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**Introduction**

This technical report provides details of a longitudinal survey with claimants of Employment and Support Allowance (ESA). The survey was conducted by Ipsos MORI in partnership with the Institute for Employment Studies on behalf of the Department for Work and Pensions (DWP). This project had two aims:

- to explore in detail the routes by which people come to claim ESA (“Routes onto ESA”); and
- to provide data on the customer journey from assessment through to the main phase which commences in week 14 of the claim period (“Evaluation of ESA”).

The survey was made up of two waves. At wave one, 3,650 face-to-face interviews were conducted using Computer Assisted Personal Interviewing (CAPI) between 5 December 2009 and 28 February 2010. At wave two, 1,842 interviews were conducted with those who agreed to be re-contacted at wave one using Computer Assisted Telephone Interviewing (CATI) between 26 July 2010 and 19 September 2010.

This report contains details of the processes used in conducting both waves of the survey, with all survey documentation provided in the appendices.

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1 We have exceeded the original target sample size of 3,500.
1. Sample design

This was a longitudinal survey with a sample of people who made a claim for ESA between April and June 2009. The sample was drawn from the MSRS database, which is used to register claims and make referrals for assessment by Healthcare Professionals\(^2\), in mid-October 2009. Those with a terminal illness at the time of claim, those with missing contact details (known as clerical claims), and those who had not yet appeared in the MSRS database in mid-October 2009, because of time lags in adding up-to-date information on ESA claims to the database, were excluded from the study.

At wave one, a two-stage sampling approach was used to maximise fieldwork efficiency. First, records were drawn from the MSRS database randomly. Second, records were grouped into clusters based of the proximity of the address of claimants. These clusters formed the Primary Sampling Units from which the final sample was drawn randomly. Those in the final outcome groups, i.e. Fit for Work, Support Group and Work-Related Activity Group, were oversampled for the reasons described in section 1.1. At wave two, those who agreed to be recontacted at wave one were invited to take part in a telephone follow-up survey.

In this chapter, we discuss in detail how we came up with the above sample design and show the final response rates.

1.1 Development of the sample design

The sample design was driven by research objectives for both “Routes on ESA” and the “Evaluation of ESA” and the key requirements were:

a) To ensure comparability between the Routes onto ESA survey and the previous Routes onto Incapacity Benefit (IB) surveys conducted by Ipsos MORI in 2006-07\(^3\);

b) To sample from recent customers to assist respondent recall on key events including health and employment histories;

c) To complete fieldwork within the first 13 weeks of the claim, prior to customers being informed about their eligibility for ESA;

\(^2\) Atos Healthcare is an organisation that gives medical advice to help DWP decision makers reach an appropriate decision on entitlement to benefit. MSRS is the electronic system is used by Jobcentre Plus to register and make referrals to Atos Healthcare.

d) To provide findings based on a nationally representative sample of ESA claimants;
e) To enable separate analysis of data by claimants placed in the Support Group and the Work-Related Activity Group; and
f) To enable analysis of data by health conditions within the Work-Related Activity Group.

There were a number of tensions between these requirements which were related to how the population of interest was defined. For example, requirements (a) (b) and (c) implied a sample of recent claimants (i.e. all who flow onto ESA within a three month period). However, requirement (c) was not possible due to the time lag inherent in the Benefits database for ESA claimants\(^4\). Furthermore, to meet requirement (e), the sampling period needed to be later than three months – i.e. after claimants were notified of the outcome of their claim (at the time when the sample was drawn, most claimants were notified between three and four months into their claim).

Given these tensions, the **overriding objective** for DWP was to ensure sufficient numbers of claimants in the Support Group (SG) and Work-Related Activity Group (WRAG) for robust analysis at both waves 1 and 2 of the survey – this meant that the sampling period needed to be set at a stage where the majority of claimants knew the outcome of their claim (thus enabling us to identify and boost the SG and WRAG groups). Therefore, this was DWP’s primary consideration for the sample design.

**Population and sample requirements**

The population of interest for the survey was all customers who made a claim for ESA during a fixed reference period (April-June 2009), including a range of customers who did not complete the assessment process for ESA such as:

- customers who were considered to be off-flows before any assessment was possible (i.e. those who dropped out of the process before completing the ESA50 medical questionnaire);
- customers who actively withdrew their claim before completion of the assessment process; and,
- customers who had their claim closed by DWP for non-return of the ESA50, or non-attendance at a face-to-face Work Capability Assessment.

\(^4\) There was a lag of around two months in the assessment results appearing on the MSRS database.
During the sample design stage, Management Information (MI) data indicated that non-ignorable numbers of people withdrew their claim, or had it closed by Jobcentre Plus before completion of the assessment process and DWP was keen to understand the reasons for this. It was agreed that the closed/withdrawn group should be treated as a separate sample, thus enabling the main sample to be structured to provide greater scope for analysis of the SG and the WRAG.

Subsequently, based on analysis of more recent MI data (August 2009), it emerged that the definition of “Claim closed/withdrawn” was not clear-cut. This data was derived using a number of variables (and some judgements) which were evolving over time. This ruled out the option of excluding this group from the main sample as there was a potential risk that the “wrong” people might be excluded because they had been incorrectly classified.

However, as it can take some time ESA claims to be closed or withdrawn and logged on the MSRS data base, the percentage of “Claim closed/withdrawn” declined significantly over time – accounting for just 17% of claims made in June 2009 (Table 1). This meant that the design impact of including the “Claim closed/withdrawn” group in the main sample was less than had been envisaged previously (based on earlier data).

The final design, therefore, was to have one sample comprising all of the groups listed in Table 1 below, with the exception of ‘Clerical’ claims (this group was excluded from the survey as it was difficult to access their contact details). Claimants in SG classified as having a ‘Terminal Illness’ (approximately 5% of SG claimants) were also excluded from the calculations because the inclusion of this group in the research was deemed inappropriate.

Table 1: Status of ESA claims at September 2009 by month of claim

<table>
<thead>
<tr>
<th>Claim status</th>
<th>Oct-08</th>
<th>Nov-08</th>
<th>Dec-08</th>
<th>Jan-09</th>
<th>Feb-09</th>
<th>Mar-09</th>
<th>Apr-09</th>
<th>May-09</th>
<th>Jun-09</th>
<th>Jul-09</th>
</tr>
</thead>
<tbody>
<tr>
<td>Claim closed/withdrawn</td>
<td>32</td>
<td>33</td>
<td>33</td>
<td>31</td>
<td>30</td>
<td>27</td>
<td>26</td>
<td>24</td>
<td>17</td>
<td>6</td>
</tr>
<tr>
<td>Clerical WCA - unknown result</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>2</td>
<td>1</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Fit for Work</td>
<td>36</td>
<td>36</td>
<td>34</td>
<td>35</td>
<td>34</td>
<td>34</td>
<td>32</td>
<td>27</td>
<td>16</td>
<td>6</td>
</tr>
<tr>
<td>In progress</td>
<td>6</td>
<td>7</td>
<td>8</td>
<td>10</td>
<td>13</td>
<td>17</td>
<td>22</td>
<td>31</td>
<td>53</td>
<td>77</td>
</tr>
</tbody>
</table>

5 Jobcentre Plus can close an ESA claim if the customer does not return their ESA50 medical questionnaire after a certain amount of time, without good cause. A claim can also be closed if the customer fails to attend a face-to-face Work Capability Assessment without good cause, if one is deemed necessary to inform a decision on their ESA claim.
Reference period

The selection of the reference period was driven by the requirement to oversample claimants in the SG and WRAG.

There was a lag of around two months in results appearing on MSRS, the database used to register claims and make referrals for assessment by Healthcare Professionals\(^6\). This means that when the sample was drawn in mid-October, it would reflect the status of ESA claims in August 2009.

As can be seen in Table 1, 53% and 77% of claims made in June and July 2009, respectively, were pending assessment at the end of September 2009 (based on trend data in Table 1, the majority of these individuals would either have withdrawn/closed their claim or been allocated to the Fit for Work group). This meant that, in order to oversample the SG and WRAG, the reference period needed to be earlier (i.e. to a period when the percentage of “assessment in progress” is lower).

The final approach was to sample all customers who made a claim for ESA between April and June 2009, including those who had their claim closed or withdrawn from the process. Based on MI data up to the end of July 2009, this reference period would allow the SG and WRAG groups to be boosted with acceptable impact on the overall effective sample size.

Final population profile

According to DWP Benefit records, a total of 142,823 ESA claims were made between April and June 2009\(^7\), and Table 2 below shows a breakdown of the claims by claim outcome at the time the sample was drawn in mid-October. To ensure a large enough sample size for SG and WRAG at wave 2, a disproportionately stratified sampling approach was agreed, as demonstrated by Table 2.

---

\(^6\) Atos Healthcare is an organisation that gives medical advice to help DWP decision makers reach an appropriate decision on entitlement to benefit. MSRS is the electronic system is used by Jobcentre Plus to register and make referrals to Atos Healthcare.

\(^7\) As noted above, clerical claims and those with a terminal illness at the time of claim had been excluded. Please note also that DWP estimated that a small proportion of claims (i.e. around 5%) made between April and June would not have appeared in the MSRS (ATOS data) database at the time the sample was drawn because of reporting lag, so our population counts have excluded those claims.
Table 2: Population and sample profiles

<table>
<thead>
<tr>
<th>Claimant group</th>
<th>Population</th>
<th></th>
<th>Stratified sample</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N</td>
<td>%</td>
<td>N</td>
<td>%</td>
</tr>
<tr>
<td>Claim closed/withdrawn</td>
<td>32,193</td>
<td>22.54</td>
<td>400</td>
<td>11.43</td>
</tr>
<tr>
<td>Fit for Work</td>
<td>36,743</td>
<td>25.73</td>
<td>1,000</td>
<td>28.57</td>
</tr>
<tr>
<td>In progress</td>
<td>50,447</td>
<td>35.32</td>
<td>650</td>
<td>18.57</td>
</tr>
<tr>
<td>Off-flow before any assessment</td>
<td>7,977</td>
<td>5.59</td>
<td>100</td>
<td>2.86</td>
</tr>
<tr>
<td>Support Group</td>
<td>4,016</td>
<td>2.81</td>
<td>500</td>
<td>14.29</td>
</tr>
<tr>
<td>Work Related Activity Group</td>
<td>11,447</td>
<td>8.01</td>
<td>850</td>
<td>24.29</td>
</tr>
<tr>
<td>TOTAL</td>
<td>142,823</td>
<td>100%</td>
<td>3,500</td>
<td>100%</td>
</tr>
</tbody>
</table>

1.2 Sampling process

The final sample was drawn in multiple stages, as demonstrated in Table 3. First of all, DWP drew a sample of 32,105 claims, which was around nine times more than our targeted sample size of 3,500. This was necessary for clustering, i.e. grouping addresses that were close together to improve fieldwork efficiency. Before the sample was drawn, the records were stratified by the date of claim, age, gender and disability status.

The distribution of sample drawn by DWP was different from that required by our design – mainly in including a relatively small proportion of SG claimants. To ensure that our issued sample after clustering would be in line with our targeted sample profile, we removed 4,645 records using the 1 in n method from all claimant groups apart from SG, leaving us a sample of 27,460 records.

These records were then grouped into clusters of around 21 addresses by postcode districts, given us a total of 1,256 clusters. These clusters formed the Primary Sampling Units (PSU) of this survey.

A total of 338 clusters were randomly selected for the survey. This formed the final issued sample of 7,247 claimants. The profile of the claimants in the issued sample was largely in line with our targeted profile.

---

8 A total of 4,997 records were outliers that did not fall into any clusters and were excluded from the sample.
Table 3: Multi-stage sample approach

<table>
<thead>
<tr>
<th>Claimant group</th>
<th>Sample from DWP⁹</th>
<th>Sample after removing 4,645 records</th>
<th>Issued sample</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N</td>
<td>%</td>
<td>N</td>
</tr>
<tr>
<td>Claim Closed/Withdrawn</td>
<td>3,718</td>
<td>11.58</td>
<td>3,144</td>
</tr>
<tr>
<td>Fit for Work</td>
<td>9,402</td>
<td>29.29</td>
<td>7,867</td>
</tr>
<tr>
<td>In Progress</td>
<td>6,176</td>
<td>19.24</td>
<td>5,121</td>
</tr>
<tr>
<td>Off-flow before any Assessment</td>
<td>913</td>
<td>2.84</td>
<td>809</td>
</tr>
<tr>
<td>Support Group</td>
<td>3,833</td>
<td>11.94</td>
<td>3,833</td>
</tr>
<tr>
<td>Work Related Activity Group</td>
<td>8,063</td>
<td>25.11</td>
<td>6,686</td>
</tr>
<tr>
<td><strong>TOTAL</strong></td>
<td>32,105</td>
<td>100%</td>
<td>27,460</td>
</tr>
</tbody>
</table>

1.3 Sampling process at wave two

The initial sampling design stipulated that the “Claim closed/withdrawn” and “Off-flow before any assessment” groups should only be interviewed at wave one. However, given the level of interest in understanding the journey of those who dropped out of the ESA system, it was decided before the start of wave two fieldwork that these groups should be followed up at wave two as well.

Out of the 3,650 claimants who took part at wave one, 3,016 agreed to be recontacted for further research (83%). Out of this, 100 records were used to test the flow of the follow-up questionnaire during the wave two pilot, leaving us with 2,916 records.

An advance letter was sent out by Ipsos MORI on behalf of DWP to all recipients who were included in the sample (see Appendix A). Respondents could email or call us on a helpline to verify their contact details or indicate that they wished to opt-out. A total of four claimants opted out at this stage. Fourteen claimants did not provide us with a telephone number at wave one or before wave two. This left us with a sample size of 2,898 claimants for wave two.

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⁹ Claimants who were deceased, potentially violent or flagged up as ‘do not contact’ for some other reason were removed at this stage.
2. Questionnaire development

The questionnaires were developed by the IES and DWP, with further refinements made by the research team at Ipsos MORI. Suggestions were also made as a result of the interviewer debriefs before and after the pilot fieldwork at both waves.

2.1 Wave one questionnaire

Ipsos MORI programmed the questionnaire into CAPI format and included logic and data checks to minimise keying errors and implausible answers. Interviews were carried out by fully-trained interviewers from Ipsos MORI’s national face-to-face fieldforce. The average interview length was 45 minutes. Please refer to Appendix E for the questionnaire.

The questionnaire included the following areas:

- Section 1  Consent
- Section 2  ESA Claim
- Section 3  Appeals
- Section 4  Most recent employment
- Section 5  Health – general health, health conditions.
- Section 6  More detailed health history
- Section 7  Treatment and management of health conditions
- Section 8  Longer-term employment history and aspirations
- Section 9  Awareness and initial views of ESA
- Section 10 Initial ESA claim process
- Section 11 The medical assessment process
- Section 12 Seeing the Pathways adviser
- Section 13 Education, skills and training
Section 14  Demographics
2.1 Wave two questionnaire

Ipsos MORI programmed the questionnaire into CATI format and included logic and data checks to minimise keying errors and implausible answers. Interviews were carried out by fully-trained interviewers from Ipsos MORI’s telephone centre in Edinburgh. The average interview length was 20 minutes. The questionnaire can be found in Appendix F.

The questionnaire included the following areas:

- Section 1  Introduction
- Section 2  Consent
- Section 3  ESA claim status
- Section 4  Health status and expectations
- Section 5  Employment since last interview
- Section 6  ESA claim experiences
- Section 7  Jobseeker’s Allowance claim experiences
- Section 8  Demographics
3 Fieldwork

3.1 Interviewer briefings

At wave one, 13 detailed face-to-face interviewer briefings were held across the country by the Ipsos MORI research team.

An extensive briefing pack was provided to each interviewer involved in the project which included information on ESA, guidelines on contact procedures and advice on interviewing certain types of respondent, for example, those with physical or mental disabilities, and including advice on conducting the interview in specific situations, such as a proxy or partial-proxy interview. Please refer to Appendix C for the wave one interviewer instructions.

At wave two, a face-to-face interviewer briefing was held at the Ipsos MORI Edinburgh telephone centre by the Ipsos MORI research team, and attended by researchers from IES and DWP.

Each interviewer working on the survey was provided with detailed written instructions. These included information on the background of the ESA survey, guidelines on contact procedures and proxy interviews, and advice on techniques for interviewing respondents with disabilities. As well as these general points about the questionnaire, the instructions also included detailed information on specific questions to ensure that interviewers understood them and coded responses accurately and consistently. Please refer to Appendix D for the wave two interviewer instructions.

