] {ask E20b}
- a part-time job [2] {go to E20c}
- or either? [3] {go to E20d1}

**IF E20a = 1**

E20b If you {aproxnam} could not find a full-time job, would {you/he/she, accept, have accepted} a part-time job?

- Yes [1]
- No [2]

E20c What is the maximum number of hours per week you {aproxnam} would be willing to work excluding meal breaks?

WRITE IN HOURS

**IF E16 = Yes or E17a = stay as are or E18A = 1-3**

E20d1 Would you {aproxnam} {accept, have accepted} a job which meant working shifts?

- Yes [1]
- No [2]
- Depends [3]

E20d2 Would you {aproxnam} {accept, have accepted} a job which meant working at night?

- Yes [1]
- No [2]
- Depends [3]

E20d3 Would you {aproxnam} {accept, have accepted} a job which meant working at weekends?

- Yes [1]
- No [2]
- Depends [3]

E20d4 Would you {aproxnam} {accept, have accepted} a job with a different number of hours each week?

Yes [1]  
No [2]  
Depends [3]

E20d5 Would you {*aproxnam*} {*accept, have accepted*} a short-term or temporary job?

Yes [1]  
No [2]  
Depends [3]

E20d6 Would you {*aproxnam*} {*accept, have accepted*} a job which meant living away from home?

Yes [1]  
No [2]  
Depends [3]

E21a When looking for a job, what pay {*do you expect, did you expect, does aproxnam expect. did aproxnam expect*} to get?

WRITE IN £

E21b For what period?

One hour [1]  
One week [2]  
Four weeks [3]  
Calendar month [4]  
Year [5]

E21c Is that gross pay, before deductions or take-home pay after deductions?

Gross pay [1]  
Take-home pay [2]

E22a If you {*were, are*} {*aproxnam was/is*} unable to get the pay you {*he/she*} expect {*expects/expected*} what is the lowest pay that you would {*accept, have accepted*}?

WRITE IN £

E22b For what period?

One hour [1]  
One week [2]  
Four weeks [3]  
Calendar month [4]  
Year [5]

E22c Is that gross pay, before deductions or take-home pay after deductions?

Gross pay [1]  
Take-home pay [2]

E23

CARD E1

Now I want to ask you about {your, aproxnam's} jobsearch {in the last four weeks, the four weeks before you/aproxnam started your/aproxnam's current job}. Can I just check, how did {you, aproxnam} go about looking for work?

PROBE: were there any other ways in which {you, aproxnam} looked for work?

- None of these [0]
- Looked at adverts in local papers, magazines, shop windows etc. [1]
- Looked at adverts in national papers, magazines, journals etc. [2]
- Went to private recruitment agency [3]
- Went to Jobcentre [4]
- Went to Jobclub [5]
- Tried to find self-employed work [6]
- Asked a friend or relative [7]
- Directly contacted employer (telephone, letter, visit) [8]
- Talked to a disability Employment Adviser [9]
- Taken any kind of training or rehabilitation course [10]
- Enquired locally about job vacancies [11]
- Looked for work in other ways [12]

If E23 = other [12]

E23OTH What other ways did you {aproxnam} look for work?

WRITE IN, PROBE FULLY

E24a How many jobs did you {aproxnam} apply for {in the last four weeks, in the four weeks before you/aproxnam stopped looking} either by completing an application form, contacting an employer or getting someone to ask on your {his/her} behalf?

WRITE IN APPROXIMATE NUMBER OF JOBS APPLIED FOR  
IF NONE CODE AS 0, USE CODE 998 FOR DON'T KNOW

E24b And in these same four weeks, how many job interviews {have you, did you, has aproxnam, did aproxnam} had?

WRITE IN APPROXIMATE NUMBER OF JOB INTERVIEWS

- None 000
- Don't know 998

E24c And in these same four weeks, {have you been, were you, has aproxnam been, was aproxnam} offered any jobs?

IF YES, ASK: How many?

IF NO ENTER 0.

WRITE IN APPROXIMATE NUMBER OF JOB OFFERS

- {ask E25}
- {ask E24d}

If E24c <> 0

E24d And in these same four weeks {have you, did you, has aproxnam, did aproxnam} turn down any job offered to you {him/her}?

- Yes [1] {ask E24e}
- No [2] {go to E25}

IF E24d = Yes

E24e Why did you {aproxnam} turn down these offers?

INTERVIEWER PROBE FULLY, CODE ALL THAT APPLY

- Health condition/disability worsened [1]
- Decided not ready for work [2]
- More interested in other work [3]
- Didn't like the job on offer [4]
- Not the hours I wanted to work [5]
- Work was temporary/seasonal/casual [6]
- Pay was too low [7]
- No childcare [8]
- No personal assistance [9]
- Other [10]

E25 "And {*do you, does aproxnam*} expect to move into paid work sometime in the future? IF YES, ASK:  
In about how many months?"

- No, never [1] {go to E26}
- Yes, within the next 6 months [2] {go to E28}
- Yes, within the next 6-12 months [3] {go to E28}
- Yes, in more than one year from now [4] {go to E28}
- It depends or I'm not sure [5] {go to E28}

**IF E25 = No**

E26 Why {*don't you, doesn't aproxnam*} expect to move into paid work in the future?

INTERVIEWER PROBE FULLY, CODE ALL THAT APPLY

- Disability – too sick to work [1]
- Disability – too sick to attend work regularly [2]
- Disability – no employer would take me [3]
- Disability – health condition demands time [4]
- Too old [5]
- Don't want work/other things to do [6]
- Caring for someone else [7]
- Unlikely to get work now [8]
- Suitable/well paid work is difficult to find [9]
- Other [10]

**If E12=never**

E27 "Can I ask, what is the main reason {*you do not want, aproxnam does not want*} a regular paid job?"

INTERVIEWER PROBE FULLY, CODE ALL THAT APPLY

- Disability – too sick to work [1]
- Disability – too sick to attend work regularly [2]
- Disability – no employer would take me [3]
- Disability – health condition demands time [4]
- Too old [5]
- Don't want work/other things to do [6]
- Caring for someone else [7]
- Unlikely to get work now [8]
- Suitable/well paid work is difficult to find [9]
- Other [10]

**ASK ALL If Bimpnow = yes or Bimpgon = yes**

E28

CARD E2

“Looking at the following card, would you {*me, aproxnam*} say any of the following statements apply to you {*him/her*}?”

- None of these [0]
- There aren't enough job opportunities locally for people like {*me, aproxnam*} [1]
- It's difficult for {*me, aproxnam*} to find the kind of work to suit {*me, him,her*} [2]
- {*I have, aproxnam has*} worries about leaving benefit [3]
- {*I have, aproxnam has*} worries about managing financially until the first pay day [4]
- {*I have, aproxnam has*} worries about managing financially while in work [5]
- {*I, aproxnam*} think {*I, he/she*} would be worse of financially if {*I, he/she*} started or increased the amount of work {*I do, he/she does*} [6]
- Working makes too many demands on {*my, his/her*} time [7]
- “{*I haven't, aproxnam hasn't*} got enough qualifications and experience to find the right work [8]
- “{*I have, aproxnam has*} difficulties getting to work [9]

E28a

CARD E3

Looking at the following card, would you {*aproxnam*} say any of the following statements apply to {*you, him/her*}?”

- None of these [0]
- Other people's prejudices make it difficult for {*me, aproxnam*} to work [1]
- {*I'm, aproxnam is*} too sick or disabled to work [2]
- {*I'm, aproxnam is*} unlikely to get a job because of my {*his/her*} health condition [3]
- {*I'm, aproxnam is*} unlikely to get a job because of my {*his/her*} age [4]
- {*My, aproxnam's*} confidence about working is low [5]
- {*My, aproxnam's*} health problem or disability does not limit the type or amount of work {*I, he/she*} can do [6]

E29

CARD E4

“Looking at this card, please tell me whether or not any of the following would make it easier for {*you, aproxnam*} to work?”

- None of these [0]
- Specialist equipment [1]
- Someone to help {*you, aproxnam*} at work [2]
- Work that isn't heavy and doesn't need a lot of physical strength or stamina [3]
- Work that isn't stressful [4]
- Work that doesn't need a lot of concentration [5]
- A flexible job [6]

E30

CARD E5

“And looking at this card, would any of the following make it easier for {*you, aproxnam*} to work?”