3.2 Wave one pilot

The questionnaire was piloted among 63 respondents between 3 and 18 October 2009 in Bristol and Birmingham. A separate opt-out exercise was conducted for the pilot. Opt-out letters were sent to 127 ESA claimants and three people opted out at this stage.

Ipsos MORI researchers, in conjunction with IES and DWP, personally briefed the pilot interviewers in London. After the completion of the pilot fieldwork, a debriefing session was conducted involving interviewers and members of the
research team from Ipsos MORI, IES and DWP. The pilot demonstrated that the methodology was sound and that the questionnaire was functioning, although some small changes to the wording and routing of some questions were suggested. The key changes were:

- making answer lists more comprehensive, e.g. Q6, Q8, Q9, and Q60;
- adding questions to double check the status of respondents, e.g. Q9a and Q9b;
- changing the list of medical conditions to the one used in Routes onto Incapacity Benefit\textsuperscript{10}; and
- adding additional logic checks.

3.3 Wave two pilot

The questionnaire was piloted among 20 respondents between 2 July and 5 July 2010 in Edinburgh. A separate opt-out exercise was conducted for the pilot. Opt-out letters were sent to 100 ESA claimants, though none had opted out.

The objectives of the pilot were to test new questions as well as to ensure that questions used at wave one were adapted appropriately to a telephone format.

Ipsos MORI researchers, in conjunction with IES and DWP, personally briefed the pilot interviewers in Edinburgh. After the completion of the fieldwork, a debriefing session was held among interviewers and members of the research team from Ipsos MORI, IES and DWP. The pilot brought to light a number of issues with the content and wording of some of the questions. The key changes were:

- the 12-item General Health Questionnaire (GHQ-12) on psychological wellbeing, which was asked at wave one using Computer Assisted Self Interviewing (CASI), was removed because it was deemed to be too sensitive for interviewers to administer over the telephone;
- respondents were given the option of disagreeing with and amending the answers they gave on at wave one, e.g. on their health status, work status and benefits they received;

\textsuperscript{10}Kemp P and Davidson J (2008a) *Routes onto Incapacity Benefit: Findings from a survey of recent claimants*, DWP Research report 469.
• responses at read out lists were shortened where possible;

• in some cases, codes were amended to ensure their mutual exclusivity; and

• additional response options were added where necessary (e.g. WHYNU ND).
3.4 Response rates at wave one

In total, 3,650 interviews were achieved from a total issued sample of 7,247 addresses. The sample outcomes are detailed in Tables 4A and 4B.

The amount of issued sample was based on the response rates of Routes onto Incapacity Benefit.\textsuperscript{11} However, a few weeks into fieldwork, it was clear that the projected response rate for the current survey would in fact be higher than Routes onto Incapacity Benefit. As a result, to protect the response rate, 579 records were withdrawn across all the regions, reducing the amount of live sample to 6,668 addresses. Up to four calls had been made to each address, and the non-contact rate based on all eligible addresses was 12.58%.

The response rate based on all eligible addresses was 50.74\% (Table 4A). Only claimants who were deceased at the time of fieldwork or who denied that they had ever applied for Employment and Support Allowance were deemed to be ineligible.

The response rate based on all eligible addresses where interviewing was possible was 62.49\% (Table 4B). Interviewing was deemed to be not possible in cases where respondents or properties were ineligible, respondents were not living at the address, respondents were physically or mentally unable to take part, or records were withdrawn by the Head Office.

From a statistical point of view, the first response rate should be used. However, to compare the current survey against other surveys, the second response rate (62.49\%) should be used instead because the definition of ‘interview not possible’ is closer to conventional definition of ‘deadwood’.

Tables 4A and 4B show a breakdown of sample outcomes.

\textsuperscript{11} Kemp P and Davidson J (2008a) Routes onto Incapacity Benefit: Findings from a survey of recent claimants, DWP Research report 469. For Routes onto Incapacity Benefit, the unadjusted response rate was 47\% and the adjusted response rate was 56\%. © 2011 Ipsos MORI. Contains Ipsos MORI confidential and proprietary information Not to be disclosed or reproduced without the prior written consent of Ipsos MORI.
### Table 4A: Response rate based on all eligible addresses

<table>
<thead>
<tr>
<th>Screened sample</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total issued sample</strong></td>
<td>7,247</td>
<td>100.00</td>
</tr>
<tr>
<td><strong>Ineligible addresses</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Screened out</td>
<td>21</td>
<td>0.29</td>
</tr>
<tr>
<td>Deceased</td>
<td>33</td>
<td>0.46</td>
</tr>
<tr>
<td><strong>Eligible addresses</strong></td>
<td>7,193</td>
<td>100.00</td>
</tr>
<tr>
<td><strong>Interviews not achieved</strong></td>
<td>3,543</td>
<td>49.26</td>
</tr>
<tr>
<td>Respondent not living at address</td>
<td>556</td>
<td>7.73</td>
</tr>
<tr>
<td>Property ineligible</td>
<td>156</td>
<td>2.17</td>
</tr>
<tr>
<td>Physically/mentally unable to take part/terminally ill</td>
<td>61</td>
<td>0.85</td>
</tr>
<tr>
<td>Records withdrawn by Head Office</td>
<td>579</td>
<td>8.05</td>
</tr>
<tr>
<td>Refused</td>
<td>463</td>
<td>6.44</td>
</tr>
<tr>
<td>Opt out</td>
<td>583</td>
<td>8.11</td>
</tr>
<tr>
<td>No contact</td>
<td>905</td>
<td>12.58</td>
</tr>
<tr>
<td>Temporarily ill</td>
<td>31</td>
<td>0.43</td>
</tr>
<tr>
<td>Respondent away during fieldwork</td>
<td>60</td>
<td>0.83</td>
</tr>
<tr>
<td>Broken appointment</td>
<td>85</td>
<td>1.18</td>
</tr>
<tr>
<td>Do not speak English</td>
<td>2</td>
<td>0.03</td>
</tr>
<tr>
<td>Other</td>
<td>62</td>
<td>0.86</td>
</tr>
<tr>
<td><strong>Interviews achieved</strong></td>
<td>3,650</td>
<td>50.74</td>
</tr>
</tbody>
</table>

Source: Ipsos MORI
Table 4B: Response rate based on all eligible addresses where interviewing was possible

<table>
<thead>
<tr>
<th>Screened sample</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A: All eligible addresses</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>7,247</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>B: Interviewing not possible</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Screened out</td>
<td>21</td>
<td>0.29%</td>
</tr>
<tr>
<td>Deceased</td>
<td>33</td>
<td>0.46%</td>
</tr>
<tr>
<td>Respondent not living at address</td>
<td>556</td>
<td>7.67%</td>
</tr>
<tr>
<td>Property ineligible</td>
<td>156</td>
<td>2.15%</td>
</tr>
<tr>
<td>Physically/mentally unable to take part/terminally ill</td>
<td>61</td>
<td>0.84%</td>
</tr>
<tr>
<td>Records withdrawn by Head Office</td>
<td>579</td>
<td>7.99%</td>
</tr>
<tr>
<td><strong>B: Interviewing not possible</strong></td>
<td>1,406</td>
<td>19.40%</td>
</tr>
<tr>
<td><strong>C: Interviewing possible</strong></td>
<td></td>
<td>100%</td>
</tr>
<tr>
<td>Interview not achieved</td>
<td>2,191</td>
<td>37.51%</td>
</tr>
<tr>
<td>Refused</td>
<td>463</td>
<td>7.93%</td>
</tr>
<tr>
<td>Opt out</td>
<td>583</td>
<td>9.98%</td>
</tr>
<tr>
<td>No contact</td>
<td>905</td>
<td>15.49%</td>
</tr>
<tr>
<td>Temporarily ill</td>
<td>31</td>
<td>0.53%</td>
</tr>
<tr>
<td>Respondent away during fieldwork</td>
<td>60</td>
<td>1.03%</td>
</tr>
<tr>
<td>Broken appointment</td>
<td>85</td>
<td>1.46%</td>
</tr>
<tr>
<td>Do not speak English</td>
<td>2</td>
<td>0.03%</td>
</tr>
<tr>
<td>Other</td>
<td>62</td>
<td>1.06%</td>
</tr>
<tr>
<td><strong>C: Interviewing possible</strong></td>
<td>5,841</td>
<td></td>
</tr>
<tr>
<td><strong>Completed interviews</strong></td>
<td>3,650</td>
<td>62.49%</td>
</tr>
</tbody>
</table>

Source: Ipsos MORI

1.5 Response rates at wave two

In total, 1,842 interviews were achieved from a total of 3,016 claimants who agreed to be recontacted at wave one. Out of this, 100 records were used for the pilot, 14 did not provide a re-contact telephone number and four opted-out prior to the survey.

A minimum of seven telephone calls were made to each respondent. The response rate based on all eligible claimants was 61.34% (Table 5A). Only claimants who passed away between waves one and two were deemed to be ineligible.

The response rate based on all eligible claimants with whom interviewing was possible was 70.09%. Table 5B shows a breakdown of the sample outcome. Apart from those who passed away between waves one and two, it was also not possible to interview during the mainstage of the survey those who were selected for the pilot, those who were no longer living at their address (and there was no forwarding number), and those who did not provide us with a valid telephone number.
As for wave one, the first response rate should be used for analytical purpose, while the second response rate should be used for comparison of this survey with other surveys.

Table 5A: Response rate based on all eligible claimants

<table>
<thead>
<tr>
<th>Screened sample</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>A: Total issued sample</td>
<td>3,016</td>
<td>100.00%</td>
</tr>
<tr>
<td>B: Total out of scope</td>
<td>13</td>
<td>0.43%</td>
</tr>
<tr>
<td>Deceased</td>
<td>13</td>
<td>0.43%</td>
</tr>
<tr>
<td>C: Total eligible sample</td>
<td>3,003</td>
<td>99.57%</td>
</tr>
<tr>
<td>Total unproductive</td>
<td>1,161</td>
<td>38.66%</td>
</tr>
<tr>
<td>Respondent used in pilot sample</td>
<td>100</td>
<td>3.33%</td>
</tr>
<tr>
<td>Opt out</td>
<td>4</td>
<td>0.13%</td>
</tr>
<tr>
<td>Respondent not living at address</td>
<td>43</td>
<td>1.43%</td>
</tr>
<tr>
<td>Refused</td>
<td>263</td>
<td>8.76%</td>
</tr>
<tr>
<td>No telephone number/wrong telephone number</td>
<td>232</td>
<td>7.73%</td>
</tr>
<tr>
<td>No contact</td>
<td>464</td>
<td>15.45%</td>
</tr>
<tr>
<td>Respondent away during fieldwork</td>
<td>49</td>
<td>1.63%</td>
</tr>
<tr>
<td>Do not speak English</td>
<td>6</td>
<td>0.20%</td>
</tr>
<tr>
<td>Total completed interviews</td>
<td>1,842</td>
<td>61.34%</td>
</tr>
</tbody>
</table>

Source: Ipsos MORI
### Table 5B: Response rate based on all eligible claimants where interviewing was possible

<table>
<thead>
<tr>
<th>Screened sample</th>
<th>N</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A: Total issued sample</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>3,016</td>
<td>100.00%</td>
</tr>
<tr>
<td><strong>B: Total sample - interviewing was not possible</strong></td>
<td>388</td>
<td>12.86%</td>
</tr>
<tr>
<td>Deceased</td>
<td>13</td>
<td>0.43%</td>
</tr>
<tr>
<td>Respondent used in pilot sample</td>
<td>100</td>
<td>1.43%</td>
</tr>
<tr>
<td>Respondent not living at address</td>
<td>43</td>
<td>7.69%</td>
</tr>
<tr>
<td>No telephone number/wrong telephone number</td>
<td>232</td>
<td>3.32%</td>
</tr>
<tr>
<td><strong>C: Total eligible sample where interviewing was possible</strong></td>
<td>2,628</td>
<td>100%</td>
</tr>
<tr>
<td>Total unproductive – interviewing possible</td>
<td>786</td>
<td>29.91%</td>
</tr>
<tr>
<td>Opt out</td>
<td>4</td>
<td>0.15%</td>
</tr>
<tr>
<td>Refused</td>
<td>263</td>
<td>10.01%</td>
</tr>
<tr>
<td>No contact</td>
<td>464</td>
<td>17.66%</td>
</tr>
<tr>
<td>Respondent away during fieldwork</td>
<td>49</td>
<td>1.86%</td>
</tr>
<tr>
<td>Do not speak English</td>
<td>6</td>
<td>0.23%</td>
</tr>
<tr>
<td><strong>Total completed interviews</strong></td>
<td>1,842</td>
<td>70.09%</td>
</tr>
</tbody>
</table>

*Source: Ipsos MORI*

### 1.6 Overall response rates

Out of the 7,247 ESA claimants selected to take part in this research, 3,650 took part at wave one, 1,842 took part at wave two and 67 were deemed to be ineligible because they claimed they had never applied for ESA at wave one or because they were deceased. Based on all eligible claimants, this gave us an overall adjusted response rate at 26%.

While every effort was made to maximise response rates, as with any surveys, there was a risk of non-response bias because certain types of respondents might have been more or less likely to take part. This risk was partially mitigated by adopting appropriate weighting strategies, more details of which can be found in the next chapter.
3. Data analysis

3.1 Data coding and processing

Coding staff checked verbatim answers entered by interviewers at open and ‘other – specify’ questions. Code frames were prepared by the coding team and checked and approved by the research team.

As well as computer tabulations (provided in a separate volume to this report), a fully labelled SPSS data file was provided.

3.2 Weighting at wave one

Weighting factors are often applied to survey data in order to minimise any bias that may occur as a result of unequal sampling fractions or differential response rates for different population groups. At wave one, a two-stage weighting approach – design weights and non-response weights – was adopted.

The first stage involved using design weights to correct for the effects of disproportionately stratified sampling by claimant groups. The purpose of this was to equalise selection probabilities at all stages of sampling, and Table 6 shows the initial design weights applied.

Table 6: Initial design weights

<table>
<thead>
<tr>
<th>Population</th>
<th>Issued sample</th>
<th>Initial design weights</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>N</td>
<td>% distribution</td>
</tr>
<tr>
<td>Total</td>
<td>142,823</td>
<td>100</td>
</tr>
<tr>
<td>Claim Closed/Withdrawn</td>
<td>32,193</td>
<td>22.54</td>
</tr>
<tr>
<td>Fit for Work</td>
<td>36,743</td>
<td>25.73</td>
</tr>
<tr>
<td>In Progress</td>
<td>50,447</td>
<td>35.32</td>
</tr>
<tr>
<td>Off-flow before any Assessment</td>
<td>7,977</td>
<td>5.59</td>
</tr>
<tr>
<td>Support Group</td>
<td>4,016</td>
<td>2.81</td>
</tr>
<tr>
<td>WRAG</td>
<td>11,447</td>
<td>8.01</td>
</tr>
</tbody>
</table>

Source: MSRS database (mid-October 2009) and Ipsos MORI

12 This was based on DWP Benefit records at the time the sample was drawn in October 2009. As noted above, clerical claims and those with a terminal illness at the time of claim were excluded. Please note also that the DWP estimated that a small proportion of claims (i.e. around 5%) made between April and June 2009 would not have appeared in the MSRS (ATOS data) database at the time the sample was drawn because of reporting lag, so our population counts have excluded those claims.
The second stage weights were designed to reduce non-response bias across the population groups. For example, response rates were higher among Fit for Work, WRAG and SG groups, meaning that these groups were over-represented even after the initial design weights had been applied. A rim weighting (raking) approach, which involves sequentially weighting by single weighting variables across several iterations, was adopted to correct non-response bias. Table 7 shows a breakdown of the unweighted and weighted profiles.

3.3 Weighting at wave two

As for wave one, design weights were applied to correct for unequal selection probabilities. The next stage was to use non-response adjustment to compensate for sample non-response at wave two. Given that a longitudinal survey approach was used, it was possible to use not only information available on the sample but also the answers given by respondents at the initial wave for non-response adjustment.

To apply non-response adjustment, it is necessary to divide up all sample units into different groups – or classes of adjustment – according to their propensity to respond to the survey. Several methods can be used to create the adjustment classes, but most methods are based on the creation of Response Homogeneity Groups (RHGs). We have chosen CHAID, which use decision tree algorithms, to create RHGs. CHAID is an acronym that stands for Chi-squared Automatic Interaction Detection. CHAID uses chi-squared statistics to identify optimal splits or groups of independent variables in terms to predict the outcome of dependent variables (e.g. whether a claimant takes part in a follow-up survey). It was chosen because it is a common and efficient way of creating RHGs, and is used in many other robust longitudinal surveys.

The software package AnswerTree\(^\text{13}\) (using the CHAID algorithm) was used to run the analysis. The software divided up the sample into cells defined in terms of combinations of answers given at wave one, and sample variables that had the greatest discrimination with respect to non-response rates, while maintaining a minimum sample size in each cell.

For this survey, the sample and response variables that had the greatest discrimination with respect to non-response rates were age, gender, ethnicity, region, claim status at the time the sample was drawn, work status immediately before claim, whether had a

\(^{13}\) AnswerTree is a package available from SPSS.
health problem, disability or long-term illness at wave one and whether receiving ESA payments at wave one. A total of 28 cells were formed and the panel non-response adjustment was the inverse of the observed response rate in a cell.

The sample design weights and non-response adjustment were applied to the wave two data, and table 7 shows a breakdown of the unweighted and weighted profiles.
## Table 7: Weighted and unweighted profiles

<table>
<thead>
<tr>
<th></th>
<th>Population</th>
<th>Issued sample</th>
<th>Achieved interviews – wave one (unweighted)</th>
<th>Achieved interviews – wave one (weighted by initial design weights)</th>
<th>Achieved interviews – wave two (unweighted)</th>
<th>Achieved interviews – wave two (weighted)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>n</td>
<td>% distribution</td>
<td>n</td>
<td>% distribution</td>
<td>n</td>
<td>% distribution</td>
</tr>
<tr>
<td>All people</td>
<td>142823</td>
<td>100</td>
<td>7247</td>
<td>100</td>
<td>3650</td>
<td>100</td>
</tr>
<tr>
<td>Claim status</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Claim Closed/W detached</td>
<td>32193</td>
<td>22.54</td>
<td>859</td>
<td>11.85</td>
<td>349</td>
<td>9.56</td>
</tr>
<tr>
<td>Fit for Work</td>
<td>36743</td>
<td>25.73</td>
<td>2069</td>
<td>28.55</td>
<td>1063</td>
<td>29.12</td>
</tr>
<tr>
<td>In Progress</td>
<td>50447</td>
<td>35.32</td>
<td>1381</td>
<td>19.06</td>
<td>604</td>
<td>16.55</td>
</tr>
<tr>
<td>Off-flow before any</td>
<td>7977</td>
<td>5.59</td>
<td>230</td>
<td>3.17</td>
<td>99</td>
<td>2.71</td>
</tr>
<tr>
<td>Assessment Support Group</td>
<td>11447</td>
<td>8.01</td>
<td>1733</td>
<td>23.91</td>
<td>1022</td>
<td>28.00</td>
</tr>
<tr>
<td>Work-related activity</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>group</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Age group</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18 – 24</td>
<td>25126</td>
<td>17.59</td>
<td>1186</td>
<td>16.36</td>
<td>479</td>
<td>13.12</td>
</tr>
<tr>
<td>25 – 34</td>
<td>26185</td>
<td>18.33</td>
<td>1143</td>
<td>15.77</td>
<td>500</td>
<td>13.70</td>
</tr>
<tr>
<td>35 – 44</td>
<td>33637</td>
<td>23.55</td>
<td>1666</td>
<td>22.99</td>
<td>823</td>
<td>22.55</td>
</tr>
<tr>
<td>45 – 49</td>
<td>17789</td>
<td>12.46</td>
<td>917</td>
<td>12.65</td>
<td>490</td>
<td>13.42</td>
</tr>
<tr>
<td>55+</td>
<td>23536</td>
<td>16.48</td>
<td>1440</td>
<td>19.87</td>
<td>861</td>
<td>23.59</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Gender</th>
<th>Women</th>
<th>36.96</th>
<th>3106</th>
<th>42.86</th>
<th>1617</th>
<th>44.30</th>
<th>1589</th>
<th>43.53</th>
<th>1589</th>
<th>43.86</th>
<th>1349</th>
<th>36.96</th>
<th>1617</th>
<th>44.3</th>
<th>673</th>
<th>36.5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Men</td>
<td>84546</td>
<td>63.04</td>
<td>4141</td>
<td>57.14</td>
<td>2033</td>
<td>55.70</td>
<td>2061</td>
<td>56.47</td>
<td>2301</td>
<td>63.04</td>
<td>2033</td>
<td>55.70</td>
<td>1169</td>
<td>63.5</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Ethnic group |        |       |      |       |      |       |      |       |      |       |      |       |      |     |     |
|--------------|--------|-------|------|-------|------|-------|------|-------|------|-------|------|-------|------|-----|-----|------|
| White        | 96160  | 67.33 | 4768 | 65.79 | 2416 | 66.19 | 2447 | 67.04 | 2458 | 67.34 | 2416 | 66.2  | 1276 | 69.3 |
| Mixed        | 1271   | 0.89  | 53   | 0.73  | 24   | 0.66  | 24   | 0.66  | 32   | 0.88  | 24   | 0.7   | 11   | 0.6 |
| Asian or     | 4846   | 3.39  | 256  | 3.53  | 143  | 3.92  | 164  | 4.48  | 124  | 3.40  | 143  | 3.9   | 51   | 2.8 |
| Asian British| 3877   | 2.71  | 170  | 2.35  | 58   | 1.59  | 64   | 1.75  | 99   | 2.71  | 58   | 1.6   | 30   | 1.6 |
| Black or     | 1970   | 1.38  | 95   | 1.31  | 37   | 1.01  | 34   | 0.92  | 50   | 1.37  | 37   | 1.0   | 29   | 1.6 |
| Black British|       |       |      |       |      |       |      |       |      |       |      |       |      |     |     |
| Chinese or   |       |       |      |       |      |       |      |       |      |       |      |       |      |     |     |
| other ethnic |       |       |      |       |      |       |      |       |      |       |      |       |      |     |     |
| groups       | 34699  | 24.30 | 1905 | 26.29 | 972  | 26.63 | 918  | 25.16 | 887  | 24.30 | 972  | 26.6  | 446  | 24.2 |

| Region       |        |       |      |       |      |       |      |       |      |       |      |       |      |     |     |
|--------------|--------|-------|------|-------|------|-------|------|-------|------|-------|------|-------|------|-----|-----|------|
| East Midlans |        |       |      |       |      |       |      |       |      |       |      |       |      |     |     |
| East of      | 1764   | 5.49  | 423  | 5.84  | 218  | 5.97  | 195  | 5.35  | 200  | 5.48  | 218  | 6.0   | 102  | 5.5 |
| England      | 2036   | 6.34  | 437  | 6.03  | 251  | 6.88  | 218  | 5.99  | 231  | 6.33  | 251  | 6.9   | 119  | 6.4 |
| London       | 2490   | 7.76  | 592  | 8.17  | 234  | 6.41  | 231  | 6.32  | 283  | 7.76  | 236  | 6.5   | 129  | 7.0 |
| North East   | 1754   | 5.46  | 413  | 5.70  | 207  | 5.67  | 206  | 5.63  | 199  | 5.46  | 206  | 5.6   | 100  | 5.4 |
| Scotland     | 3133   | 9.76  | 672  | 9.27  | 303  | 8.30  | 301  | 8.25  | 356  | 9.76  | 303  | 8.3   | 198  | 10.7|
| South East   | 2765   | 8.61  | 623  | 8.60  | 334  | 9.15  | 269  | 7.37  | 314  | 8.61  | 334  | 9.2   | 166  | 9.0 |
| South West   | 2480   | 7.72  | 549  | 7.58  | 272  | 7.45  | 216  | 5.91  | 282  | 7.73  | 272  | 7.5   | 134  | 7.3 |
| Wales        | 2304   | 7.18  | 494  | 6.82  | 285  | 7.81  | 252  | 6.89  | 262  | 7.18  | 284  | 7.8   | 146  | 7.9 |
| West Midlands| 2782   | 8.67  | 626  | 8.64  | 322  | 8.82  | 315  | 8.64  | 316  | 8.66  | 323  | 8.8   | 151  | 8.2 |
| Yorkshire    | 2656   | 8.27  | 589  | 8.13  | 379  | 10.38 | 345  | 9.45  | 302  | 8.28  | 378  | 10.4  | 172  | 9.3 |
| and The Humber| 3380  | 10.53 | 799  | 11.03 | 339  | 9.29  | 670  | 18.35 | 384  | 10.53 | 338  | 9.3   | 181  | 9.8 |

Source: Ipsos MORI
4. Calculation of standard errors

As discussed earlier in this report, a two-stage weighting process was used at wave one. Initial design weights were applied to correct the disproportionately stratified sample, while ranking was used to reduce non-response bias. While weighting helps reduce bias in population estimates, it tends to result in larger standard errors.

Moreover, clustering – or the multi-stage selection of sample units – was used for this survey to improve fieldwork efficiency. However, clustered designs are subject to larger standard errors. This is because there tend to be greater similarities, on many attributes, between members of the same geographical sub-unit than between independently selected members of the total population.

In order to calculate the net effect of stratification, clustering and weighting, we need to calculate the design factor \( (deft) \). The design factor is the standard error in the complex sample divided by the standard error in the simple random sample (SRS). This number will vary for different variables in the survey – some may be heavily influenced and others less so. To take into account of the effect of the complex sample design, a specialised software package was used to calculate the true standard errors for survey estimates based on complex sample designs. We used SAS based on the methodology, Linearization\(^{14}\), to calculate the standard errors for a number of questions. This chapter discusses our methodology and findings. Analysts of the data of the current survey are recommended to take into standard errors caused by the complex sample design.

The simple random sample formulae for the standard error is:

\[
\text{Standard error} (\hat{p}) = \sqrt{\frac{\hat{p}(1-\hat{p})}{n}}
\]

Whilst the complex sample formulae for the standard error is:

\[
\text{Standard error} (\hat{p}) = \sqrt{\frac{\hat{p}(1-\hat{p})}{n}} \times \text{deft}
\]

\(^{14}\) The approach is based on two precepts: (i) the standard errors of statistics that can be written as the linear combination of sample units are relatively easy to compute; (ii) many survey statistics are not linear, but many can be approximated by a linear statistic (using Taylor series expansion methods). Linearization is the method used by packages such as SPSS complex surveys, SAS and STATA to estimate complex standard errors.
Where \( \text{deft} \) is the design factor associated with the estimate \( \hat{p} \).

When calculating the confidence intervals that account for the sample design and weighting, we calculated the standard error as if the survey was based on an SRS design and then multiplied this by the design factor. The design factor is essentially a factor that adjusts the standard error because of design features, and tends to vary from question to question. The formulae and a working example are given below.

\[
\text{CI (SRS)} = \hat{p} \pm 1.96 \sqrt{\frac{\hat{p}(1-\hat{p})}{n}}
\]

\[
\text{CI (Complex)} = \hat{p} \pm 1.96 \sqrt{\frac{\hat{p}(1-\hat{p})}{n}} \times \text{deft}
\]

**Working example**

If \( \hat{p} \) is 40%, \( n = 1,000 \) and \( \text{deft} = 1.35 \).

\[
\text{CI (SRS)} = 0.4 \pm 1.96 \sqrt{\frac{0.4(1-0.4)}{1,000}} = 0.4 \pm 0.030364 = 36.96\% \text{ to } 43.04\%
\]

\[
\text{CI (complex)} = 0.4 \pm 1.96 \sqrt{\frac{0.4(1-0.4)}{1,000}} \times 1.35 = 0.4 \pm 0.04099 = 35.9\% \text{ to } 44.1\%
\]

In the following table, we have calculated the standard error and confidence intervals for a number of key variables.
Table 8: Estimates of true standard errors for key variables

<table>
<thead>
<tr>
<th>Variable and level</th>
<th>Count (Unweighted)</th>
<th>Count (Weighted)</th>
<th>Percentage (weighted)</th>
<th>Standard Error based on SRS†</th>
<th>True Standard Error</th>
<th>95% CI of percentage‡</th>
<th>Design Factor (DEFT)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Q.8 Which one of the situations on this card best describes your employment situation IMMEDIATELY BEFORE ‘your recent claim’?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In work (employed or self-employed)</td>
<td>1041</td>
<td>1062</td>
<td>29.10%</td>
<td>0.007519</td>
<td>0.011468</td>
<td>26.8-31.4%</td>
<td>1.5</td>
</tr>
<tr>
<td>Off sick but have job (on full or partial sick pay)</td>
<td>715</td>
<td>610</td>
<td>16.70%</td>
<td>0.006175</td>
<td>0.009626</td>
<td>14.8-18.6%</td>
<td>1.6</td>
</tr>
<tr>
<td>Not working because temporarily or permanently sick (employed or self-employed)</td>
<td>705</td>
<td>635</td>
<td>17.40%</td>
<td>0.006274</td>
<td>0.01008</td>
<td>15.4-19.4%</td>
<td>1.6</td>
</tr>
<tr>
<td>Unemployed and looking for work</td>
<td>778</td>
<td>938</td>
<td>25.70%</td>
<td>0.008275</td>
<td>0.014191</td>
<td>12-15.3%</td>
<td>1.5</td>
</tr>
<tr>
<td>Not in work for another reason (e.g. in education or training, on a government scheme, looking after children or someone else who is sick)</td>
<td>397</td>
<td>394</td>
<td>10.80%</td>
<td>0.005129</td>
<td>0.007457</td>
<td>9.3-12.2%</td>
<td>1.5</td>
</tr>
<tr>
<td>Other</td>
<td>14</td>
<td>11</td>
<td>0.30%</td>
<td>0.00092</td>
<td>0.001069</td>
<td>0.1-0.5%</td>
<td>1.2</td>
</tr>
<tr>
<td>Q.34 Do you currently have any health problem, disability or long-term illness which limits your daily activities or the work you can do?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes</td>
<td>3034</td>
<td>2739</td>
<td>75.10%</td>
<td>0.007164</td>
<td>0.010757</td>
<td>73-77.2%</td>
<td>1.5</td>
</tr>
<tr>
<td>No</td>
<td>613</td>
<td>908</td>
<td>24.90%</td>
<td>0.007164</td>
<td>0.010757</td>
<td>22.8-27%</td>
<td>1.5</td>
</tr>
<tr>
<td>*Refused excluded.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Q.36a And which of these do you consider your MAIN health condition?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mental health conditions</td>
<td>681</td>
<td>726</td>
<td>19.90%</td>
<td>0.00661</td>
<td>0.009812</td>
<td>18-21.8%</td>
<td>1.5</td>
</tr>
<tr>
<td>Conditions related to bones muscle, problems or physical injury</td>
<td>744</td>
<td>646</td>
<td>17.70%</td>
<td>0.006319</td>
<td>0.009105</td>
<td>15.9-19.5%</td>
<td>1.4</td>
</tr>
<tr>
<td>Long-term conditions that affect major organs or the whole body or other condition or disability</td>
<td>635</td>
<td>496</td>
<td>13.60%</td>
<td>0.005682</td>
<td>0.008489</td>
<td>12-15.3%</td>
<td>1.5</td>
</tr>
<tr>
<td>Other health problem or disability</td>
<td>1590</td>
<td>1781</td>
<td>48.80%</td>
<td>0.008275</td>
<td>0.014191</td>
<td>46-51.5%</td>
<td>1.7</td>
</tr>
<tr>
<td>Q.88 Have you had a Work Capability Assessment for your most recent ESA claim?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Yes - face to face</td>
<td>2530</td>
<td>2223</td>
<td>60.90%</td>
<td>0.008078</td>
<td>0.012199</td>
<td>58.5-63.3%</td>
<td>1.5</td>
</tr>
<tr>
<td>I had a written decision but no face to face medical assessment</td>
<td>105</td>
<td>88</td>
<td>2.40%</td>
<td>0.002509</td>
<td>0.003843</td>
<td>1.6-3.1%</td>
<td>1.5</td>
</tr>
<tr>
<td>No - but I have received an appointment for one</td>
<td>92</td>
<td>172</td>
<td>4.70%</td>
<td>0.003495</td>
<td>0.005527</td>
<td>3.6-5.8%</td>
<td>1.6</td>
</tr>
<tr>
<td>No - I have been told that I don’t have to have this</td>
<td>177</td>
<td>124</td>
<td>3.40%</td>
<td>0.002991</td>
<td>0.004277</td>
<td>2.5-4.2%</td>
<td>1.4</td>
</tr>
<tr>
<td>No - I stopped claiming before I had this</td>
<td>248</td>
<td>482</td>
<td>13.20%</td>
<td>0.005596</td>
<td>0.009157</td>
<td>11.4-15%</td>
<td>1.6</td>
</tr>
<tr>
<td>No -and I have not received an appointment for one</td>
<td>394</td>
<td>453</td>
<td>12.40%</td>
<td>0.00546</td>
<td>0.008456</td>
<td>10.8-14.1%</td>
<td>1.5</td>
</tr>
<tr>
<td>Don’t know/cant remember</td>
<td>104</td>
<td>113</td>
<td>3.10%</td>
<td>0.002872</td>
<td>0.004878</td>
<td>2.1-4.1%</td>
<td>1.7</td>
</tr>
<tr>
<td>Q.104 As part of your most recent ESA claim, have you been asked to</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Q.146 Which of these best describes your ethnic background?**