- None of these [0]
- Knowing about the job before {*you, aproxnam*} began [1]
- More confidence in {*yourself, himself/herself*} [2]
- Training to get ready for work [3]
- Continued training when {*you, aproxnam*} were in work [4]
- Suitable clothes for work [5]

E31

CARD E6

“Finally, would any of the following make it easier for {you, aproxnam} to work?

- None of these [0]
- Transport to and from work [1]
- Help with childcare [2]
- A doctor or some medical expertise based at {your, his/her} place of work [3]
- Knowing {you, aproxnam} could definitely get back to {your, his/her} original benefit if the job didn't work out [4]
- A benefit or tax credit paid to top-up {your, his/her} earnings [5]
- A subsidy to an employer to help them pay {my, his/her} wage [6]
- A grant to help {you, aproxnam} START/FIND a job [7]
- Jobsearch advice [8]
- Someone to talk to the employer on {your, aproxnam's} behalf [9]

**All**

If respondent is in Sample 1 or 2 Textfill 1 = “Did you know that people getting Incapacity Benefit can do”

If respondent is in National Comparison Textfill 2 = “Would you be interested in doing/having”

E32a1 I would like to ask you about some work incentives.

{Textfill 1, Textfill 2} paid work and earn/earning up to £15 a week without affecting their benefit. This is called Incapacity Earnings Provision?

- Yes [1] {go to E32a3 }
- No [2] {go to E32b1 }
- DK [3] {go to E32b1 }

**If E32a1 = yes AND not NCR sample**

E32a3 Have you {Has aproxnam} taken advantage of this scheme?

- Yes [1] {go to E32b1 }
- No [2] {go to E32b1 }

E32b1 Do you {Does aproxnam} know that people getting Incapacity Benefit can have a Work Trial for 15 days without it affecting their benefit?

- Yes [1] {go to E32b3 }
- No [2] {go to E32c1 }

**If E32b1 = yes AND not NCR sample**

E32b3 Have {Has aproxnam} you taken advantage of this scheme?

- Yes [1] {go to E32c1 }
- No [2] {go to E32c1 }

E32c1 Do you {Does aproxnam} know that people getting Incapacity Benefit can get an extra £50 a week for 6 months if they/you start work. This is called Jobmatch?

- Yes [1] {go to E32c3 }
- No [2] {go to E32d1 }

**If E32c1 = yes AND not NCR sample**

E32c3 Have you {*Has aproxnam*} taken advantage of this scheme?

Yes [1] {go to E32d1}  
No [2] {go to E32d1}

E32d1 Did you {*Does aproxnam*} know that people getting Incapacity Benefit can get an extra £200 if they get a job. This is called a Jobfinders Grant?

Yes [1] {go to E32d3}  
No [2] {go to next section}

**If E32d1 = yes AND not NCR sample**

E32d3 Have you {*Has aproxnam*} taken advantage of this scheme?

Yes [1] {go to next section}  
No [2] {go to next section}

**ASK E33a – E33d OF NATIONAL COMPARISON RESPONDENTS ONLY**

**If Bimpnow=yes or Bimpgon = yes**

E33a “Would you {*aproxnam*} be interested in talking to someone who could give you {*her/him*} support or advice in thinking about or getting ready for work?”

Yes [1]  
No [2]

E33b “(Would you {*aproxnam*} be interested in talking to someone who could...)  
...help you {*her/him*} find training?”

Yes [1]  
No [2]

E33c “(Would you {*aproxnam*} be interested in talking to someone who could...)  
...help you {*her/him*} find paid work?”

Yes [1]  
No [2]

E33d “(Would you {*aproxnam*} be interested in talking to someone who could...)  
...help you {*her/him*} try out a job?”

Yes [1]  
No [2]

E33e “(Would you {*aproxnam*} be interested in talking to someone who could...)  
...give you {*her/him*} support to stay in paid work when you have {*he/she has*} a job?”

Yes [1]  
No [2]

**END OF SECTION E**

**• SAMPLE 1 RESPONDENTS WHO WERE PARTICIPANTS AT WAVE 1 GO TO SECTION G**

- **SAMPLE 1 RESPONDENTS WHO WERE NOT PARTICIPANTS AT WAVE 1 GO TO SECTION F**
- **SAMPLE 2 RESPONDENTS GO TO SECTION F**
- **NATIONAL COMPARISON RESPONDENTS GO TO SECTION I**



**SECTION F EARLY EXPERIENCE OF THE PERSONAL ADVISER SERVICE**

- **SAMPLE 1 ASK OF RESPONDENTS WHO WERE NON PARTICIPANTS AT WAVE 1**
- **SAMPLE 2 ASK OF ALL RESPONDENTS**
- **NATIONAL COMPARISON RESPONDENTS DO NOT ASK**

Since some contract area pilots are not using the term NDDP, we will need to make arrangements here to refer to the relevant scheme, as it is known locally, or as it is described by the respondent. For these areas, question Fp1 (and again, before F1a) will be followed by a more general question, “Can I just check, within the last year have you ever had an interview or spoken to anyone from the organisations listed on this card?”. The card will list the names (e.g. Shaw Trust, B-Active, Sema Group or Borough Skills). The interviewer will enter the given name into the computer. Throughout the section, this phrase will be inserted instead of the phrase New Deal for Disabled People

Epaware{Fp1}

“I would like to ask you about the New Deal for Disabled People. This is a scheme which enables some people to meet an advisor who will help them find work or training. Have you heard of the New Deal for Disabled People before?”

- |     |     |                      |
|-----|-----|----------------------|
| Yes | [1] | {go to Fp2a}         |
| No  | [2] | {go to last section} |

**(If Epaware{Fp1} = yes)**

Epaw2{Fp2a}

“As far as you are aware, has {aproxnam} had any contact with the New Deal for Disabled People, either directly or through someone else?”

- |   |     |                        |
|---|-----|------------------------|
| Yes {aproxnam} has had direct contact               | [1] | {go to Fp3}            |
| Yes {aproxnam} has had contact through someone else | [2] | {go to Fp2b}           |
| No, {aproxnam} has not had contact                  | [3] | {go to end of section} |

**(If Epaw2{Fp2a} = 2)**

Epaw3{Fp2b}

“Who was that?”

- |   |     |             |
|---|-----|-------------|
| Proxy   | [1] | {go to Fp3} |
| Relative or friend of named person (not proxy)      | [2] | {go to Fp3} |
| Professional involved with named person (not proxy) | [3] | {go to Fp3} |

**(If Epaw2 {Fp2a}= direct contact or contact through someone else (codes 1 or 2)**

EpCont1{Fp3}

“I’d like to know about any contact {aproxnam} has had with a personal adviser or anyone else from the New Deal for Disabled people. Has {he/she}...READ OUT...

...asked for or received further information to help decide whether to take part in the New Deal for Disabled

- |  |     |              |
|--|-----|--------------|
| People   | [1] | {go to Fp4a} |
| Spoken to the New Deal receptionist at least once  | [2] | {go to Fp4a} |
| Had at least one interview with a personal adviser | [3] | {go to Fp3a} |
| Or none of these?”                                 | [4] | {go to Fp4a} |

(IF EpCont1{Fp3} = 1,2,4 or 8)

Epplan{Fp4a}

“As far as you know, does {aproxnam} plan to have an interview with an adviser from the New Deal for Disabled People?

- Yes [1] {go to I}
- No [2] {go to I}
- Undecided [3] {go to I}

(IF EpCont1{Fp3} includes 3)

Epnun {Fp3a}

“As far as you are aware , how many interviews has {he/she} had with a personal adviser?”

INTERVIEWER: IF NOT SURE HOW MANY INTERVIEWS, CODE DON’T KNOW {go to Fp5}

(END OF PROXY ONLY QUESTIONS, GO TO SECTION I )

**RESPONDENTS’ (NON-PROXY) QUESTIONS**

Eaware{F1a}

“Now I would like to ask you some questions about the New Deal for Disabled People. This is a scheme for some people who have had a health condition or disability. It enables them to meet advisers who will help them find work or training. Have you {Has aproxnam} heard of this New Deal for Disabled People before?”