<table>
<thead>
<tr>
<th>Ethnic Background</th>
<th>Yes</th>
<th>No</th>
<th>Don’t know/can’t remember</th>
</tr>
</thead>
<tbody>
<tr>
<td>White British</td>
<td>3218</td>
<td>3175</td>
<td></td>
</tr>
<tr>
<td>Other ethnic groups</td>
<td>427</td>
<td>470</td>
<td></td>
</tr>
</tbody>
</table>

*Don't know excluded.*

**Q.32 What do/did you usually earn before deductions for tax and national insurance, and including any overtime, bonuses or tips?**

<table>
<thead>
<tr>
<th>Weekly Income</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-49</td>
<td>75</td>
<td>61</td>
</tr>
<tr>
<td>50-99</td>
<td>189</td>
<td>201</td>
</tr>
<tr>
<td>100-149</td>
<td>147</td>
<td>122</td>
</tr>
<tr>
<td>150-299</td>
<td>482</td>
<td>509</td>
</tr>
<tr>
<td>300 or above</td>
<td>490</td>
<td>491</td>
</tr>
</tbody>
</table>

*Missing excluded.*

**Q.15 And which one of the situations on this card best describes your employment situation last week?**

<table>
<thead>
<tr>
<th>Employment Situation</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>In work (employed or self-employed)</td>
<td>505</td>
<td>657</td>
</tr>
<tr>
<td>Off sick but have job (on full or partial sick pay)</td>
<td>279</td>
<td>208</td>
</tr>
<tr>
<td>Not working because temporarily or permanently sick</td>
<td>1913</td>
<td>1559</td>
</tr>
<tr>
<td>Unemployed and looking for work</td>
<td>535</td>
<td>770</td>
</tr>
<tr>
<td>Not in work for a reason (e.g. in education or training, on a government scheme, looking after children or someone else who is sick)</td>
<td>404</td>
<td>445</td>
</tr>
<tr>
<td>Other</td>
<td>14</td>
<td>11</td>
</tr>
</tbody>
</table>

*Missing excluded.*

**National Statistics Socio-economic Classification (NS-SEC) – analytical**

<table>
<thead>
<tr>
<th>Occupation</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Large employers and higher managerial occupations</td>
<td>58</td>
<td>47</td>
</tr>
<tr>
<td>Higher professional occupations</td>
<td>45</td>
<td>44</td>
</tr>
<tr>
<td>Lower managerial and professional occupations</td>
<td>417</td>
<td>339</td>
</tr>
<tr>
<td>Intermediate occupations</td>
<td>272</td>
<td>245</td>
</tr>
<tr>
<td>Small employers and own account workers</td>
<td>411</td>
<td>482</td>
</tr>
<tr>
<td>Lower Supervisory and technical occupations</td>
<td>385</td>
<td>372</td>
</tr>
<tr>
<td>Routine occupations</td>
<td>709</td>
<td>756</td>
</tr>
<tr>
<td>Never worked and long-term unemployed</td>
<td>551</td>
<td>613</td>
</tr>
<tr>
<td>Not classified</td>
<td>70</td>
<td>66</td>
</tr>
</tbody>
</table>

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Q.71  Approximately how much would you need to earn, before tax, national insurance and other deductions?

<table>
<thead>
<tr>
<th>Income Range</th>
<th>Earnings</th>
<th>Weekly Earnings</th>
<th>Annual Earnings</th>
<th>Social Security</th>
<th>Other Benefits</th>
<th>Earnings Before tax</th>
<th>Earnings After tax</th>
</tr>
</thead>
<tbody>
<tr>
<td>0-7,199</td>
<td>96</td>
<td>83</td>
<td>9.0%</td>
<td>0.01032</td>
<td>0.012484</td>
<td>7.5-12.4%</td>
<td>1.2</td>
</tr>
<tr>
<td>7,200-23,999</td>
<td>696</td>
<td>716</td>
<td>85.10%</td>
<td>0.012299</td>
<td>0.015623</td>
<td>82.88-1%</td>
<td>1.3</td>
</tr>
<tr>
<td>24,000 or above</td>
<td>49</td>
<td>42</td>
<td>5.00%</td>
<td>0.007524</td>
<td>0.009996</td>
<td>3-7%</td>
<td>1.3</td>
</tr>
</tbody>
</table>

*Not Stated and Missing excluded.

Q.66  Which one of these best describes your employment situation and plans?

<table>
<thead>
<tr>
<th>Employment Situation</th>
<th>Number</th>
<th>Percentage</th>
<th>Weekly Earnings</th>
<th>Earnings Before tax</th>
<th>Earnings After tax</th>
</tr>
</thead>
<tbody>
<tr>
<td>I am currently working and I intend to stay in the same job</td>
<td>441</td>
<td>15.50%</td>
<td>0.006009</td>
<td>0.009526</td>
<td>13.7-17.4%</td>
</tr>
<tr>
<td>I am currently working and I intend to get a different job</td>
<td>82</td>
<td>2.80%</td>
<td>0.002745</td>
<td>0.003895</td>
<td>2.1-3.6%</td>
</tr>
<tr>
<td>I am currently working but expect to retire soon</td>
<td>25</td>
<td>0.70%</td>
<td>0.001409</td>
<td>0.00199</td>
<td>0.3-1.1%</td>
</tr>
<tr>
<td>I have a job to go back to</td>
<td>25</td>
<td>0.70%</td>
<td>0.001409</td>
<td>0.00199</td>
<td>0.3-1.1%</td>
</tr>
<tr>
<td>I have been offered a job and am waiting to start</td>
<td>177</td>
<td>5.40%</td>
<td>0.003012</td>
<td>0.003952</td>
<td>2.6-4.2%</td>
</tr>
<tr>
<td>I am looking for work, but have not found a suitable job</td>
<td>514</td>
<td>19.10%</td>
<td>0.006513</td>
<td>0.010151</td>
<td>17.1-21.1%</td>
</tr>
<tr>
<td>I was looking for work, but stopped because I can't find one</td>
<td>30</td>
<td>1.00%</td>
<td>0.001689</td>
<td>0.002442</td>
<td>0.6-1.5%</td>
</tr>
<tr>
<td>I was looking for work, but stopped because my health has deteriorated</td>
<td>232</td>
<td>7.10%</td>
<td>0.002627</td>
<td>0.003654</td>
<td>5.8-8.4%</td>
</tr>
<tr>
<td>I hope to do a job in the future, but have not started looking</td>
<td>511</td>
<td>14.40%</td>
<td>0.00582</td>
<td>0.009475</td>
<td>12.5-16.3%</td>
</tr>
<tr>
<td>I would need help, rehabilitation or training before I could consider working</td>
<td>466</td>
<td>12.70%</td>
<td>0.005529</td>
<td>0.008268</td>
<td>11.1-14.4%</td>
</tr>
<tr>
<td>I do not expect to work in the future</td>
<td>401</td>
<td>8.40%</td>
<td>0.004597</td>
<td>0.006761</td>
<td>7.1-9.7%</td>
</tr>
<tr>
<td>I am permanently unable to work because of my health condition or disability</td>
<td>591</td>
<td>10.00%</td>
<td>0.004985</td>
<td>0.007291</td>
<td>8.6-11.5%</td>
</tr>
<tr>
<td>I am in/going into education/training</td>
<td>15</td>
<td>0.40%</td>
<td>0.001057</td>
<td>0.001366</td>
<td>0.1-0.7%</td>
</tr>
<tr>
<td>I am looking after someone</td>
<td>8</td>
<td>0.30%</td>
<td>0.000866</td>
<td>0.00111</td>
<td>0.1-0.5%</td>
</tr>
<tr>
<td>I am looking to become self-employed</td>
<td>3</td>
<td>0.10%</td>
<td>0.000602</td>
<td>0.000895</td>
<td>0-0.3%</td>
</tr>
<tr>
<td>Other/Don't know</td>
<td>101</td>
<td>3.40%</td>
<td>0.002531</td>
<td>0.003857</td>
<td>1.6-3.1%</td>
</tr>
</tbody>
</table>

*Refusal, No Answer and Not Stated are excluded.

Q.140  Are you currently receiving any state benefits or child tax credits? Which ones?

<table>
<thead>
<tr>
<th>Benefit Type</th>
<th>Number</th>
<th>Percentage</th>
<th>Weekly Earnings</th>
<th>Earnings Before tax</th>
<th>Earnings After tax</th>
</tr>
</thead>
<tbody>
<tr>
<td>Severe Disablement Allowance</td>
<td>34</td>
<td>0.60%</td>
<td>0.001288</td>
<td>0.001468</td>
<td>0.3-0.9%</td>
</tr>
<tr>
<td>Industrial Injury Disablement Allowance</td>
<td>38</td>
<td>0.80%</td>
<td>0.001468</td>
<td>0.002009</td>
<td>0.4-1.2%</td>
</tr>
<tr>
<td>Disability Living Allowance / Care Component</td>
<td>476</td>
<td>8.00%</td>
<td>0.004487</td>
<td>0.006335</td>
<td>6.7-9.2%</td>
</tr>
<tr>
<td>Disability Living Allowance / Mobility Component</td>
<td>484</td>
<td>7.80%</td>
<td>0.004452</td>
<td>0.005919</td>
<td>6.7-9%</td>
</tr>
<tr>
<td>Disability Living Allowance / Components not known</td>
<td>136</td>
<td>2.90%</td>
<td>0.002762</td>
<td>0.003791</td>
<td>2-3.6%</td>
</tr>
<tr>
<td>Attendance Allowance</td>
<td>11</td>
<td>0.20%</td>
<td>0.000772</td>
<td>0.001111</td>
<td>0-0.4%</td>
</tr>
<tr>
<td>Carer's Allowance (formerly Invalid Care Allowance)</td>
<td>74</td>
<td>1.90%</td>
<td>0.002286</td>
<td>0.003271</td>
<td>1.3-2.6%</td>
</tr>
<tr>
<td>War Disability Pension</td>
<td>11</td>
<td>0.20%</td>
<td>0.000792</td>
<td>0.000903</td>
<td>0.1-0.4%</td>
</tr>
<tr>
<td>Income Support</td>
<td>141</td>
<td>4.50%</td>
<td>0.003441</td>
<td>0.004691</td>
<td>3.6-5.4%</td>
</tr>
<tr>
<td>Jobseeker's Allowance</td>
<td>381</td>
<td>16.10%</td>
<td>0.006085</td>
<td>0.009309</td>
<td>14.3-17.9%</td>
</tr>
<tr>
<td>Return to Work Credit</td>
<td>28</td>
<td>0.70%</td>
<td>0.001364</td>
<td>0.001598</td>
<td>0.4-1%</td>
</tr>
<tr>
<td>Child Benefit (including Lone-Parent Child Benefit payments)</td>
<td>767</td>
<td>21.80%</td>
<td>0.006832</td>
<td>0.010076</td>
<td>19.8-23.8%</td>
</tr>
<tr>
<td>Child Tax Credit</td>
<td>748</td>
<td>21.10%</td>
<td>0.006753</td>
<td>0.009562</td>
<td>19.2-23%</td>
</tr>
<tr>
<td>Working Tax Credit (includes Disabled Person's Tax Credit)</td>
<td>205</td>
<td>6.30%</td>
<td>0.004036</td>
<td>0.005495</td>
<td>5.3-7.4%</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Benefit</th>
<th>Total</th>
<th>Standard Deviation</th>
<th>Confidence Interval</th>
<th>95% CI</th>
<th>95% CI</th>
<th>95% CI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Maternity Allowance</td>
<td>16</td>
<td>0.60%</td>
<td>0.00128</td>
<td>0.001993</td>
<td>0.2-1%</td>
<td>1.6</td>
</tr>
<tr>
<td>Housing Benefit / Rent Rebate or Allowance</td>
<td>1066</td>
<td>29.20%</td>
<td>0.007524</td>
<td>0.013119</td>
<td>26.6-31.7%</td>
<td>1.7</td>
</tr>
<tr>
<td>Council Tax Benefit</td>
<td>1169</td>
<td>30.10%</td>
<td>0.007593</td>
<td>0.012414</td>
<td>27.7-32.5%</td>
<td>1.6</td>
</tr>
<tr>
<td>Any other state benefit, allowance or credit</td>
<td>342</td>
<td>7.80%</td>
<td>0.004442</td>
<td>0.008278</td>
<td>6.2-9.4%</td>
<td>1.9</td>
</tr>
<tr>
<td>None of these</td>
<td>1089</td>
<td>32.20%</td>
<td>0.007737</td>
<td>0.011627</td>
<td>29.9-34.5%</td>
<td>1.5</td>
</tr>
</tbody>
</table>

Q.125 In terms of academic qualifications, which one of these is the highest you have passed?

<table>
<thead>
<tr>
<th>Qualification</th>
<th>Total</th>
<th>Standard Deviation</th>
<th>Confidence Interval</th>
<th>95% CI</th>
<th>95% CI</th>
<th>95% CI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Degree or equivalent qualification</td>
<td>259</td>
<td>16.30%</td>
<td>0.009157</td>
<td>0.013</td>
<td>13.7-18.9%</td>
<td>1.5</td>
</tr>
<tr>
<td>GCE 'A' level/Higher School Certificate</td>
<td>247</td>
<td>14.50%</td>
<td>0.008738</td>
<td>0.013</td>
<td>11.9-17.2%</td>
<td>1.5</td>
</tr>
<tr>
<td>GCE 'O' level grades A, B, C/CSE grade 1</td>
<td>554</td>
<td>34.10%</td>
<td>0.011754</td>
<td>0.018</td>
<td>30.6-37.8%</td>
<td>1.5</td>
</tr>
<tr>
<td>GCE 'O' level grades D, E/GCSE grades D, E/CSE grades 2-5</td>
<td>242</td>
<td>15.00%</td>
<td>0.008858</td>
<td>0.013</td>
<td>12.4-17.6%</td>
<td>1.5</td>
</tr>
<tr>
<td>Other</td>
<td>326</td>
<td>20.00%</td>
<td>0.009922</td>
<td>0.016</td>
<td>16.8-23.2%</td>
<td>1.6</td>
</tr>
</tbody>
</table>

Q.127 Can I just check, do you have any problems with.....?

<table>
<thead>
<tr>
<th>Language</th>
<th>Total</th>
<th>Standard Deviation</th>
<th>Confidence Interval</th>
<th>95% CI</th>
<th>95% CI</th>
<th>95% CI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reading English</td>
<td>578</td>
<td>17.40%</td>
<td>0.006277</td>
<td>0.012098</td>
<td>15-19.8%</td>
<td>1.9</td>
</tr>
<tr>
<td>Writing English</td>
<td>570</td>
<td>15.70%</td>
<td>0.006027</td>
<td>0.009458</td>
<td>13.9-17.6%</td>
<td>1.6</td>
</tr>
<tr>
<td>Speaking English</td>
<td>209</td>
<td>4.60%</td>
<td>0.00353</td>
<td>0.005833</td>
<td>3.6-5.9%</td>
<td>1.7</td>
</tr>
</tbody>
</table>

Q.128 Which of these do you consider to be your first language?

<table>
<thead>
<tr>
<th>Language</th>
<th>Total</th>
<th>Standard Deviation</th>
<th>Confidence Interval</th>
<th>95% CI</th>
<th>95% CI</th>
<th>95% CI</th>
</tr>
</thead>
<tbody>
<tr>
<td>English</td>
<td>3374</td>
<td>92.30%</td>
<td>0.004416</td>
<td>0.009559</td>
<td>90.4-94.2%</td>
<td>2.2</td>
</tr>
<tr>
<td>Another language</td>
<td>276</td>
<td>7.70%</td>
<td>0.004416</td>
<td>0.009559</td>
<td>5.8-9.6%</td>
<td>2.2</td>
</tr>
</tbody>
</table>

Age

<table>
<thead>
<tr>
<th>Age Group</th>
<th>Total</th>
<th>Standard Deviation</th>
<th>Confidence Interval</th>
<th>95% CI</th>
<th>95% CI</th>
<th>95% CI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Under 18</td>
<td>37</td>
<td>0.90%</td>
<td>0.00152</td>
<td>0.002022</td>
<td>0.5-1.2%</td>
<td>1.3</td>
</tr>
<tr>
<td>18-24</td>
<td>442</td>
<td>16.70%</td>
<td>0.00618</td>
<td>0.009349</td>
<td>14.9-18.6%</td>
<td>1.5</td>
</tr>
<tr>
<td>25-34</td>
<td>500</td>
<td>18.30%</td>
<td>0.006405</td>
<td>0.010167</td>
<td>16.3-20.3%</td>
<td>1.6</td>
</tr>
<tr>
<td>35-44</td>
<td>823</td>
<td>23.50%</td>
<td>0.007024</td>
<td>0.009848</td>
<td>21.6-25.5%</td>
<td>1.4</td>
</tr>
<tr>
<td>45-49</td>
<td>490</td>
<td>12.50%</td>
<td>0.005468</td>
<td>0.009191</td>
<td>11.1-13.8%</td>
<td>1.3</td>
</tr>
<tr>
<td>50-54</td>
<td>497</td>
<td>11.60%</td>
<td>0.005299</td>
<td>0.007063</td>
<td>10.2-13%</td>
<td>1.3</td>
</tr>
<tr>
<td>55+</td>
<td>861</td>
<td>16.50%</td>
<td>0.006142</td>
<td>0.008134</td>
<td>14.9-18.1%</td>
<td>1.3</td>
</tr>
</tbody>
</table>

Sex

<table>
<thead>
<tr>
<th>Gender</th>
<th>Total</th>
<th>Standard Deviation</th>
<th>Confidence Interval</th>
<th>95% CI</th>
<th>95% CI</th>
<th>95% CI</th>
</tr>
</thead>
<tbody>
<tr>
<td>Male</td>
<td>2033</td>
<td>63.00%</td>
<td>0.007991</td>
<td>0.010195</td>
<td>61-65.1%</td>
<td>1.3</td>
</tr>
<tr>
<td>Female</td>
<td>1617</td>
<td>37.00%</td>
<td>0.007991</td>
<td>0.010195</td>
<td>34.9-39%</td>
<td>1.3</td>
</tr>
</tbody>
</table>

*SRS* is Simple Random Sampling. '95% CI' is 95 per cent confidence interval of weighted percentages.

Source: Ipsos MORI

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Appendix A – Advance letter (wave 1)

[Title] [First Name] [Surname]

Our address
Employment and Support Allowance Team
1st floor, Caxton House
Tothill Street
London
SW1H 9NA

Website
www.dwp.gov.uk

Serial: J5314/[Serial]

DATE

Dear [Title] [Surname]

Understanding your experiences of applying for benefits

We are currently looking at ways to improve customers’ experiences of sickness-related benefits, and hope you will help us in shaping policies on this important issue. We understand that you have recently made an application for a sickness-related benefit. It does not matter if you have not yet gone through the whole process, or have already withdrawn your application. We are still interested in hearing about your views.

We have commissioned Ipsos MORI and the Institute for Employment Studies (IES) to carry out this study on our behalf. Both organisations are completely independent of the Government and political parties.

In the next few weeks, an interviewer from Ipsos MORI will be calling you or visiting you at the above address. Unfortunately, they can not arrange specific dates or times for interviews, but don’t worry if you are not home when the interviewer calls or arrives. He or she will try again at another time.

All Ipsos MORI interviewers wear identification badges with their photo. Please only allow people who carry this official identification into your home. You may have a family member, friend or carer present during the interview if you wish.

Everything you tell Ipsos MORI will of course be treated in complete confidence – no personal views or information will be passed to anyone outside the research team without your prior approval. More importantly, nothing you say will affect any current or future dealings you may have with the Department for Work and Pensions, Jobcentre Plus, or any other Government departments. Importantly, the information you provide will not affect the benefits you receive, either now or in the future.

I do hope that you feel able to take part in this survey. However, if you need assistance to help you take part, or feel that you do not want to be interviewed, please call Julia Kite from Ipsos MORI on the freephone number 0808 238 5495 or email her at Julia.Kite@ipsos.com. By giving us the reference number on this letter during the call or in the email, you will help us deal with your queries as quickly as possible.

We look forward to speaking to you.

Yours sincerely

Michael Kelly
Senior Research Officer
Appendix B – Advance letter (wave 2)

[INSERT ADDRESS 1]
[INSERT ADDRESS 2]
[INSERT ADDRESS 3]
[INSERT ADDRESS 4]

Serial number: 09-028314/XXXXX

Dear [TITLE] [SURNAME],

Follow-up survey on your experiences since you applied for Employment and Support Allowance

A few months ago, an interviewer from Ipsos MORI came to your house to ask about your experiences of Employment and Support Allowance. We would like to thank you for sharing your views with us, and hope you enjoyed taking part in the research.

We would like to speak to you again in the next few months, this time by telephone, to find out how your circumstances have changed since then. We do hope that you will be able to find time to help us again. It does not matter if you are not currently claiming Employment and Support Allowance, or if your previous claim was not successful. We are still interested in hearing your views.

Everything you tell Ipsos MORI will of course be treated in complete confidence – no personal views or information will be passed to anyone outside the research team without your prior approval. Helping with this study will not affect any benefits you receive, or any dealings you may have with any government department or agency now or in the future.

For our records, it would be helpful if you could confirm that your name, address and phone number printed above are correct. If not, please complete the ‘change of contact details’ card enclosed and return it to us. The postage is already paid, so all you need to do is put the form in the post (you can put it in an envelope and write on the address if you prefer – you do not need to use a stamp).

If you need assistance to help you take part, or feel that you do not want to be interviewed, please call Sylvie Hobden from Ipsos MORI on the freephone number 0808 238 5437 or write to her at Sylvie.Hobden@ipsos.com or 79-81 Borough Road, London, SE1 1FY. Please quote the reference number on this letter during the call or in the email or letter, as you will help us deal with your query as quickly as possible.

Thank you very much for your help, and we look forward to speaking to you.

Yours sincerely,

[Signature]

Michael Kelly
Senior Research Officer

July 2010

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Appendix C – Interviewers’ instructions (wave 1)

Evaluation of Employment and Support Allowance

Mainstage Interviewer Instructions

1. Background

Ipsos MORI and the Institute for Employment Studies (IES) have been commissioned by the Department for Work and Pensions (DWP) to find out more about people’s experiences of applying for Employment and Support Allowance (ESA).

ESA is a new benefit which helps people with an illness or disability to return to work, rather than stay on benefits. It was introduced in October 2008 and replaced Incapacity Benefit and Income Support paid on incapacity grounds, for new customers only.

ESA offers personalised support and financial help for customers who are not working due to an illness or disability. Central to ESA are the new medical assessments (Work Capability Assessments or WCA) which examine what the customer can do, rather than what they can’t, and offering personalised support to help the customer return to work.

The ESA process for most claimants is as follows:

- Customers make an ESA claim over the phone with a Jobcentre Plus (JCP) adviser.
- After that, they will be sent a letter in the post confirming their details. At this stage, benefit is paid at an ‘assessment phase’ rate, pending a medical assessment.
- Once their details have been confirmed, customers are asked to complete a form asking for more information about their illness and disability (ESA 50 – see the pink form in your pack).
- Most customers who complete the form will be invited to attend a Work Capability Assessment (WCA) at a local medical centre, where a trained healthcare professional (usually a doctor or nurse) will look at how their illness or disability affects their ability to work and carry out day-to-day activities.
- During the WCA, claimants are asked a series of questions about their physical and mental capabilities, guided by what they wrote on the ESA50 questionnaire. If necessary, a physical examination may also be carried out.
- Following the WCA, claimants are placed into one of the following three groups:

  1. **Support Group** – Customers with the most severe levels of disability, or specific groups whose participation in an assessment or in work-related activity would be considered inappropriate.

  2. **Work-Related Activity Group (WRAG)** – Customers with limited capability for work, who would benefit from assistance and support with work- and health-related activity to maximise their employment potential.

  3. **Fit for Work** – Customers scoring below the threshold for ESA at the medical assessment and hence not entitled to ESA. If the customer wishes, they can make a claim for Jobseekers’ Allowance instead.

- Customers who are deemed able to undertake some form of work-related activity also take part in a Work-Focused Health-Related Assessment (WFHRA). This takes place after the WCA. The WFHRA explores the customer’s views about moving into work, and identifies any health-related support that may help with this transition (see the grey form in your pack).
o The WFHRA involves an interview with a healthcare professional (usually a doctor or nurse) which explores the customer’s views about moving into work, and any health-related interventions that could support this.

o A report of the WFHRA is sent to the customer’s personal adviser at Jobcentre Plus or the Pathways provider (depending on which area they live in). This is used to help advisers refer customers to a package of employment, training or condition management support. Customers who are placed in the Work-Related Activity Group are asked to attend a series of Work-Focused Interviews with the adviser.

o The customer also receives a copy of the WFHRA report.

o The following diagram summarises this process:

---

**The ESA Process (simplified)**

- **Withdrawal/Off-flowed before assessment** – These customers are considered to have ‘withdrawn’ from the ESA application process because of a range of reasons such as returning to work, not returning the ESA 50 form, or not turning up to a WCA.

- **Assessment in progress** – In the sample, there will also be a group of customers whose claim has not reached an outcome at the time of drawing the sample.

The key objective of this project is to help DWP understand the circumstances leading up to claiming, as well as customers’ experiences of the ESA application process.

Given the importance of this study, it is crucial that we collect data that is as robust as possible. It is also vital that you follow the procedures rigorously, and record all responses carefully, to minimise any potential bias and errors.

As we note below, parts of the questionnaire ask for sensitive data – you need to reassure respondents as required that their responses will not affect their benefits in any way, describing why we are collecting such information and how we will ensure that individuals will not be identified.

*** You will find a glossary of terms (appendix C), a list of ESA forms (appendix D), and ESA rates (appendix E) at the back of this document.

---

15The only subtle difference between the ‘withdrawal’ group and the ‘off-flowed before any assessment’ group is the amount of information held by the DWP on their benefits system, which has no impact on fieldwork. Please treat these two groups as exactly the same for fieldwork purposes.
2. Who we are interviewing

We will be interviewing those who have recently made a claim for ESA. Some of the respondents in the sample might have dropped out of the ESA process, because they have not completed the required form or attended the Work Capability Assessment, or have found work in the mean time. We still want to speak to them as we are interested in their experiences both before and after claiming ESA. Please note that you must ONLY interview the named contact on the sample (although proxy interviews are allowed, as will be discussed at section 3.2 below).

It involves interviewing 3,500 claimants across GB.

3. Fieldwork

3.1 Pre-contact

Participants should have received an advance letter from DWP at least two weeks before the start of fieldwork, to allow time for them to call us to find out more about this survey, or opt out of the research. This two-week opt out period is required under our agreement with DWP. We have also provided you with additional copies of the letter to show to anyone who does not recall receiving it.

If respondents query how we got their contact details, please tell them that DWP provided contact details for the purpose of research only.

If respondents ask where they can get help with a specific benefit claim or more general advice, please provide them with the Jobcentre Plus helpline number (0800 88 22 00). People with textphone can dial 0800 24 33 55. Alternatively, direct them to their local Jobcentre Plus office.

3.2 Proxy interviews

In a few cases, participants may wish to have someone present at the interview - a carer, relative or interpreter. If this is the case, please respect their wishes but make sure, wherever possible, that the claimant is providing the answers to the questions, as it is their views we are interested in. You must speak to/make eye contact with the claimant even if there is someone else present assisting the interview. If another person gives help answering questions, it’s important that you code this appropriately at both the beginning and end of the interview.

If it respondents is physically or mentally unable to take part, it is fine for someone else who know about their condition and their claim for ESA, e.g. their carer, to complete the interview by proxy for them.

3.3 Foreign language interviews

If the respondent has limited English, you are allowed to use another person to interpret, provided such a person will be appropriate (e.g. a close relative or friend aged 14+) and the respondent is happy with this, given the sensitive nature of the interview. However, the selected person MUST be present during the interview and be observed to answer the questions themselves.

If there is no one suitable to help interpret, please write in the language required under “Mother Tongue Required” in the Final Outcome codes on the last page of the contact sheet. Please use the language card as appropriate.

3.4 Claimants with a disability, medical condition or terminal illness

Given that ESA is a sickness-related benefit, a significant proportion of your respondents would have a disability or a medical condition. In most cases, this should not stop them from taking part in the survey (from our experience with interviewing Incapacity Benefit claimants and the pilot). Please refer to Appendix B for tips on interviewing those with a disability.

In extreme cases, if the named respondent is mentally or physically unable to take part, and no one will be able to do the interview by proxy for them, please use the codes “Named respondent temporarily too ill” or “Named respondent mentally or physically unable to take part” on the contact sheet.

We have removed anyone known to be terminally ill at the time of drawing the sample. However, it is possible that a participant has been diagnosed following this (as was the case in the pilot). We would still like to hear their views if they are willing to take part in the survey. However, there are some questions which may be considered inappropriate for these people. Therefore we have included a way in which you can skip through
these sections if the respondent is unhappy answering them. Please only use this if the participant doesn’t want to answer these questions, rather than you deciding it is inappropriate.

Similarly, if it becomes apparent that the participant is unhappy continuing at all, please abandon the interview and use the special code on the contact sheet – “Terminally ill – interview abandoned” to indicate this.

3.5 Making contact

As you know, persistent and flexible attempts to make contact are key for reaching respondents and achieving interviews.

With this in mind, it is essential that you record at least four attempts in total to make an appointment/completes an interview before abandoning any lead. You must make a minimum of one call in the evening and one call at the weekend. Please leave at least a minimum of three weeks between your first and last call at any address.

Please try to tailor your contact strategy to maximise chances of making contact, according to the type of person you are trying to get hold of. Because you will be interviewing those who have made a claim for a sickness-related benefit, they are more likely to be at home during the daytime compared with the average population. However, some claimants might have already returned to work, and those who are not in work may still have other commitments - e.g. parents of school age children may be less likely to be at home around 3pm when collecting children from school; young people are likely to be out in the evenings, but perhaps in on Sunday mornings.

Also try to find out as much as you can about the best times to reach the named respondent from other household members if possible.

Other measures you can take to make contact include:

- Collecting phone numbers of selected respondents
- Leaving your contact details and asking them to make contact
- Speaking to neighbours, to find out when the household is likely to be in

Please alert the office immediately if you come across problems gaining access due to entry phones. When this arises, please do not wait until you have done your four calls before contacting the office about this – if you tell us straight away, we may be able to help you gain access quickly, via letters to landlords etc.

3.6 Securing participation and dealing with refusals

Securing participation is about encouraging the respondent to feel that the benefits of taking part (e.g. to them personally, their family, or society), outweigh any costs of taking part (e.g. time/inconvenience), and also fostering a sense of trust and good will.

Good practice includes:

- Preparing for questions about the survey using these instructions.
- Tailoring your approach to different types of people and be sensitive to local attitudes
- Backing off before outright refusal
- Show confidence on the doorstep - assume that they will say yes!
- Encourage a positive response by asking questions that will generate a ‘YES’ – e.g. “Are you …?”

Please think carefully about how you will respond if someone initially refuses to take part, and prepare yourself to persuade people to change their minds, perhaps by calling back a few days later. If they refuse try as hard as possible to find out why, so you can counter their feelings or concerns.

It is intended that refusals will be re-issued so if you feel that it is unsafe for an interviewer to return to the address then please also tick the DO NOT RECONTACT box in the bottom right hand of the final outcomes.
section on the last page of the contact sheet, and write down the reason why we should not be contacting that respondent. The box should only be ticked in extreme circumstances.

4. **Contact sheet**

You must complete a contact sheet for each and every record, even where you do not make contact with the named respondent or his/her household members, as we need to know what happens for each record.

You must also **return every single contact sheet** to head office, because the information recorded by you there (for unsuccessful as well as successful addresses) is needed for analysis and for helping us to check that the achieved sample is representative of all claimants. Some contact sheets will also be reissued and further attempts made to achieve interviews.