- Yes [1] {go to F2a}
- No [2] {go to F1b}

(IF Eaware{F1a} = No)

Eaware2{F1b}

“You {aproxnam} may have been sent a letter inviting you {him/her} to come to an interview with a personal adviser. Do you {Does aproxnam} remember this?”:

- Does remember now [1] {go to F3a}
- Does not remember programme [2] {go to F7a}

(If Eaware {F1a} = yes)

Ehow{F2a}

“How did you {aproxnam} hear about the New Deal for Disabled People?”

CODE ALL THAT APPLY

- Letter [1]
- Leaflet [2]
- Friend or relative [3]
- Poster or pamphlet [4]
- Newspaper, magazine, radio or television [5]
- Member of staff at a Jobcentre or Benefits Agency [6]
- Employer [7]
- Welfare rights worker [8]
- Doctor or other medical professional [9]
- Called in after passing the office [10]
- Social worker/social services worker [11]
- Community psychiatric nurse [12]
- Day Centre [13]

Was interviewed about it before [14]  
None of these [15]

If Eaware = yes and Ehow{F2a} <> Received a letter about it

Eletter{F2b}

“Did you {*aproxnam*} receive a letter from the New Deal for Disabled People inviting you {*him/her*} to meet an adviser?”

Yes [1] {go to F3a}  
No [2] {go to F4}  
Can't remember [3] {go to F4}

(If Ehow{F2a} = Received a letter about it or Eletter{F2b} = Yes or Eaware2{F1b} = code 2)

Elet1{F3a}

“We are interested in any views you {*aproxnam*} might have formed about this letter. Can you tell me, was the letter clear and easy to understand?”

Yes [1] {go to F3b}  
No [2] {go to F3b}  
Can't remember [3] {go to F3b}

Elet3{F3b}

“When you had {*aproxnam had*} read the letter, did you {*he/she*} think you {*he/she*} had to have an interview with an adviser or did you {*he/she*} think you {*he/she*} had a choice?”

Had to have an interview [1] [go to F4]  
Had a choice [2] [go to F4]  
Didn't know [3] [go to F4]

Econt1{F4}

“I'd like to know about any contact you've had {*aproxnam has had*} with a personal adviser or anyone else from the New Deal for Disabled People. Have you {*he/she*} ... READ OUT...

CODE ALL THAT APPLY

...asked for or received further information to help you {*him/her*} decide whether to take part in the New Deal for Disabled People [1]  
spoken to the New Deal receptionist at least once [2]  
had at least one interview with a personal adviser [3]  
arranged your {*his/her*} first interview with a personal adviser and waiting for this to take place [4]  
Or none of these?” [5]

(If Econt1{F4} = 5 AND sample type 2, or If Eaware2 = 2 and sample type 2)

F4b

CARD F1

“Can I just check, within the last year have you {*aproxnam*} ever had an interview or spoken to anyone from the organisations listed on this card?”

PROBE TO MAKE SURE RESPONDENT HAS NOT HAD AN INTERVIEW WITH A PERSONAL ADVISER BY SHOWING THEM SHOW CARD. IF RESPONDENT IDENTIFIES AN ORGANISATION INSERT NAME OF ORGANISATION FROM CARD AT NEXT QUESTION

Yes [1]  
No [2]

If F4b = yes

F4c INTERVIEWER: ENTER NAME OF ORGANISATION FROM CARD  
OPEN

**If F4 = had interview with personal adviser (3) [i.e. NDDP Participants]**

**If F4b < 0 Textfill [organisation identified on Show Card]**

ENum{F5a}

“How many interviews, meetings or conversations have you {has aproxnam} had with a Personal Adviser/someone from [^orgtext], either by phone or in person?”

INTERVIEWER WRITE IN NUMBER 1 to 100.

**If ENum{F5a}=1**

EWhere1{F5b}

“Was this interview, meeting or conversation....READ OUT...”

...at the job centre	[1]	{ go to F5g}
at your {aproxnam's} own home	[2]	{ go to F8a}
on the telephone	[3]	{ go to F8a}
or somewhere else?	[4]	{ go to F5f}

**If If ENum{F5a}>1**

EWhere2a{F5c}

“How many, if any, of these interviews, meetings or conversations were at your {aproxnam's} own home?”:

INTERVIEWER WRITE IN NUMBER 1 to 100.

EWhere2b{F5d}

“How many, if any, of these interviews were on the telephone?”

INTERVIEWER WRITE IN NUMBER 1 to 100.

EWhere2c{F5e}

“How many, if any, of these interviews were somewhere else?”

INTERVIEWER WRITE IN NUMBER 1 to 100.

**If EWhere1{F5b} =Somewhere else (4) or EWhere2c{F5e} includes a response**

EWhere3{F5f}

“Where {was/were} the interview(s), meeting(s) or conversation(s)?”:

CODE ALL THAT APPLY

Jobcentre/Employment Service Office	[1]
DSS premises/Benefits Office	[2]
NDDP office	[3]
Training Centre	[4]
Community Centre	[5]
Centre for disabled people/blind etc.	[6]
At work place	[7]
At work placement	[8]
Other	[9]
None of these	[10]

If EWhere1{F5b} = 1 or 4, or Ewhere2c>0

Eview6{F5g}

“How easy was it to get into and around the building where you were interviewed. Was it...READ OUT...

- ...easy [1] {go to F8a}
- not very easy [2] {go to F8a}
- or neither?” [3] {go to F8a}

[Non-participants but aware of NDDP]

If Econt1{F4}<>had interview with a personal adviser or

If Econt1{F4}<>arranged interview with personal adviser, and if F4b<>yes

Eplan{F6a}

“Do you {Does *aproxnam*} plan to ask for an interview with a New Deal for Disabled People adviser at some time in the future?”

- Yes [1]
- No [2]
- Undecided [3]

Eplan2{F6b}

“Why {*textfill* didn't you {*aproxnam*} ask for an interview with an adviser straight away/ don't you {*doesn't aproxnam*} want an interview with a personal adviser/are you {*is aproxnam*} undecided}?”

INTERVIEWER PROBE FULLY, CODE ALL THAT APPLY

- Too unwell [1]
- Too old [2]
- Already got (possible) job [3]
- Scheme not my sort of thing/rather do something else [4]
- Negative feelings about taking part in the scheme [5]
- Already involved/getting help elsewhere [6]
- Don't know enough about it [7]
- Thought scheme would contact me [8]
- Just haven't got round to it [9]
- Other constraint on taking part [10]
- None of these [11]

{Go to last section}

If Eaware2{F1b} =does not remember receiving a letter about New Deal  
unaware of NDDP]

[Non-participants and

Einter1{F7a}

“Would you {*aproxnam*} be interested in talking to someone who could give you {*him/her*} support or advice in thinking about or getting ready for work?”

- Yes [1]
- No [2]

F7b

“(Would you {*aproxnam*} be interested in talking to someone who could...)  
...help you {*him/her*} find training?”

- Yes [1]
- No [2]

F7c

“(Would you {aproxnam} be interested in talking to someone who could...)  
...help you {him/her} find paid work?”:

Yes [1]  
No [2]

F7d

“(Would you {aproxnam} be interested in talking to someone who could...)  
...help you {him/her} try out a job?”:

Yes [1]  
No [2]

F7e

“(Would you {aproxnam} be interested in talking to someone who could...)  
...give you {him/her} support to stay in paid work when you find {he/she finds} a job?”:

Yes [1]  
No [2]

**{Go to last Section}**

**If Ehow{F2a}=received letter (2) or Eletter = 2 or Eaware2= code 2 and either Econt1{F4}=had interview with personal adviser (3) or Econt1{F4}=arranged interview with personal adviser (4)**

Einvite{F8a}

“Can I check, had you {aproxnam} already arranged to have an interview before you {he/she} got the letter about the New Deal for Disabled People?”:

- Yes, {I/aproxnam arranged } /had an interview before I {he/she} received the letter [1] {go to F8b}
- No, {I/aproxnam arranged } an interview after I {he/she} received the letter [2] {go to F10a}
- Can't remember [3] {go to F10a}

**If F2a<>received letter and either F4=had interview with personal adviser or F4=arranged interview with personal adviser**

F8b

“Can you tell me how you {aproxnam} went about arranging an interview...READ OUT...

CODE ONE ONLY

- ...I {aproxnam} spoke to the New Deal receptionist and asked for an interview [1] {go to F9}
- or someone else arranged the interview for me {him/her}? [2] {ask F8c}

**If F8b = 2**

F8c

“Who was this person?”

WRITE IN FULL

**Einvite{F8a} = 1**

Evol{F9}

CARD F2

“Why did you {aproxnam} decide to come forward and volunteer to meet an adviser from the New Deal for Disabled People?”

CODE ALL THAT APPLY

To help me {him/her} move back into work	[1]
I {aproxnam} want {wants/wanted} to feel able to find work by myself {himself/herself}	[2]
To find out whether I am {he/she is} able to get back to work	[3]
To find a job that is tailored to my {his/her} needs	[4]
To help me {him/her} find training	[5]
To help me {him/her} get or increase my {his/her} benefits	[6]
I {aproxnam} thought it was compulsory	[7]
To provide me {him/her} with more information about my {his/her} benefits position	[8]
It seems {seemed} a good idea	[9]
It was {will be} an opportunity to talk about my {his/her} situation/prospects with someone	[10]
Other	[11]

**If Einvite = codes 2 or 3**

EReas{F10a}

CARD F2

“Looking at this card what {were, are} your {aproxnam’s} reasons for {attending, asking for} an interview with a New Deal for Disabled People adviser?”

CODE ALL THAT APPLY

To help me {him/her} move back into work	[1]
I {aproxnam} want {wants/wanted} to feel able to find work by myself {himself/herself}	[2]
To find out whether I am {he/she is} able to get back to work	[3]
To find a job that is tailored to my {his/her} needs	[4]
To help me {him/her} find training	[5]
To help me {him/her} get or increase my {his/her} benefits	[6]
I {aproxnam} thought it was compulsory	[7]
To provide me {him/her} with more information about my {his/her} benefits position	[8]
It seems {seemed} a good idea	[9]
It was {will be} an opportunity to talk about my {his/her} situation/prospects with someone	[10]
Other	[11]

**If EReas{F10a} = 11**

F10b “INTERVIEWER: ENTER OTHER ANSWER”: OPEN

**If Econt1{E4}<>had interview with personal adviser go to section I**

**If Econt1{E4}=had interview with personal adviser go to section G**

- |  |
|--|
| <ul style="list-style-type: none"> <li>• <b>SAMPLE 1 WHO WERE NON-PARTICIPANTS AT WAVE 1 AND STILL NON PARTICIPANTS AT WAVE 2 GO TO SECTION I</b></li> <li>• <b>SAMPLE 1 WHO WERE NON PARTICIPANTS AT WAVE 1 BUT BECAME PARTICIPANTS BY WAVE 2 GO TO SECTION GO TO SECTION G</b></li> <li>• <b>SAMPLE 1 WHO WERE PARTICIPANTS AT WAVE 1 GO TO SECTION G</b></li> <li>• <b>SAMPLE 2 WHO ARE NON PARTICIPANTS GO TO SECTION I</b></li> <li>• <b>SAMPLE 2 WHO ARE PARTICIPANTS GO TO SECTION G</b></li> </ul> |
|--|

**END OF SECTION F**

**SECTION G SUPPORT & ADVICE FROM THE PERSONAL ADVISER SERVICE**

- SAMPLE 1 ASK OF RESPONDENTS WHO WERE PARTICIPANTS AT WAVE 1
- **SAMPLE 1 ASK OF RESPONDENTS WHO WERE NOT PARTICIPANTS AT WAVE 1 BUT WHO HAVE BECOME PARTICIPANTS BY WAVE 2**
- **SAMPLE 2 ASK OF RESPONDENTS WHO ARE PARTICIPANTS**
- **NATIONAL COMPARISON RESPONDENTS DO NOT ASK**

**PARTICIPANTS ONLY [i.e. F4=had at least one interview with a personal adviser]**

**GINTRO**

“I AM NOW GOING TO ASK SOME QUESTIONS ABOUT CONTACT YOU HAD WITH AN ADVISER OR ANYONE ELSE FROM THE NEW DEAL FOR DISABLED PEOPLE.”

**If Sample Type 1 and participant last time:**

“When you were {*aproxnam was*} interviewed last year you {*she/he*} said you {*she/he*} had contact with an adviser or someone else from the New Deal for Disabled People.” INTERVIEWER: IF DOESN’T REMEMBER PROBE FULLY TO TRY TO ENSURE RESPONDENT ANSWERS QUESTIONS IN THIS SECTION.

- |                   |     |                            |
|-------------------|-----|----------------------------|
| Remembers contact | [1] | { <i>go to EcontA</i> }    |
| Does not remember | [2] | { <i>go to section I</i> } |

**Econta**

“You told us last time we spoke that you {*aproxnam*} had been in touch with an adviser from the New Deal for Disabled People. Can I ask, are you {*is he/she*} still in regular contact with an adviser either by telephone or in person?”

- |     |     |                          |
|-----|-----|--------------------------|
| Yes | [1] | { <i>go to Econta2</i> } |
| No  | [2] | { <i>go to Econtal</i> } |

**If Econta = 2**

**Econtal**

“Overall how many contacts would you say that you {*aproxnam*} had with your {*his/her*} adviser either by telephone or in person?” INTERVIEWER ENTER NUMBER 0...20

**If Econta = 1**

**Econta2**

CARD G1

“Can you tell me, at the end of your {*aproxnam’s*} last meeting with an adviser, did you {*he/she*} do any of the things on this card?”

- |  |     |
|--|-----|
| Agree to talk to your { <i>his/her</i> } Personal Adviser again  | [1] |
| Agree to meet with someone else  | [2] |
| Agree that you { <i>he/she</i> } would do certain activities to help you { <i>him/her</i> } find work, training or something like that | [3] |
| Agree that you { <i>he/she</i> } would have no further contact with the Personal Adviser   | [4] |
| Something else   | [5] |
| None of these  | [6] |
| (spontaneous: decision not reached/couldn’t proceed at this time)  | [7] |

**All NDDP participants (except sample type 1 and participant last time)**

**If F5a=1 then ‘first interview’, if Enum>1 then ‘last interview’**



Econt2{G1a}

CARD G1

“I want to ask you about any further contacts you have {*aproxnam has*} had with an adviser or anyone else from the New Deal for Disabled People, either when you {*he/she*} contacted them or they contacted you {*him/her*}. At the end of your {*aproxnam’s*} {*first, last*} interview, did you {*he/she*} do any of the things on this card?

- Agree to talk to your {*his/her*} Personal Adviser again [1]
- Agree to meet with someone else [2]
- Agree that you {*he/she*} would do certain activities to help you {*him/her*} find work, training or something like that [3]
- Agree that you {*he/she*} would have no further contact with the Personal Adviser [4]
- Something else [5]
- None of these [6]
- (spontaneous: decision not reached/couldn’t proceed at this time) [7]

**All NDDP participants**

**If Econt2 or Econt2{G1a}=agreed to meet someone else [2]**

Excont2{G1b}

“Who else did you {*aproxnam*} agree to meet with?”

**If F5a=1, use ‘your interview’. If F5a>1, use ‘any of your interviews**

Eint1{G2a}

CARD G2

“During {*your interview with your adviser, any of your interviews with your adviser, aproxnam’s interview with his/her adviser, any of aproxnam’s interviews with his/her adviser*}, did you {*aproxnam*} and your {*his/her*} adviser talk about the type of work you {*he/she*} might do and the training you {*he/she*} might need or want. For example did you {*aproxnam*} talk about any of the things on this card?”

CODE ALL THAT APPLY

- The possibility of training or education [1]
- Training or qualifications you {*he/she*} might need [2]
- The work you {*he/she*} might do [3]
- Your {*his/her*} previous work or other experience [4]
- The hours you {*he/she*} might work [5]
- The possibility of doing unpaid or voluntary work [6]
- The possibility of supported employment [7]
- The possibility of therapeutic work [8]
- What you {*he/she*} expect{s} to earn [9]
- Your {*his/her*} concerns about working [10]
- Something else [11]
- None of these [12]

**If G2a <> none of these**

G2c

“Overall, how helpful or unhelpful were the discussions you {*aproxnam*} had about the type of work you {*he/she*} might do and the training you {*he/she*} might need or want?”