The contact sheet is made up of the following

1. Address information
2. Reference number, sample point number, Local Authority
3. Claim status
4. Interviewer details
5. Contact record for each call
6. Final outcome
7. Refusal information
8. Address change
9. Introduction
10. Consent form for taking part
11. Consent form for linking data

4.1 **Address information**

Please note that we are aiming to **achieve an outcome for each claimant, not each address**. Hence, if a claimant has moved to a new address, we would still want to interview them. Please try to find out where his/her new address is and fill in the section on ‘Address Change’. If the new address is in your local area, please try to achieve an interview with the claimant at the new address. If the address is NOT in your local area, please record on the contact sheet that this address will need to be reissued, and contact your Regional Coordinator about this as soon as possible.

4.2 **Reference number, sample point number, Local Authority**

The reference number is to be entered into CAPI at the beginning of the interview. It is essential that this number is recorded correctly.

4.3 **Claim status**

As discussed in the background section, there are five main types of claimants:

- Support Group
- Work Related Activity Group
- Fit for Work
- Withdrawal/ Off-flow before any assessment
4.4 Interviewer details

Please remember to enter your name and interview number in this section.

4.5 Contact Record

This is for you to record all attempts at contacting the claimant. Please complete this section accurately and legibly using the Contact Record codes provided – which means writing in the actual date/s and time (24 hour) of visit, and the codes for day of the week (1-7, Monday to Sunday) followed by any relevant comments. You will need to write the total number of calls at that address in order to complete the sheet.

You must make **at least four attempts** to make an appointment/complete an interview before abandoning any record. You must make a minimum of one call in the evening and one call at the weekend.

For this project, we are using e-progress. Please ensure that you transfer your contact information at the end of each day so that we can accurately monitor progress at head office.

4.6 Final outcomes

You should code a Final Outcome for every record, and should only choose a single outcome in the relevant column (main or re-issue). Please familiarise yourself with all possible outcomes. We have developed this list over the course of previous surveys, so hopefully most situations are accounted for in the codes available. However, there may be a few instances where 'other' may be more appropriate. If so, please remember to specify the reason as the exec team carries out a full review of these outcomes.

If respondents require a mother tongue interview, or need further assistance in order to participate in the interview, please fill in as much information as possible in the contact sheet under 'write in mother tongue' or 'write in reason', so that if we need to reissue the contact sheets we will be able to take appropriate action.

If the respondent has moved, please try to find out their new contact details if possible, and include these in the 'address change' section.

4.7 Refusal Information

Please try to obtain a detailed description of the respondent's reasons for refusal. The reason that we ask for this information is that the address may be reissued and this information will be very useful for the interviewer who next goes to that address. We have to ensure that the survey is representative of the profile of claimants, which is why we have to achieve as high a response rate as possible.

4.8 Address change

If you find out that the claimant has moved, and you know the new address, please use this section to record the new address so we may re-issue the record.

Similarly, if the address is recorded inaccurately on the contact sheet, please also make a note of this here, as we intend to follow up participants six month later.

4.9 Introduction

The contact sheet contains some basic information that it is important to communicate to the respondent:

- You are from Ipsos MORI, the independent organisation
- The survey is on behalf of the Department for Work and Pensions (DWP)
- Information will be kept confidential to Ipsos MORI, IES and DWP

Given the personal nature of some of the material contained in the questionnaire it is important that respondents understand that they are able to refuse to answer any question if they feel uncomfortable providing an answer.
4.10 Consent forms

All participants are requested to sign two consent forms, which are included on pages 3 and 4 of the contact sheet. The first form is to get consent for the interview to take place, and the second allows us to link their responses to the administrative records DWP holds. Please remember to ask respondents to sign both of these.

The consent to interview form, which should be signed before the interview starts, is to ensure that respondents are giving informed consent about the nature of the survey and to reassure them that their responses are confidential. Please try to get them to sign this form. However, some people may not be able to sign their name because of a disability, or may not want to sign the form but are still willing to take part in the interview. In these cases, a definite verbal consent will also be acceptable, although this is the exception, and we expect the vast majority to sign the form, as was the case with the pilot. Please record this in the script. It is part of our contract with DWP that we have to do this. If they do not consent to be interviewed, please terminate the interview here.

The data linkage consent form, which should be signed at the end of the interview, is to enable the research teams at Ipsos MORI and the IES to include in the survey data additional information from the administrative records DWP holds. We must have written consent to do this. Verbal consent is not sufficient for this form. Please reassure respondents that all the information is kept in the strictest confidence. DWP will only use reference numbers not names, and information will only be used for research purposes by the research team. Please note that respondents are not obliged to sign this form, though you should strongly encourage them to do so because it would provide us with vital information. We found in the pilot that most respondents were happy to do so.

We have provided a duplicate data linkage consent form for you to leave with respondents for their own records, and as an extra level of reassurance. Please encourage both copies of this form are signed.

Please familiarise yourself with both these forms before you begin interviewing.

5. What will we be asking in the interview?

The questionnaire asks very detailed questions about people’s health, as well as previous and future employment. Please remember that some of the topics we cover are very sensitive. Please reassure respondents as and when required. Appendix B provides you with some specific guidelines on interviewing people with disabilities. Please familiarise yourself with these guidelines before the interview.

You will need to reassure respondents, as appropriate, that:

- We are asking these questions to help government understand how and why people claim ESA, and how they found the process;
- By the end of the study, we will have spoken to 3,500 people and the data will be merged so that no individuals or addresses will be identified. The government will not know who has taken part. You can repeat as necessary throughout the interview the reassurances on confidentiality used in the introduction; and,
- The data linkage with DWP administrative records will use reference numbers, not names.

6. Your pack

Your briefing pack should contain the following:

1. Interviewer instructions x 1
2. A paper copy of the questionnaire x 1
3. Copy of contact sheet x 1
4. Data linkage consent form x 1
5. Language card (laminated) x 1
6. Showcards (bound) x 1
Your main pack should contain the following:

1. Address listing
2. Contact sheets - one for each address
3. Sample point maps
4. Data linkage consent forms x 12
5. ESA50 form x 3
6. Work Focused Health Related Assessment form x 3
7. Generic advance letters x 5 (1 laminated)
8. Calling cards x 12
9. Basic Field Admin materials

Appendix A highlights specific questions in the script that require attention so please take time to look through them (and keep this note for future reference).

Before you go out and start interviewing at your sampled addresses, you are required to conduct a ‘dummy’ interview. It is extremely important that you do this as the dummy interview will help to ensure that you become familiar with the questionnaire. This interview can be done with members of your household using fictitious responses.

For your dummy interview, please use the reference number 999999 Please ensure you download the dummy interview as soon as you complete it.

7. Housekeeping

7.1 E-Progress daily updates

You must complete the E-Progress updates on a daily basis. For each record, you will need to complete the update every day that you try to make contact, up to the point where a final outcome code has been recorded.

It is crucial that both Field and Research teams receive the update details on a daily basis in order to:

a) measure whether we are on track to meet the targets and deadlines that have been set by the client for this project, and,

b) make decisions about re-issuing address points or issuing reserve sample addresses to make up for any shortfalls.

The Field and Research teams are only able to make effective decisions if they have these details to hand; the project cannot be managed effectively without this crucial information. We cannot stress enough the importance to the success of the project, of interviewers completing this every day.
7.2 Using the E-Progress programme

To access the E-Progress programme, rather than going into the main questionnaire open EB35314 (for the briefing) and E35314 (for the main survey).

The programme will take you through several screens to complete the progress update for any particular address as follows:

Once you have entered the reference number, the address of the property will be displayed. Please check that the details are correct and select the appropriate option. If the reference number you have entered is incorrect you will be taken to the screen where you can change the reference number.

You will then be asked to confirm the date of contact, again please choose the appropriate option and amend the date if necessary.

Once the data has been accepted as correct you will be asked whether the current outcome is a ‘final outcome’ or ‘non-final outcome’. If you say your outcome is non-final, you’ll be taken to a list of three non-final outcome codes. If you say your outcome is final, you’ll be taken to the final outcome code list, which corresponds to the outcome code list in the contact sheet. Once a final outcome has been achieved, please select the correct outcome for the address.

The final screen asks you to select in which time bracket the call at the address was made. Again, select the appropriate box and then continue. Once this is complete, the e-progress for that address will be completed.

7.3 Fieldwork monitoring

Please keep your Regional Co-ordinator informed of your progress. It is vital that you contact your Regional Co-ordinator if you are having difficulties with the addresses you have been allocated in your area.

If you have any problems at all whilst out in field, please contact your Region Coordinator in the first instance. Otherwise, please call Amrit Takhar (Field Executive) on 0207 347 3300 or Julia Kite (Research Executive) on 0207 347 3152.

If you have problems with your CAPI machine, then please contact the CAPI helpline directly on 0806 238 5330.

Many thanks for your involvement with this important project, and good luck.

Juliet Brown, Patsy Lam and Julia Kite

Ipsos MORI Social Research Institute
Specific comments on the questionnaire

The questionnaire is relatively straightforward and should be easy to follow on CAPI. However, before starting work, it is very important that you are familiar with the questionnaire. Please make sure you have run through the questionnaire and are comfortable with how it works. For your information a paper copy has been provided.

The questionnaire consists of the following sections:

Section 1 Consent
Section 2 ESA Claim
Section 3 Appeals
Section 4 Most recent employment
Section 5 Health – general health, health conditions, etc.
Section 6 More detailed health history
Section 7 Treatment and management of health conditions
Section 8 Longer-term employment history and aspirations
Section 9 Awareness and initial views
Section 10 Initial claim process
Section 11 The medical process
Section 12 Seeing the Pathways adviser
Section 13 Education, skills and training
Section 14 Demographics

The average interview length is around 45 minutes. The questionnaire is heavily routed so you may not need to ask questions from every section to every interviewee.

General points

Detailed instructions for some sections/questions are outlined below, but you should also note the following general points:

- It is important that the respondents give considered responses that are as accurate as possible. It’s therefore important that respondents keep up concentration levels during the interview. You can help this through speaking clearly and slowly during the read-out sections, and using a tone of voice that keeps their interest up. This is especially important when working with interviewees who have learning disabilities or mental health conditions that may impair their concentration.

- If the respondent needs a proxy interview, or has some proxy assistance throughout, please code this at the beginning and end of the interview.

- Although the questionnaire introduction and question wording refers to Employment and Support Allowance (ESA), some people will refer to it as Sickness Benefit or another name. Please use the term most relevant to the respondent to avoid confusion.

- There is a fair amount of routing. Please familiarise yourself with the script before you begin interviewing. We have also included a paper copy of the questionnaire for you to familiarise yourself with it.

- As always, it is vital that you stick to the precise wordings given for all questions and do not prompt or rephrase anything. (However, there are specific instructions at a couple of questions where prompting is appropriate.) This is vital for ensuring consistency between interviews, and with
previous surveys we are using as benchmarks. If the respondent does not understand a particular phrase or word, you can repeat the wording again, but you must not explain it to them in any other way. If the respondent still doesn't understand, code "don't know."

- We have allowed all questions to be coded as refused, so please use this where respondents are unhappy to provide an answer.

- Some questions are unprompted, but we have provided pre-coded lists. These are designed to be comprehensive, so are detailed; please make sure you are familiar with them before you start work. If there is no appropriate code, please code ‘other’ and write in fully.

- Any 'other specify' questions need to be fully probed and entered in as much detail as possible.

- Many of the questions have showcards; their use is mentioned in the script. You will have either a normal or reverse pack of showcards and you will be prompted at the start of the script to code which set you are using. There are two sets of showcards, running from A to BBB.

- Please be aware of the “do not read out” questions, as we want top of mind responses. If something is mentioned which is not listed, please probe fully and write in.

- We have included soft checks for questions requesting amounts. If a higher than expected amount is given by the respondent you will be prompted to confirm this is correct. If it has been entered wrongly you will be able to return to the relevant screen and change it or continue if it is correct.

- Where we are asking for dates, please accept estimates if necessary, and then code this accordingly.

- For all questions asking for years, please enter four digits.

- Depending on the respondent's circumstances, you may have a very long interview. If the respondent appears tired, you may offer to take a short break.
Specific questions

SECTION 1: CONSENT

“Don’t know” or refusals are not allowed. If the respondent does not consent to be interviewed, do not proceed. **In order for the interview to take place we must have a signature on the consent form or definite verbal consent from the named respondents.**

SECTION 2: ESA CLAIM

This section asks about the background to making an ESA claim.

Q4 We can only interview people who have ever made a claim. It is OK if the respondent withdrew his or her claim later on, or that the claim is unsuccessful – they are still eligible for the interview.

Q4a If the respondent insists that a claim has definitely not been made on the specified date or another date, you must terminate the interview.

Q5 It is possible respondents might have made another claim after the specified date, or that they have made a claim on a date other than the date we have in the record. In that case, please record the month in which their latest claim has been made. The rest of the interview will refer to their latest claim.

Q8 Please take care in coding this question, and make sure respondents choose the option under the correct sub-heading (e.g. employed, self-employed, others), as many subsequent questions are routed off this question.

Q8 Some respondents may fall into more than one category, such as looking after children (M), and caring for someone who is sick (N). Please use your discretion to decide which is the main activity of the respondent. “Off sick but not getting normal pay or sick pay” relates to individuals who for whatever reason are not entitled to any pay while off sick.

Q9 The purpose of this question is to identify whether or not the respondent has received a decision on their claim, and if so, what that decision was. Please read the background section to familiarise yourself with the process.

Q9a and b These are here to double check whether respondents ever received ESA and are receiving it at the time of the interview. Much of the routing for the questionnaire is based on this question, so please ensure you code this correctly.

SECTION 3: APPEALS

These questions ask about the appeals process and will only apply to respondents who are in the ‘Work Related Activity Group’ or ‘Fit for Work’ group.

QAPP5b Please refer to Appendix C for the definition of each benefit.

SECTION 4: MOST RECENT EMPLOYMENT

Q14 Please ask the respondent to only choose which BEST describes his or her situation since leaving school or college. They must only choose one option.

Q15 As Q8.

Q16 Some people may refer to occupational sick pay as company sick pay. Please use either as appropriate.

Q17, Q17b and Q18a If respondents cannot recall exact month and year, please probe for best estimate and record accordingly.

Q21 Allow respondents to say that no one helped and they applied for or started it themselves, but this will not be on the showcard. It will be on the script.

Q21B If the respondent started the business, count this as “definitely would not have got job.”
Q25 For agency workers, “jobs” refers to the number of agencies they have actually worked for, not the number of agencies they are signed up with or the number of companies they have worked for under an agency. For example, if a respondent is signed up at Agency A and Agency B, but has only worked at Agency A and through that agency has worked for Company 1, Company 2, and Company 3, then this respondent has had only one job. Probe for best estimate and code accordingly.

Q27E This does not include supervision of children or animals, or work as a security guard or caretaker of a building.

Q27G We are interested in the total number of people working for the whole organisation, not simply at their particular site or office. For example, if the respondent works at Tesco, the total number of people working for that employer would be “1000 or more” even if where they work is only a small store.

Q29 See Q27G

*** Most of the questions in this section will be used for NS-SEC coding, which we will discuss in more detail during the briefing session. It is crucial that you familiarise yourself with the way these questions are asked and record respondents answers as accurately as possible, probing for specific details. We will allow the respondent to define which job is their “main job,” if they have more than one. People may define their ‘main’ job based on the number of hours they work, the amount of money they earn, or other reasons. What matters is their perception and there is no right or wrong answer.

SECTION 5 – GENERAL HEALTH

Q36 We have developed this list from previous surveys, so hopefully it is comprehensive enough to cover most conditions. Please familiarise yourself with the list so you will be able to code respondents answers quickly. Respondents may have more than one condition so please probe fully and code all that apply.

SECTION 6 – MORE DETAILED HEALTH HISTORY

Q37 TO Q40A will be repeated for each condition at Q36. Where the respondent mentions more than one condition at Q36 and can remember which one started first at Q36b, the loop works through each condition in the order in which they occurred. Otherwise, CAPI will take you through each condition in the order it appears at Q36. If the respondent prefers not to say for one or all at Q42, please enter ‘refused one’ or ‘refused all’.

Q37 – ‘From birth’ includes congenital abnormalities and conditions caused by injuries at birth.

Q41 Industrial poisoning should be considered a work-related accident or injury.