INTERVIEWER PROBE: WAS THAT VERY OR FAIRLY

- very helpful [1]
- fairly helpful [2]
- neither helpful or unhelpful [3]
- fairly unhelpful [4]

EInt9{G3a}

CARD G3

“I’m also interested in whether you{*aproxnam*} and your {*his/her*} adviser talked about what you {*he/she*} might do to get a job. During {*your interview with your adviser, any of your interviews with your adviser, aproxnam’s interview with his/her adviser, any of aproxnam’s interviews with his/her adviser*} did you {*he/she*} talk about any of the things on this card?”

COMPLETING A JOB APPLICATION INCLUDES PREPARING A CV

- ...Where to look for suitable vacancies [1]
- How to complete a job application [2]
- How to prepare for job interviews [3]
- Advice on presentation at job interviews [4]
- None of these [5]

**If EInt9{G3a} = a response <>5**

G3b

“Overall, how helpful or unhelpful were the discussions you {*aproxnam*} had about what you {*he/she*} might do to get a job?”

INTERVIEWER PROBE: WAS THAT VERY OR FAIRLY

- very helpful [1]
- fairly helpful [2]
- neither helpful or unhelpful [3]
- fairly unhelpful [4]
- very unhelpful [5]

EInt12{G4a}

CARD G4

“I’m also interested in whether you {*aproxnam*} and your {*his/her*} adviser talked about the support and help you {*he/she*} might need if you {*he/she*} were to get a job. During {*your interview with your adviser, any of your interviews with your adviser, aproxnam’s interview with his/her adviser, any of aproxnam’s interviews with his/her adviser*} did you{*aproxnam*} and your {*his/her*} adviser talk about any of the things on this card?”

- any special adaptations or equipment you might need while in work [1]
- any training or other personal support you might need while in work [2]
- any help or support you might need to keep a job [3]
- help with childcare [4]
- help with transport to work [5]
- None of these [6]

**If G4a = a response<>6**

G4b

“Overall, how helpful or unhelpful were the discussions you {*aproxnam*} had about the support and help you {*he/she*} might need if you {*he/she*} were to get a job?”

INTERVIEWER PROBE: WAS THAT VERY OR FAIRLY

- very helpful [1]
- fairly helpful [2]
- neither helpful or unhelpful [3]
- fairly unhelpful [4]

**If G4a = a response<>6**

G5a

CARD G5

During {*your interview with your adviser, any of your interviews with your adviser, aproxnam's interview with his/her adviser, any of aproxnam's interviews with his/her adviser*} did you {*he/she*} and your {*his/her*} adviser talk about any of the things on this card?

CODE ALL THAT APPLY

- how work may affect your {*his/her*} benefits [1]
- benefits you {*he/she*} can claim while you are {*he/she is*} working [2]
- other benefits [3]
- The adviser calculated whether you {*he/she*} would be better off in work [4]
- The adviser offered to help you {*him/her*} fill in benefit forms [5]
- The adviser helped you {*him/her*} fill in forms [6]
- what financial help might be available to you {*him/her*} [7]
- any other financial issues [8]
- None of these [9]

**If G5a = a response <>9**

G5d

“Overall, how helpful or unhelpful were the discussions you {*aproxnam*} had about benefits?”

INTERVIEWER PROBE: WAS THAT VERY OR FAIRLY

- very helpful [1]
- fairly helpful [2]
- neither helpful or unhelpful [3]
- fairly unhelpful [4]
- very unhelpful [5]

G6

“During {*your interview with your adviser, any of your interviews with your adviser, aproxnam's interview with his/her adviser, any of aproxnam's interviews with his/her adviser*} did you {*he/she*} and your {*his/her*} adviser talk about...READ OUT...

(INTERVIEWER: The prognosis is the likely course of a condition and the chances of recovery. Please explain this if the respondent does not understand the word prognosis.”)

- ...how work may affect your {*his/her*} health condition or disability [1]
- how your health condition or disability might limit the work you {*he/she*} can do [2]
- or the prognosis of your {*his/her*} health condition or disability? [3]
- (other options if required) [4]
- none of these [5]

G7a

CARD G6

“We are also interested in anything your {*aproxnam's*} adviser may have offered to do to help you {*him/her*}. During {*your interview with your adviser, any of your interviews with your adviser, aproxnam's interview*”

with his/her adviser, any of *aproxnam*'s interviews with his/her adviser} did your {his/her} adviser offer to do any of the following things on your {his/her} behalf?

INTERVIEWER: REFER YOU TO SEE ANOTHER PERSON MEANS, FOR EXAMPLE, AN OCCUPATIONAL PSYCHOLOGIST”

- Say that s/he would be talking to employers [1]
- Offer to search for suitable jobs [2]
- Offer to search for suitable education or training courses [3]
- Offer to help pay for something you {*aproxnam*} needed to find or keep training or work [4]
- Offer to refer you {*him/her*} to see another person to help you {*him/her*} [5]
- Say that s/he would be talking to tutor/teacher/lecturer [6]
- Say that s/he would be helping you {*aproxnam*} to find suitable childcare [7]
- None of these [8]

**(If G7a includes code 1)**

G7b1

“Do you know, has your {*aproxnam*'s} adviser talked to any employers on your {his/her} behalf?”

- Yes [1]
- No [2]
- Don't know [3]

(Ask G7b2 – G7b7 for all applicable codes from G7a)

G7b2

“Do you know, has your {*aproxnam*'s} adviser searched for suitable jobs on your {his/her} behalf?”

- Yes [1]
- No [2]
- Don't know [3]

G7b3

“Do you know, has your {*aproxnam*'s} adviser searched for suitable education or training courses on your {his/her} behalf?”

- Yes [1]
- No [2]
- Don't know [3]

G7b4

“Do you know, has your {*aproxnam*'s} adviser paid for something you {*he/she*} needed to find or keep training or work?”

- Yes [1]
- No [2]
- Don't know [3]

G7b5

“Do you know, has your {*aproxnam*’s} adviser referred you {*him/her*} to see another person to help you {*him/her*}?”

Yes [1]  
No [2]  
Don’t know [3]

G7b6

“Do you know, has your {*aproxnam*’s} adviser talked to tutors/teachers/lecturers on your {*his/her*} behalf?”

Yes [1]  
No [2]  
Don’t know [3]

G7b7

Do you know, has your {*aproxnam*’s} adviser helped you {*him/her*} to find suitable childcare?”

Yes [1]  
No [2]  
Don’t know [3]

**If G7a= Refer you to see another person to help you**

G7c

“Who did your {*aproxnam*’s} personal adviser say they would be referring you {*him/her*} to?”

INTERVIEWER WRITE IN FULL

G7d

“Was there anything your {*aproxnam*’s} personal adviser offered to do that you {*he/she*} turned down?”

Yes [1]  
No [2]

**If G7d = yes**

G7d2

INTERVIEWER WRITE IN FULL AND PROBE FOR WHY TURNED DOWN

G7e

“Was there anything that you {*aproxnam*} wanted from the New Deal for Disabled People that your {*his/her*} personal adviser did not or could not offer?”

Yes [1]  
No [2]

**If G7e = yes**

G7e2

“What was it that the personal adviser didn’t offer?”

INTERVIEWER WRITE IN FULL AND PROBE FOR WHY TURNED DOWN

**END OF SECTION G**

**SECTION H OUTCOMES AND OPINIONS OF PERSONAL ADVISER SERVICE**

- **SAMPLE 1 ASK OF RESPONDENTS WHO WERE PARTICIPANTS AT WAVE 1**
- **SAMPLE 1 ASK OF RESPONDENTS WHO WERE NOT PARTICIPANTS AT WAVE 1 BUT WHO HAVE BECOME PARTICIPANTS BY WAVE 2**
- **SAMPLE 2 ASK OF RESPONDENTS WHO ARE PARTICIPANTS**
- **NATIONAL COMPARISON RESPONDENTS DO NOT ASK**

ECont2A{H1a}

“Can I just check, during {your/aproxnam’s interview, any of your/aproxnam’s interviews with your/his/her adviser}, did you {he/she} agree that you {he/she} would do certain activities to help you {him/her} find work, training or something like that?”

INTERVIEWER: IN THIS SECTION YOU MAY NEED TO COLLECT INFORMATION ABOUT ACTIVITIES ALREADY MENTIONED EARLIER (E.G. TRAINING OR JOBSEARCH). PLEASE REASSURE RESPONDENT THAT WE NEED THIS INFORMATION AS WE MUST BE VERY CLEAR WHAT ACTIVITIES THEY CARRIED OUT SINCE CONTACT WITH AN ADVISER. PLEASE GATHER INFORMATION ABOUT THESE ACTIVITIES EVEN IF THEY WERE NOT THE RESULT OF SEEING THE ADVISER”:

Yes	[1]	{ask H1b}
No	[2]	{go to H2}

**If ECont2A{H1a} = yes**

H1b

“Thinking about the activities you agreed to do, did your personal adviser...READ OUT...

...Write them down and give you a copy	[1]
Write them down and post a copy to you	[2]
Write them down but not give you a copy	[3]
Or as far as you know, not write them down?	[4]

EdoWhat{H2a1}

CARD H1

CODE ALL THAT APPLY

“Since your {aproxnam’s} contact with a personal adviser, have you {has he/she} done any of the things on this card?”

Increased your efforts to move towards work	[1]
Looked at Jobcentre vacancies	[2]
Looked in newspapers for job vacancies	[3]
Prepared a CV	[4]
Joined a Jobclub	[5]
Used the Employment Service telephone service to find job	[6]
None of these	[7]

H2a2

CARD H2

“Since your {aproxnam’s} contact with a personal adviser, have you {has he/she} done any of the things on this card?”

CODE ALL THAT APPLY

Attended basic skills training	[1]
Looked into possible training schemes or education programmes	[2]
Applied for training scheme or education programme	[3]

Started a training scheme or education programme [4]  
none of these [5]

H2a3

CARD H3

“Since your {*aproxnam*’s} contact with a personal adviser, have you {*has he/she*} done any of the things on this card?”

CODE ALL THAT APPLY

Applied for paid work [1]  
Started paid work [2]  
Started therapeutic work [3]  
Started supported employment [4]  
Started to do voluntary work [5]  
Started or done a work placement [6]  
Prepared to become self-employed [7]  
Become self-employed [8]  
Increased your hours of work [9]  
None of these [10]

H2a4

CARD H4

“Since your {*aproxnam*’s} contact with a personal adviser, have you {*has he/she*} done any of the things on this card?”

CODE ALL THAT APPLY

Seen another person for help or advice [1]  
Made a claim for Jobseeker’s Allowance [2]  
Applied for a different benefit [3]  
Used benefit enquiry helpline [4]  
Applied for a career development loan [5]  
none of these [6]

**Edowhat (H2a1) = increased efforts to move towards work (code 1)**

EDOPA1{H3a1}

CARD H5

“Which of the statements on this card best explains your {*aproxnam*’s} decision to increase your {*his/her*} efforts to move towards work?”

Something you would have done at that time anyway [1]  
Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

**Repeat for all applicable codes (H3a2-23) using CARD H5**

EDOPA2

CARD H5

" Which of the statements on this card best explains your {*aproxnam*’s} decision to look at Jobcentre vacancies?" ...

Something you would have done at that time anyway [1]  
Something you would have done later [2]  
something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA3

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to look in newspapers for job vacancies?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA4

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to prepare a CV.?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA5

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to join a Jobclub?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A6

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to use the Employment Service telephone service to find a job..."

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A7

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to attend basic skills training?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A8

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to look into possible training schemes or educational programmes?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A9

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to apply for training schemes or educational programmes?"

- Something you would have done at that time anyway [1]



- Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA7

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to start a training scheme or education programme?"

- Something you would have done at that time anyway [1]  
Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A10

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to apply for paid work?"

- Something you would have done at that time anyway [1]  
Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A11

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to start paid work?"

- Something you would have done at that time anyway [1]  
Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA10

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to start therapeutic work?"

- Something you would have done at that time anyway [1]  
Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA11

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to start supported employment?"

- Something you would have done at that time anyway [1]  
Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A12

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to start voluntary work?"

- Something you would have done at that time anyway [1]  
Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A13

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to start or do a work placement?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A14

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to prepare to become self-employed?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

H3A15

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to become self-employed?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA12

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to increase your {*his/her*} hours of work?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA14

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to see another person for help or advice?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA15

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to make a claim for Jobseeker's Allowance?"

- Something you would have done at that time anyway [1]
- Something you would have done later [2]
- Something you would have been unlikely to do, had you not talked to a personal adviser [3]

EDOPA16

CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to apply for a different benefit?"

- Something you would have done at that time anyway [1]

Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

### H3A16

#### CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to use the benefit enquiry helpline?"

Something you would have done at that time anyway [1]  
Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

### H3A17

#### CARD H5

" Which of the statements on this card best explains your {*aproxnam's*} decision to apply for a career development loan?"

Something you would have done at that time anyway [1]  
Something you would have done later [2]  
Something you would have been unlikely to do, had you not talked to a personal adviser [3]

### **If H2a4 = 'Seen another person for help or advice (1)'**

#### H4a

"(You mentioned earlier that since your {*aproxnam's*} contact with a personal adviser you have {*he/she has*} seen another person for help or advice). Who was the other person you {*aproxnam*} saw for help or advice?"  
:OPEN

#### H4b

"Was this person...READ OUT...

...Helpful, [1]  
or not helpful?" [2]

### **If H2a2=applied or started a training scheme or education programme (3 or 4)**

#### EXDIDWH3{H5a}

"(You mentioned earlier that since your {*aproxnam's*} contact with a personal adviser you {*aproxnam*} applied for or started a training scheme or education course.) Please can you tell me about the training scheme or education course?"

INTERVIEWER: PROBE FOR NAME AND LEVEL OF COURSE AND WHO IT IS SUPPLIED BY I.E. IS IT GOVERNMENT, TEC, LEC ETC. NOTE THAT RESPONDENTS MIGHT HAVE BEEN ON MORE THAN ONE TRAINING COURSE; DETAIL ALL

:OPEN

#### H5b

"Overall was this (were the) training scheme(s) or education programme(s)...READ OUT...

...Helpful [1]  
Not helpful [2]

Eef08{H6}

“Would you {*aproxnam*} say that as a result of the help you {*he/she*} got from your {*his/her*} adviser you have {*he/she has*} done anything else?”

Yes [1]  
No [2]

**If Eef08{H6}=yes**

Eef09{H7}

“What else have you {has *aproxnam*} done?”

OPEN

**Respondents who had moved into work since joining NDDP:**

**If H2a3=started any type of work [codes 2,3,4,5,6,8]**

Esupp1{H8a}

“Did you {*aproxnam*} receive any further support or advice from your {*his/her*} adviser after you {*he/she*} moved into work?”

Yes [1]  
No [2]

INTERVIEWER: IF RESPONDENT IN VOLUNTARY WORK OR WORK PLACEMENT REASSURE, IF NECESSARY, THAT THIS QUESTION INCLUDES THEM

**If Esupp1{H8a}=yes**

Esupp2{H8b}

“Did you {*aproxnam*} or your {*his/her*} adviser initiate the contact?”

Respondent initiated contact [1]  
Adviser initiated contact [2]

Esupp3{H8c1}

“What did this support/ advice involve?”

OPEN

H8c2

“Overall was this support/ advice...READ OUT...”

...Helpful [1]  
or not helpful?” [2]

**If Esupp1{H8a}=yes, textfill={more}**

Emore{H8d1}

“Would you {*aproxnam*} have liked to have had {*more*} contact with your {*his/her*} personal adviser after you {*he/she*} moved into work?”

Yes [1]  
No [2]

**If E<sub>supp1</sub>{H8a}=yes and E<sub>more</sub>{H8d1}=no**

H8d2

“Would you {*aproxnam*} have preferred less contact with your {*his/her*} personal adviser after you {*he/she*} moved into work?”

Yes [1]

No [2]

**If E<sub>more</sub>{H8d1}=yes**

ExMore{H8e}

“What support or advice would you {*aproxnam*} have liked?”