SECTION 7 – TREATMENT AND MANAGEMENT OF HEALTH CONDITIONS

Q45 If the respondent is terminally ill and they do not wish to answer this and subsequent questions, please code as “Refused all questions in this section”. This will then skip to Section 8. Please only use this if the respondent requests not to answer these questions, rather than you deciding they are not appropriate.

Q48 If the respondent says “6 months,” use code 4 (“more than 6 months”)

Q51 Because of the sensitive nature of these questions, we have decided to let the respondents answer these by themselves on the laptop. You will have to briefly explain how the CAPI machine works. Please tell them that when Q51a appears, they should hand the laptop back to you. However, if the respondent would prefer you to carry out the interview, then please do so and code this at Q51x.

SECTION 8 – LONGER-TERM EMPLOYMENT HISTORY AND ASPIRATIONS

This section is only asked of respondents who were employees in paid work or on sick pay immediately prior to their ESA claim, and who have at least one condition that affects their ability to do their job.

Q66 Again, if the respondent is terminally ill and they do not wish to answer this and subsequent questions, please code as “Refused all questions in this section”. This will then skip to Section 8. Please only use this if the respondent requests not to answer these questions, rather than you deciding they are not appropriate.

SECTION 9 – AWARENESS AND INITIAL VIEWS
No additional comments.

SECTION 10 – INITIAL CLAIM PROCESS

Q80  This question refers only to their initial claim.

Q84  Please code “one month” as code 2 (“more than one month…”), and “three months” and code 3 (“more than 3 months…”)

Q85  A copy of the ESA50 form (pink) is included in your interviewer pack. Please show it to the respondent to aid recall.

SECTION 11: THE MEDICAL PROCESS

Please note that the Work Capability Assessment (WCA) can be referred to as “a medical assessment.” It is an examination performed by a health professional. It is NOT the same as a Work Focused Health Related Assessment (WFHRA), which is completed on paper and discusses issues relating to the respondent’s feelings about work. The two may have taken place on the same day, but they are different processes.

Q91  This question is related to whether a friend or relative was actually in the room during the WCA, rather than just went with them the location.

Q91a  Please specify whether you are recording minutes or hours.

Q96  Your interviewer pack includes a copy of the Work Focused Health Related Assessment (WFHRA) form. Please show it to the respondent to aid recall.

SECTION 12: SEEING THE PATHWAYS ADVISOR

Q104  Please note this question only refers to whether the respondent has been asked to attend a meeting. The following question, Q105, pertains to whether the respondent has actually attended. If they have an appointment but have yet to attend it, please select “0” at Q105.

SECTION 13: EDUCATION SKILLS AND TRAINING

This is a straightforward section for recording the respondent’s qualifications as well as asking them about their literacy and numeracy.

SECTION 14: EMPLOYMENT FOCUS OF ESA

These questions must not be asked of proxies.

SECTION 15: DEMOGRAPHICS

Q149  This is the second consent form for the interview. Respondents are not required to give consent to have their answers linked to details held by DWP, but it is important that as many respondents as possible do agree. If the respondent is unsure or uneasy, please reassure them that after linking, their name will not be held with the information.
Appendix D – Interviewers’ instructions (wave 2)

Evaluation of Employment and Support Allowance Wave 2
Mainstage Interviewer Instructions

1. INTRODUCTION

Ipsos MORI and the Institute for Employment Studies (IES) have been commissioned by the Department for Work and Pensions (DWP) to find out more about people’s experiences of applying for Employment and Support Allowance (ESA).

ESA is a new benefit which helps people with an illness or disability to return to work, rather than stay on benefits. It was introduced in October 2008 and replaced Incapacity Benefit and Income Support paid on incapacity grounds, for new customers only.

ESA offers personalised support and financial help for customers who are not working due to an illness or disability. Central to ESA is the new medical assessment (Work Capability Assessment or WCA) which examines what the customer can do, rather than what they can’t, and offering personalised support to help the customer return to work.

Between December 2009 and February 2010 we conducted a face-to-face survey with people who had claimed ESA to help the government understand the circumstances leading up to claiming ESA, their reasons for claiming it and their experiences with the process.

DWP now wishes to conduct a follow-up telephone survey around six months after the first interview. Everyone in the sample has agreed to be interviewed again.

It is crucial that we collect data that is robust. As we note below, parts of the questionnaire asks for sensitive information about their health etc – so please reassure respondents, as required, that their responses will not affect their benefits in any way or future dealings with government departments, describing why we are collecting such information and how we will ensure that individuals will not be identified.

2. AIMS OF THIS FOLLOW-UP SURVEY

The follow-up survey aims to find out:

- what people are doing six months after they were initially interviewed face-to-face
- how their health has been, and whether they have they worked or looked for work?
- if no longer/not receiving ESA – what have they been doing? Working, claiming Jobseekers’ Allowance, something else?
- if still receiving ESA – what are their ongoing experiences of receiving ESA?
- additional information by linking survey responses to administrative data.
3. WHO ARE WE INTERVIEWING?

We are interviewing people who took part in the initial survey (they were invited to take part as they had made a claim for ESA between April and June 2009). All respondents in the sample agreed that we could recontact them about taking part in future surveys and provided a contact telephone number. As this survey is a follow-up survey, we are interested in talking to everyone in the sample, even if the respondent has since ceased to claim ESA or their claim was unsuccessful. We are aiming to achieve as many interviews as possible from the leads that we have.

Please be aware that these respondents have claimed benefits at some point due to a disability or health problem. This disability in most cases will not impair their ability to answer the questions, but some respondents may have special needs. Some respondents may wish for a carer to be present or do the interview on their behalf.

We would like to conduct as many interviews as possible via telephone. We will however, be offering respondents with difficulties taking part over the phone, or those who do not wish to take part in a telephone survey, the opportunity to do a face-to-face interview instead. Please do what you can to persuade respondents to take part via phone, and if relevant, offer to call back at a time when a friend/carer/relative is present if they feel more comfortable with this arrangement.

The interview should last around 20 minutes, depending on their circumstances.

4. MAKING CONTACT

Advance letter
Every respondent has been sent an advance letter explaining the purpose of the research. We only have a finite sample (as this is a follow-up survey), so it is imperative that the leads are worked as hard as possible.

It is important to stress that the survey is completely voluntary and confidential, and that the DWP will not see individual answers or indeed know who took part. Neither will taking part in the survey (nor refusing to take part) affect their benefits in any way.

Proxy interviews
Where possible, we would like to conduct the interview with the claimant themselves (as happened in the majority of cases in the initial survey), or in a partial proxy situation if necessary, where the interview is conducted with the claimant and a friend/carer/relative who can provide support and clarification, if needed. In a small number of cases the respondent may be unable to take part themselves – if this is the case, please conduct the interview with a friend/relative/carer if possible. It is important that they answer the questions as closely as possible to how they believe the named respondent would answer, if they were able.

The chart below summarises the different routes that are possible in this survey. Please note that the situation may have changed since the initial interview, so people who had a proxy interview might now be able to do the interview independently. Conversely, those who were interviewed alone might now need some assistance.

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16 If respondents query how we got their contact details for the original survey, please tell them that the Department for Work and Pensions (DWP) provided contact details for the purpose of this research only.
5. ARRANGING FACE-TO-FACE INTERVIEWS

The majority of people should be happy to take part in the survey over the phone. There are likely to be some instances however, where the respondent is not able or is unwilling to take part over the phone. In such cases, please offer the respondent the opportunity to take part in a face-to-face interview (where the interviewer visits them in-home, as happened in the initial survey). In the advance letter, we have offered respondents who have a hearing impairment the option to complete the interview face-to-face.

The CAT1 script allows you to note down which respondents request a F2F interview – along with the reason why they need one, and whether the respondent is happy for us to pass on their telephone number to the F2F interviewer to arrange an appointment. Please also include any comments the respondent gives in the Notes question at the end of the interview, such as whether they require a carer to be present etc. We will then arrange for a F2F interviewer to visit them, although it may not be for several weeks to co-ordinate this.

Please only offer the F2F option to people who either cannot take part in on the phone, or those who would refuse to take part otherwise.

The type of cases where this is likely are:
a) where the respondent may have a hearing impairment that makes it difficult or impossible for them to use the telephone

b) where the respondent may have emotional or learning difficulties and may need some kind of support when answering the questions (likely to have been partial/full proxy interviews previously).

If it is possible to avoid a F2F interview, for example by using a friend/family member as an interpreter in situation a), or by having a friend or family member present during the interview in situation b), this would be preferable to conducting a F2F interview. The most important thing though is that the respondent feels comfortable and able to take part in the interview so please do whatever you are able to ensure that this happens.

Please note that for standard interviews at stage 1 (i.e. not partial/full proxies), unless there is a strong reason, such as a hearing impairment, we would rather not offer a F2F option. If you come across (non-proxy) respondents who are able to take part over the phone but would simply prefer to do a F2F interview, please do what you can to convince them to take part over the telephone. The interview is a lot shorter and simpler this time so we would rather not send F2F interviewers out unless absolutely necessary. If these respondents are really set on doing a F2F interview, the line to take is “we're only really offering the telephone interview this time so if you can take part over the phone that would be great. It might be possible to get a F2F interviewer to visit you but we’d need to get back to you about that in a few days”. Please code accordingly (and enter reasons why want F2F interview). We will then see if any other F2F interviews are being conducted in the area to see if we can meet this request.

Main stage F2F fieldwork will be taking place towards the end of August and until the end of September. If the respondent asks, it is unlikely that it will be the same interviewer as before, but all of our interviewers carry ID so they will be able to check the authenticity of the interviewer.

General queries
If respondents ask where they can get help with a specific benefit claim or more general advice, please provide them with the Jobcentre Plus helpline number (0800 055 6688, people with textphone can dial 0800 023 4888). Alternatively, direct them to their local Jobcentre Plus office.

6. THE QUESTIONNAIRE
General comments:
Detailed instructions for some sections/questions are outlined below, but you should also note the following general points.

- It is important that the respondents give considered responses that are as accurate as possible. It’s therefore important that respondents keep up concentration levels during the interview. You can help this through speaking clearly and slowly during the read-out sections, and using a tone of voice that keeps their interest up. This is especially important when working with interviewees who have learning disabilities or mental health conditions that may impair their concentration.

- If the respondent needs a proxy interview, or has some proxy assistance throughout, please code this at the beginning and end of the interview.

- Although the questionnaire introduction and question wording refers to Employment and Support Allowance (ESA), some people will refer to it as Sickness Benefit or another name. Please use the term most relevant to the respondent to avoid confusion.

- There is a fair amount of routing. Please familiarise yourself with the script before you begin interviewing. We have also included a paper copy of the questionnaire for you to familiarise yourself with it.

- As always, it is vital that you stick to the precise wordings given for all questions and do not prompt or rephrase anything. (However, there are specific instructions at a couple of questions where prompting is appropriate.) This is vital for ensuring consistency between interviews, and with previous surveys we are using as benchmarks. If the respondent does not understand a particular phrase or word, you can repeat the wording again, but you must not explain it to them in any other way. If the respondent still doesn't understand, code “don't know.”

- We have allowed all questions to be coded as refused, so please use this where respondents are unhappy to provide an answer.
Some questions are unprompted, but we have provided pre-coded lists. These are designed to be comprehensive, so are detailed; please make sure you are familiar with them before you start work. If there is no appropriate code, please code ‘other’ and write in fully.

Any ‘other specify’ questions need to be fully probed and entered in as much detail as possible.

Some of the questions have showcards so it’s easier for you to locate the right code; their use is mentioned in the script. Showcards run from A to G.

Please be aware of the “do not read out” questions, as we want top of mind responses. If something is mentioned which is not listed, please probe fully and write in.

We have included soft checks for questions requesting amounts. If a higher than expected amount is given by the respondent you will be prompted to confirm this is correct. If it has been entered wrongly you will be able to return to the relevant screen and change it or continue if it is correct.

Where we are asking for dates, please accept estimates if necessary, and then code this accordingly.

For all questions asking for years, please enter four digits.

Depending on the respondent’s circumstances, you may have a very long interview. If the respondent appears tired, you may offer to take a short break.

Specific comments:

The questionnaire consists of the following sections:

Section 1 Introduction
Section 2 Consent
Section 3 ESA Claim Status
Section 4 Health status and expectations
Section 5 Employment since last interview
Section 6 ESA claim experiences
Section 7 JSA claim experiences
Section 8 Demographics
Section 9 Consent to data linking
Section 10 Re-contact consent

The average interview length is about 20 minutes. The questionnaire is heavily routed so you may not need to ask questions from every section to every interviewee.

SECTION 1: INTRODUCTION

F2F This question is for you record whether or not respondents require a face-to-face interview.

F2F2 Please try to capture as much information here as possible for the face-to-face interviewers, e.g. the type of health condition/disability respondents have, the type of need they require, the best date/time to interview them etc. Please do not, however, make an appointment or say that someone will visit them very soon, as it will take a few weeks to arrange a face-to-face visit.

SECTION 2: CONSENT

CONS “Don’t know” or refusals are not allowed. If the respondent does not consent to be interviewed, do not proceed. In order for the interview to take place we must have a signature on the consent form or definite verbal consent from the named respondents.
SECTION 3: ESA CLAIM STATUS

ESANOW  We are interviewing people who have ever made a claim. It is OK if the respondent withdrew his or her claim later on, or that the claim is unsuccessful – they are still eligible for the interview.

EVERHAD  Please note that the face-to-face medical assessment can also be referred to as a Work Capability Assessment (WCA). It is an examination performed by a health professional. It is NOT the same as a Work Focused Health Related Assessment (WFHRA), which is completed on paper and discusses issues relating to the respondent’s feelings about work. The two may have taken place on the same day, but they are different processes.

RECDFIN  If the respondent is appealing against a decision and has not had a result yet, they have not had a final decision on their current claim - answer ‘NO’ to this question.

PREVCLA  Respondents who have received a decision that they are Fit for Work are those who are disallowed ESA because they are not assessed as having some capability for work, even if they have a health condition and/or disability.

WHYNOWC  People in the Support Group are those who are so severely ill or disabled that it would not be reasonable to require them to engage in work related activity.

OLDDECI  People who are in the Work-Related Activity Group are those who are deemed to have some capability for work if the right help is offered to them. They are required to attend up to six meetings with an employment advisor at Jobcentre Plus or another organisation. They are still entitled to ESA (both while they are attending the meetings and after).

ESAPROSP  If the respondent is terminally ill and they do not wish to answer this question, please code as “Refused”. Please only use this if the respondent requests not to answer these questions, rather than you deciding they are not appropriate.

NWITHDR, FTAWCAN, WHYSTOP, DKWITHD, FTAWCAD  Please capture as much information as possible for these open-ended questions, as they are crucial in helping DWP understand why people withdraw their claim or fail to attending their medical assessment.

BENSTILL, BENANY, MULTIBE  At wave 1, we asked respondents which benefit(s) they were receiving on top of ESA. We want to find out how things have changed since then. We do this by firstly asking them whether they are still receiving the same benefit(s), and whether they are receiving any additional ones (BENOTHE, OTHERBE, WHICHBE). If they disagree with their answers at wave 1 (which is possible because of interviewer errors or recall errors), please choose ‘Disagree with answers at wave 1’, which will take you to two questions – the first asking about their status at wave 1 (BENEFIT1) and their second asking about their status now (BENEFIT2).

SECTION 4: HEALTH STATUS AND EXPECTATIONS

HEACHNG, HEALTHS  At wave 1, we asked respondents which health conditions they were having, and we want to find out which condition they are having six months later. Similar to the benefit questions, we’ll be checking with them whether they are having the same conditions as wave 1, and whether they are having any extra conditions (HEALTHN, HNEWCON). If they disagree with their answers at wave 1 (which is possible because of interviewer errors or recall errors), please choose ‘Disagree with answers at wave 1’, which will take you to CHANGEH1 and CHANGEH2.

HNEWCON, CHANGEH1, CHANGEH2  At these questions, you will need to record which health conditions/disability respondent have. We have developed the answer list from previous surveys, so hopefully it is comprehensive enough to cover most conditions. Please familiarise yourself with the list so you will be able to code respondents answers quickly. Respondents may have more than one condition so please probe fully and code all that apply.

HMAIN  By ‘main health condition’ we mean the condition which causes the respondent the most difficulty.
FUTHEAL  Again, if the respondent is terminally ill and they do not wish to answer this question, please code as “Refused”. Please only use this if the respondent requests not to answer these questions, rather than you deciding they are not appropriate.