OPEN

E<sub>supp4</sub>{H8f}

“Did you {*aproxnam*} receive support or advice from anyone else after you {*he/she*} moved into work?”:

Yes [1]

No [2]

**If E<sub>supp4</sub>{H8f}=yes**

Ex<sub>supp5</sub>{H8g}

“Who else did you {*aproxnam*} receive support or advice from?”:

Benefit Agency staff [1]

Employer [2]

Other Jobcentre staff [3]

Other employees [4]

Friends or family [5]

Other [6]

E<sub>continue</sub>{H8h}

“Are you {*Is aproxnam*} still in contact with your {*his/her*} personal adviser or anyone from The New Deal for Disabled People?”

Yes [1]

No [2]

**If E<sub>continue</sub>{H8h}=yes**

EXCt1{H8i}

“What do you {*does aproxnam*} hope to get from any further contact you have {*he/she has*} with the personal adviser or the New Deal for Disabled People?”

OPEN

{Go to H10a}

**If E<sub>continue</sub>{H8h}=no**

EXCt2{H8j}

“Why have you {*has aproxnam*} stopped your {*his/her*} contact?”

:OPEN

{Go to H10a}

**Respondents who had not moved into work since joining NDDP:**

**If H2a3<>started a job or started supported employment or started self-employment**

{H9a}

“Are you *{Is aproxnam}* still in contact with your *{his/her}* personal adviser or anyone from The New Deal for Disabled People”

Yes [1] {go to H10a}  
No [2] {ask H9b}

**If {H9a}=no**

{H9b}

“Why have you *{has aproxnam}* stopped your *{his her}* contact?”

:OPEN

EView1{H10a}

“We are interested in your *{aproxnam’s}* opinion of your *{his/her}* discussion(s) with the adviser. First how well did the adviser listen to, and understand, what you *{he/she}* had to say. Would you say... READ OUT...”

...Well [1]  
Not very well [2]  
Or neither? [3]

H10c

“Overall, how happy were you *{was aproxnam}* with the time spent with your *{his/her}* adviser, was it...READ OUT...

...Long enough [1]  
Not long enough [2]  
Or too long? [3]

H10f

“Now we want to ask you about how pleased you are *{aproxnam is}* with the pace at which things moved along with your *{his/her}* adviser, overall did things...READ OUT...

...Move too quickly for you *{him/her}* [1]  
Move too slowly for you *{him/her}* [2]  
Or the pace was about right? [3]

H10g

“What are your *{aproxnam’s}* overall views of the New Deal for Disabled People scheme, would you *{he/she}* say that the scheme...READ OUT...

INTERVIEWER PROMPT FOR THE WHOLE SERVICE NOT THE ADVISER

...Offered the help and support you *{he/she}* wanted [1]  
Was unable to offer the help and support you *{he/she}* wanted [2]  
Or is it too early to say? [3]

H10h2

CARD H6

“Please choose a phrase from this card to show how much you agree or disagree *{aproxnam agrees or disagrees}* with the following statements.

As a result of being involved in the New Deal for Disabled People I have *{aproxnam has}* or did become more confident about my *{his/her}* chances of getting a job”

Agree strongly [1]

- Agree slightly [2]
- Neither agree nor disagree [3]
- Disagree slightly [4]
- Disagree strongly [5]

H10h3

CARD H6

(Please choose a phrase from this card to show how much you agree or disagree {*aproxnam agrees or disagrees*} with the following statements.)

“As a result of being involved in the New Deal for Disabled People I have {*aproxnam has*} or did become more keen to return to work”

- Agree strongly [1]
- Agree slightly [2]
- Neither agree nor disagree [3]
- Disagree slightly [4]
- Disagree strongly [5]

H10h4

CARD H6

(Please choose a phrase from this card to show how much you agree or disagree {*aproxnam agrees or disagrees*} with the following statements.)

“As a result of being involved in the New Deal for Disabled People I have {*aproxnam has*} or did become more worried about losing my {*his/her*} benefits”

- Agree strongly [1]
- Agree slightly [2]
- Neither agree nor disagree [3]
- Disagree slightly [4]
- Disagree strongly [5]

H10h5

CARD H6

(Please choose a phrase from this card to show how much you agree or disagree {*aproxnam agrees or disagrees*} with the following statements.)

“As a result of being involved in the New Deal for Disabled People I have {*aproxnam has*} or did become more worried about what my {*his/her*} financial situation would be if I were {*he/she was*} to work”

- Agree strongly [1]
- Agree slightly [2]
- Neither agree nor disagree [3]
- Disagree slightly [4]
- Disagree strongly [5]

**SECTION I MISCELLANEOUS**

- **SAMPLE 1 ASK OF ALL RESPONDENTS**
- **SAMPLE 2 ASK OF ALL RESPONDENTS**
- **NATIONAL COMPARISON RESPONDENTS ASK ALL**

Fethnic{I2}

CARD I1

“I’d like to finish by asking you a few general questions. To which of the following groups on this card do you consider you belong {*aproxnam belongs*}?”

- |                            |      |
|----------------------------|------|
| White                      | [1]  |
| Black - Caribbean          | [2]  |
| Black - African            | [3]  |
| Black – Other Black groups | [4]  |
| Indian                     | [5]  |
| Pakistani                  | [6]  |
| Bangladeshi                | [7]  |
| Chinese                    | [8]  |
| Mixed Race                 | [9]  |
| None of these              | [10] |

FeligDB{I3a}

CARD I2

“Looking at this card, do you {*does aproxnam*} receive any of these benefits at the moment?”

- |   |      |
|---|------|
| Housing Benefit or help paying the rent | [1]  |
| Council Tax Benefit                     | [2]  |
| Job Seekers Allowance                   | [3]  |
| Family Credit                           | [4]  |
| Child Benefit/One Parent Benefit        | [5]  |
| Invalid Care Allowance                  | [6]  |
| Working Families Tax Credit             | [7]  |
| Job Finder’s Grant                      | [8]  |
| Other type of benefit                   | [9]  |
| None of these                           | [10] |

**Only prompt for benefits which were not mentioned at I3a**

FnowBens{I3b}

CARD I2

“And still looking at this card, did you {*did aproxnam*} receive any other benefits during the last year which you aren’t {*he/she isn’t*} receiving now?”

- |   |     |
|---|-----|
| Housing Benefit or help paying the rent | [1] |
| Council Tax Benefit                     | [2] |
| Job Seekers Allowance                   | [3] |
| Family Credit                           | [4] |
| Child Benefit/One Parent Benefit        | [5] |
| Invalid Care Allowance                  | [6] |
| Working Families Tax Credit             | [7] |
| Job finder grant                        | [8] |



Other type of benefit [9]  
 None of these [10]

FExam1 {I4a}

“Can I ask, {*have you, has aproxnam*} passed any school or college examinations?”:

Yes [1]  
 No [2]

IF FExam1 {I4a}= yes

FExam2 {I4b}

CARD I3

“Looking at this card, please look down the list and tell me the number of the one that you have {*he/she has*} passed?”

UK university/CNAA degree/diploma [1]  
 GCE A level/Higher school Cert [2]  
 GCE O level/School Cert/Matric [3]  
 GCSE Grades A-C [4]  
 GCSE Grades D-G [5]  
 CSE Grade 1 [6]  
 CSE Grades 2-5/ungraded [7]  
 Certificate of 6<sup>th</sup> year studies [8]  
 SCE/SLC/SUPE Higher Grade [9]  
 SUPE/SLC Lower or Ordinary Grade [10]  
 SCE Grades A-C or 1-3 [11]  
 SCE Grades D or E or 4 or 5 [12]  
 Other qualification [96]

**If FExam2 {I4b}=Other**

FxExam2 {I4c}

“INTERVIEWER: ENTER ‘OTHER’ EXAMINATION, PROBE FOR FULL DETAILS OF AWARDING BODY ETC.”

OPEN

FTech1 {I4d}

“Do you {*Does aproxnam*} have any technical qualifications?”:

Yes [1]  
 No [2]

**If FTech1 {I4d}=yes**

FTech2 {I4e}

CARD I4

“Looking at this card, which ones have you {*has aproxnam*} passed?”

PROBE: Which others?

Recognised trade apprenticeship completed [1]  
 Clerical/commercial qualification (e.g. typing, shorthand, book-keeping, commerce) [2]  
 City and Guilds Certificate: Craft/intermediate/ordinary/part I [3]  
 City and Guilds Certificate: Advanced/Final/Part II [4]  
 City and Guilds Certificate: Full technological/Part III [5]  
 National Vocational Qualification (NVQ) [6]

General National Vocational Qualification (GNVQ)	[7]
Ordinary National Certificate (ONC) or Diploma (OND)	[8]
BEC/TEC National/General Certificate or Diploma	[9]
SCOTVEC	[10]
Higher National Certificate (HNC) or Higher Diploma (HND)	[11]
Teaching qualification	[12]
Nursing qualification (e.g. SEN, SRN, SCM)	[13]
YTS certificate	[14]
Other professional qualification	[96]

**If FTech2{I4e} Other**

FxTech2{I4f}

“INTERVIEWER: ENTER ‘OTHER’ QUALIFICATION”: OPEN

Flicence{I5a}

“Do you {Does aproxnam} hold a current full licence to drive a car or motorcycle?

PROBE FOR CAR OR MOTORCYCLE ONLY”:

Yes, car (and motorcycle)	[1]
Yes - motorcycle only	[2]
No	[3]

**If Flicence {I5a}<>No**

Fvehicle{I5b}

“Do you {Does aproxnam} have access to a car, van or motorcycle?

PROBE FOR CAR/VAN OR MOTORCYCLE”:

Yes, car or van	[1]
Yes, motorcycle	[2]
Yes, car or van, and motorcycle	[3]
No	[4]

Fpubtran{I5c}

“Can you {aproxnam} use local public transport without too much difficulty?”:

Yes	[1]
No	[2]
Don’t know	[3]

**If I5c=Yes**

Fpubtran2{I5d}

“And would you say that the local public transport here {where aproxnam, lives} is good enough to get around this {that} area?”:

Yes	[1]
No	[2]

I6a

CARD I5

“I would now like to ask about your {aproxnam’s} housing situation. In which of the ways listed on this card do you {does aproxnam} occupy this accommodation?”

Owned outright	[1]
Being bought on a mortgage/bank loan	[2]

Shared ownership (part mortgage and part rented)	[3]
Rented from the Council/Local Authority/New Town	[4]
Rented from a Housing Association	[5]
Rented privately	[6]
Rent free	[7]
(Other)	[8]

I6c

“Can I just check, do you {*does aproxnam*} live in a group home or sheltered accommodation. By that I mean any accommodation where someone is paid to be on hand to help you {*him/her*} if you need {*he/she needs*} it and you receive {*he/she receives*} support to enable you {*him/her*} to live independently?”

Yes [1]  
No [2]

FTel

"INTERVIEWER: IF YOU HAVE NOT ALREADY MADE CONTACT BY TELEPHONE

Is there a telephone in your {*aproxnam's*} accommodation that can be used to receive and to make calls?"

Yes [1]  
No [2]

**If FTel=Yes**

FTelNum

“A certain number of interviews on any survey are checked by a supervisor to make sure that people were satisfied with the way the interview was carried out. In case my supervisor needs to contact you it would be very helpful if we could have your telephone number.

INTERVIEWER: RECORD NUMBER ON ARF"

Number given [1]  
Number refused [2]

**{All}**

FFInt

“We may want to talk to you {*aproxnam*} again in the future to see what you are {*he/she is*} doing at that time. Would you {*he/she*} be willing to have another interview. Again your {*aproxnam's*} replies will be treated in strictest confidence?”

Yes [1]  
No [2]

FConAd

“In case you move {*aproxnam moves*} from this address, could you tell me the address and telephone number of a relative or close friend we could contact to find out where you are {*he/she is*}?”

INTERVIEWER WRITE ADDRESS ON ARF

Willing to give contact address [1]  
Unwilling to give contact address [2]

{IF FCONAD = willing}

{RECORD STABLE ADDRES}

StName "Stable - Confirmed contact name

StRel "Stable - Confirmed relationship  
StAdd1 "Stable - Confirmed add1  
StAdd2 "Stable - Confirmed add2  
StAdd3 "Stable - Confirmed add3  
StAdd4 "Stable - Confirmed add4  
StAdd5 "Stable - Confirmed add5  
StAddPC "Stable - Confirmed PC  
StTelNum "Stable - Confirmed Telephone number

FinfoDSS

“The DSS and Employment Service keep information about you and your benefit claims which might help us with our research. Can we have your permission to use this information?”

INTERVIEWER: IF PERSON CONCERNED ADD: The information will be kept strictly confidential and will not affect your benefits or any other dealings you have with any Government Department.”

Yes [1]  
No [2]

**If a proxy interview was carried out**

FPROXACC INTERVIEWER: PLEASE CODE HOW ACCURATE YOU FEEL THE INFORMATION PROVIDED BY THE PROXY WAS

Accurate [1]  
Not Accurate [2]  
Unsure of accuracy [3]

FEnd

INTERVIEWER: PLEASE THANK RESPONDENT

“That brings us to the end of the questionnaire. Thank you very much indeed for giving your time to help us with this research.”



## **APPENDIX F**

### **OPT-OUT LETTER SENT TO SAMPLES 2 AND 4**



Social Research Branch  
Department of Social Security  
FREEPOST PHQ5  
London  
WC2N 6BR  
0207 962 8951

### Helping Sick and Disabled People

I am writing to ask for your help with an important study. We want to find out about your views and experiences of benefits, work and training. **We are interested in what you have to say, whatever your present circumstances.** The *National Centre for Social Research* (formerly SCPR) have been asked to carry out this research on behalf of the Department of Social Security and the Department for Education and Employment.

An interviewer from the *National Centre for Social Research* will visit you. You can speak to them straight away or suggest a better time for them to call back. If there is anything that can be done to make it easier for you to take part, please let the interviewer know.

We have selected your name at random from Benefit Agency records of individuals who may be eligible for (or may have received) help to find training or work. We are interested in what you have to say, whatever your experiences. Anything you say to the interviewer will be **strictly confidential** to the research team. Your name and personal details will not be passed to any government department or anyone else.

I do hope you decide to take part in the study. If, however, you do not wish to take part, please either write to me at the FREEPOST address above, or telephone me on 0207 962 8951, **within the next two weeks, quoting the reference number at the top of this letter.**

Thank you for your help. I hope you will be able to take part in this important study and enjoy talking to the interviewer.

Yours sincerely

A handwritten signature in black ink that reads 'Ian Thistlethwaite'.

Ian Thistlethwaite  
Social Research Branch

## **APPENDIX G**

### **ADVANCE LETTERS SENT TO SAMPLES 1 AND 3**



### **Sickness and Disability Benefits and Work**

A research study carried out on behalf of the Department of Social Security and the Department for Education and Employment by a group of independent research organisations: the *National Centre for Social Research*; the Centre for Research in Social Policy; the Social Policy Research Unit and the Institute for Employment Research.

### **Sickness and Disability Benefits and Work**

A short time ago you took part in an important study. You kindly filled in a questionnaire and sent it back to us. Your contribution helped make this a great success, and we are writing now to ask if you would help us further.

For the next stage of our study, we are carrying out interviews to find out more about people's views and experiences of benefits, work and training. We are very interested in what you have to say, whatever your circumstances. One of our interviewers will be in contact soon. All our interviewers carry **an identification card**, with a photograph. If an interviewer visits you, please ask to see this. The name of the interviewer who will be contacting you is:

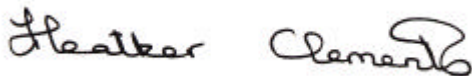
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The interviewer will be able to answer any questions you have about the study. If you are willing to take part you can complete the interview straight away or agree a better time for the interviewer to call back. If there is anything that can be done to make it easier for you to take part, please let the interviewer know.

As before, all your answers will be treated in strict confidence by the research team. Nothing you say will have any effect on your benefit or any dealings you might have with any government department, either now or in the future.

I do hope you will want to continue to be involved in this important study, and enjoy speaking to one of our interviewers.

Yours sincerely,



Heather Clements, Project Controller