TREATNO  If respondent’s condition is currently undergoing investigation or if they are still receiving tests code ‘Yes’ at. The type of treatment that the respondent is receiving will be coded at the next question (TREATRE).

TREATIM  For respondents who are receiving more than one treatment we are interested in how they think their health condition will improve as a result of all of their treatments combined.

RETREAT  If respondent says “6 months” use code 4 (“6 months or more”)

TREATCH  Again, for respondents who are receiving more than one treatment we are interested in how they think their health condition will improve as a result of all of their treatments combined.

SECTION 5: EMPLOYMENT SINCE LAST INTERVIEW

YJOBEND  Some respondents may fall into more than one category, such as became pregnant, and felt forced to leave. Please use your discretion to decide which is the main reason.

EMGCHG  We are checking whether respondents’ employment situation has changed since wave 1. By employment situation, we mean whether they are working or not working. If they were working full-time at wave 1 and are still working full-time when you speak to them, but they have changed jobs in between, their employment situation has NOT changed. If they disagree with their answer at wave 1, please choose ‘Disagree with wave 1 answer’, which will take you to AMEND1 and AMEND2.

EMPNOW  If respondents’ employment situation has changed, we want to find out what their employment situation is now. Some respondents may fall into more than one category, such as looking after children, and caring for someone who is sick. Please use your discretion to decide which is the main activity of the respondent. “Employed by an employer and off sick but not getting normal pay or sick pay” relates to individuals who for whatever reason are not entitled to any pay while off sick.

PWASURE  Permitted work is the paid work claimant is allowed to do while on benefits. When claiming ESA, a person can do a maximum of 16 hours of paid work and earn a maximum of £93 each week.

EMPSIZE  We are interested in the total number of people working for the whole organisation, not simply at their particular site or office. For example, if the respondent works at Tesco, the total number of people working for that employer would be “1000 or more” even if where they work is only a small store.

OCCUPA  This occupation group list is designed by the Office of National Statistics. Please make sure that you read it in full to respondents so they can choose the category that best fits their situation.

WORKORI  Some respondents may find this question too sensitive. Please explain that it is a list commonly used in government surveys to gauge people’s attitudes to work.

SECTION 6: ESA CLAIM EXPERIENCES

In this section, we want to find out respondents’ experience with claiming ESA. Please make sure that you read the section on the ESA claim process above carefully so you are familiar with the jargons and the process.

WFHRASI  A Work-Focused Health-Related Assessment is a broader discussion of how respondent’s health affects their daily life and their ability to work, and the types of support that might help. It is carried out by a doctor, nurse, or physiotherapist.

SECTION 7: JSA CLAIM EXPERIENCES
No additional comments.

SECTION 8: DEMOGRAPHICS

DEMCHNG We want to find out whether there’re any significant changes in respondents’ household circumstances. Please read out the list to respondents as their understanding of what constitute ‘significant’ changes may vary.

TEMPCHG, TEMPNOW We want to check if their partners’ employment situation has changed since wave 1. If they disagree with their answers at wave 1, please choose ‘Disagree with wave 1 answer’.

SECTION 9: CONSENT TO LINKING DATA

LINKCON Respondents are not required to give consent to have their answers linked to details held by DWP, but it is important that as many respondents as possible do agree. If the respondent is unsure or uneasy, please ensure them that after linking, their name will not be held with the information. Only respondents who gave consent wave 1 will be asked this question.
## Appendix C – Glossary

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Child Benefit (including Lone-Parent Person’s Tax Credit)</strong></td>
<td>Child Benefit is a tax-free payment that parents can claim for their child. It is usually paid every four weeks but in some cases can be paid weekly, and there are separate rates for each child. The payment can be claimed by anyone who qualifies, whatever their income or savings.</td>
</tr>
<tr>
<td><strong>Child Tax Credit and Working Tax Credit (including Disabled Person’s Tax Credit)</strong></td>
<td>Tax credits are payments from HMRC. If a person is responsible for at least one child or young person in the same household, they may qualify for Child Tax Credit. If they work, but earn low wages, they may qualify for Working Tax Credit.</td>
</tr>
<tr>
<td><strong>Crisis Loan</strong></td>
<td>This is a tax-free loan from something people need at once in an emergency or because of a disaster. Applicant needs to prove that the help they need is not available from anywhere else and is the only way to stop serious damage or risk to you or your family’s health and safety. They do not need to be a benefit claimant to be entitled to the loan. No interest is charged but applicants do have to pay the loan back.</td>
</tr>
<tr>
<td><strong>Disallowed</strong></td>
<td>When a claim for ESA is not approved following assessment.</td>
</tr>
<tr>
<td><strong>Employment and Support Allowance</strong></td>
<td>Employment and Support Allowance replaced Incapacity Benefit and Income Support, paid because of an illness or disability, for new claims from 27 October 2008. Please refer to the background section for more information on ESA.</td>
</tr>
<tr>
<td><strong>Fit for work</strong></td>
<td>People who are disallowed ESA because they are not assessed as having limited capability for work, even if they have some health condition or disability.</td>
</tr>
<tr>
<td><strong>Healthcare professional</strong></td>
<td>A registered medical practitioner (including doctors, nurses and other professionals) who conducts examinations of claimants to allow the Secretary of State for Work and Pensions to make decision on the work capability assessment.</td>
</tr>
<tr>
<td><strong>Housing Benefit/ Rent Rebate or Allowance/ Council Tax Benefit</strong></td>
<td>Local authorities help low-income households with part of their rent or Council Tax through Housing Benefit and Council Tax Benefit. Although these households need to be earning a low income, they do not necessarily need to in receipt of any other benefits.</td>
</tr>
<tr>
<td><strong>Incapacity Benefit</strong></td>
<td>This is a type of benefits for those who are too sick or disabled to work. It is replaced by ESA for new claimants from October 2009.</td>
</tr>
<tr>
<td><strong>Income Support</strong></td>
<td>This is extra money to help people on a low income and who are sick/disabled, a lone parent responsible for a child under 12 years of age, a carer, or registered blind. It is for people who don’t have to sign on as unemployed. From 27 October 2008, Income Support paid because of an illness or disability has been replaced by ESA for new claimants.</td>
</tr>
<tr>
<td><strong>Jobseeker’s allowance</strong></td>
<td>It is for someone who is available for and actively seeking work, between 18 and State Pension age and working less than 16 hours per week on average. There are two types of Jobseeker’s Allowance, ‘contribution-based Jobseeker's Allowance’ and ‘income-based Jobseeker's Allowance’. Contribution-based Jobseeker’s Allowance is based on how much National Insurance someone has paid in the last two tax years. Income-based Jobseeker's Allowance is based on their income and savings.</td>
</tr>
<tr>
<td><strong>Maternity Allowance</strong></td>
<td>Maternity Allowance may be available to help women who are not entitled to Statutory Material Pay from any employment take time off to have their baby. They must also have been a registered self-employed person or have been employed in at least 26 weeks out of the 66 week period running into the week before the week their baby is due.</td>
</tr>
<tr>
<td>------------------------</td>
<td>-------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Permitted work</strong></td>
<td>The paid work claimant is allowed to do while on benefits. When claiming ESA, a person can do a maximum of 16 hours of paid work and earn a maximum of £93 each week</td>
</tr>
<tr>
<td><strong>Return to Work Credit</strong></td>
<td>Return to Work Credit is a fixed tax-free payment of £40 per week for people that have, or have had, a health condition or disability. They need to have been in receipt of a relevant benefit before starting work of at least 16 hours per week.</td>
</tr>
<tr>
<td><strong>Special Rules</strong></td>
<td>Rules that allow people who are not expected to live longer than six months because of terminal illness to be paid ESA without attending a medical assessment. In such cases, people are placed in the Support Group and paid the maximum rate of ESA from the start of their claim.</td>
</tr>
<tr>
<td><strong>Support Group</strong></td>
<td>Those who so severely ill or disabled that it would not be reasonable to require them to engage in work related activity. People in the Support Group are paid the highest rate of ESA.</td>
</tr>
<tr>
<td><strong>Work Capability Assessment - WCA</strong></td>
<td>An assessment of whether an individual has limited capability for work or work-related activity. At a medical assessment, a healthcare professional assesses the claimants’ physical functioning and how they cope with day-to-day activities like shopping or cooking. This may involve some simple physical tests, such as stretches, but is mostly assessed by an interview.</td>
</tr>
<tr>
<td><strong>Work Focused Interview – WFI</strong></td>
<td>An interview to assess a claimants work prospects, to identify training and other activities that would improve these prospects, and to identify possible work opportunities.</td>
</tr>
<tr>
<td><strong>Work-Focused Health related Assessment – WFHRA</strong></td>
<td>An assessment by a healthcare professional of the health-related support that someone needs to improve their capacity for work.</td>
</tr>
<tr>
<td><strong>Work-related activity</strong></td>
<td>Activity that makes it more likely that a claimant will obtain or remain in work.</td>
</tr>
<tr>
<td><strong>Work-Related Activity Group</strong></td>
<td>Those receiving ESA who, following assessment, are required to take part in: - Work-Focused Health-Related Assessment - Work-Focused Interviews - Work-related activity, if required, People who do not meet these conditions may have their ESA payments reduced.</td>
</tr>
</tbody>
</table>
Appendix E– Questionnaire (wave 1)

INTRODUCTION FOR CONTACT SHEET:
Thank you very much for agreeing to take part in this survey.
I would like to assure you that all the information we collect will be kept in the strictest confidence, and used for research purposes only. It will not be possible to identify any particular individual in the results without their permission and nor will it affect any claims for benefit that you make now or in the future.

Section 1: Consent etc

Q1 ASK ALL

INTERVIEWER PASS CONSENT FORM TO RESPONDENT (PAGE 3 OF THE CONTACT SHEET)

We need to show DWP that we have asked you for your permission to be part of this research.
Can I ask you to sign this form to confirm that you have agreed to be interviewed and understand that taking part is voluntary? Also, remember that taking part will NOT affect any claims for benefits now or in the future.

- Consent given and form signed
- Verbal consent but form not signed
- No consent given
- (Don’t know and refusals not allowed)

IF NO CONSENT INTERVIEWER CLOSE INTERVIEW.

OTHERS

INTERVIEWER PLEASE COLLECT CONSENT FORM FROM RESPONDENT.

PROXY. INTERVIEWER PLEASE CODE IF FULL OR PARTIAL PROXY INTERVIEW:

- YES – PARTIAL (WILL REQUIRE HELP ANSWERING SOME QUESTIONS)
- YES – FULL (WILL REQUIRE HELP ANSWERING ALL QUESTIONS)
- NO – NOT PROXY INTERVIEW (WILL NOT REQUIRE ANY HELP WITH ANSWERING QUESTIONS)

Section 2: ESA claim (Wave one all)

ASK ALL

Q4 According to DWP records, you have applied for a benefit related to sickness on [INSERT DATE FROM SAMPLE]. Its official name is Employment and Support Allowance (ESA), but some people call it Sickness Benefit.
Can I confirm that you made a claim around this time, even if you’re no longer claiming it or you withdrew your claim later on? SINGLE CODE ONLY

- Yes, I made a claim around this time
Yes, I made a claim but it was on a different date (GO TO Q5)
No, I’ve never made a claim
Don’t know/can’t remember

IF Q4 = NO/DK
Q4a INTERVIEWER TO DOUBLECHECK WITH RESPONDENT WHETHER A CLAIM HAS DEFINITELY NOT BEEN MADE, AS THIS MEANS THAT THE INTERVIEW WILL BE TERMINATED. RESPONDENTS WILL STILL BE ELIGIBLE FOR THE INTERVIEW EVEN IF THE CLAIM WAS NOT SUCCESSFUL OR HAS ALREADY BEEN WITHDRAWN.

A claim has been made [GO TO Q5]
No claim has been made [TERMINATE INTERVIEW]

ASK IF Q4=2 OR Q4A=1
Q5 In what month did you most recently make a claim for Employment and Support Allowance? SINGLE CODE ONLY

January
February
March
April
May
June
July
August
September
October
November
December
Don’t know/can’t remember
Refused
Code if estimate
ASK ALL
Q6. Was this your first ever claim for a Sickness Benefit or had you claimed another sickness benefit, such as Incapacity Benefit (IB) on a previous occasion? SINGLE CODE ONLY
IF HAD PREVIOUSLY CLAIMED: Was that Incapacity Benefit or some other sickness benefit?

- 1. First ever claim
- 2. Had previously claimed Incapacity Benefit
- 3. Had previously claimed some other sickness benefit
- Don’t know
- Refused

ASK IF HAD CLAIMED ON A PREVIOUS OCCASION, (Q6 = 2 or 3), OTHERS TO Q8
Q7. In the last two years, how many times did you claim a sickness benefit before [INSERT MONTH FROM SAMPLE OR Q5/ IF DK/REFUSED AT Q5 INSERT “your recent claim”]? 

- No other claims in the last 2 years
- One claim
- Two claims
- Three claims
- Four or more claims
- Don’t know/ can’t remember
- Refused
ASK ALL

Q8 [SHOWCARD A] Which one of the situations on this card best describes your employment situation IMMEDIATELY BEFORE [your claim in INSERT MONTH FROM SAMPLE OR Q5/ IF DON'T KNOW/REFUSED AT Q5 INSERT “your most recent claim”]? SINGLE CODE ONLY

**EMPLOYED BY AN EMPLOYER AND:**

A. In work  
B. Off sick and getting paid as normal  
C. Off sick and getting sick pay (less than normal pay)  
D. Off sick but not getting normal pay or sick pay

**SELF-EMPLOYED AND:**

E. Working  
F. Not working due to sickness

**SICK IN SOME WAY:**

G. Temporarily sick or injured – no job to return to  
H. Permanently off work because of sickness or disability

**NOT WORKING BUT ACTIVELY SEEKING WORK:**

I. Waiting to take up a definite job offer, but not started yet  
J. Unemployed and looking for work

**SOMETHING ELSE**

K. In training or education  
L. On a government scheme  
M. Looking after children or the home  
N. Caring for someone who is frail, sick or disabled  
O. Retired  
P. Not in work for some other reason
ASK ALL

Q9 [SHOWCARD B] Can you tell me, what is your current situation regarding ESA? SINGLE CODE ONLY

INTERVIEWER NOTE: THE AIM IS TO IDENTIFY WHETHER OR NOT THE RESPONDENT HAS RECEIVED A DECISION ON THEIR CLAIM AND IF SO, WHAT THAT DECISION WAS.

INTERVIEWER NOTE: IF IT BECOMES APPARENT THAT THE RESPONDENT IS TERMINALLY ILL, PLEASE CHECK WHETHER THEY ARE WILLING TO CONTINUE THE INTERVIEW.

IF THEY DON'T WANT TO CONTINUE PLEASE ABANDON INTERVIEW HERE AND CODE THIS ON THE CONTACT SHEET.

IF THEY DO, PLEASE REASSURE THEM THAT THEY CAN SKIP OVER ANY OF THE QUESTIONS THEY FEEL UNABLE/UNWILLING TO ANSWER. IF THIS IS THE CASE, PLEASE CODE REFUSED WHERE NECESSARY.

A. I am receiving ESA, and have not yet had a medical assessment (this is also called a Work Capability Assessment - WCA)

B. I am receiving ESA, and am not required to have a medical assessment

C. I am receiving ESA, and following my medical assessment I am/was required to meet with an adviser to help me look for work (Work Related Activity Group)

D. I am or was receiving ESA, but after a medical assessment had a decision that I was fit to work and not entitled to ESA

E. I am receiving ESA, and following my medical assessment had a decision I am not required to meet with an adviser (Support Group)

F. I was receiving ESA, but now I am (back) at work

G. I withdrew my claim

H. My claim was closed as I did not reply to letters

I. My claim was closed as I did not attend a medical assessment

J. My claim was closed for another reason

■ Other (Specify)

■ Don't know/Can't remember
ASK ALL

Q9b Just to be clear, are you currently receiving ESA?

| Yes | No |

ASK IF NO AT Q9b

Q9a Can I just check, did you ever receive ESA?

| Yes | No |

ASK WITHDREW CLAIM GROUP (Q9 = Code 7) ONLY

Q10 Could you explain to me in your own words, why you withdrew your claim?

| OPEN ENDED QUESTION | Don’t know | Refused |

ASK CLAIM CLOSED FOR NON-REPLY OR NON-ATTENDANCE (Q9 = Codes 8 or 9)

Q11 Could you explain in your own words why you didn’t [reply to letters/attend the medical – TEXT SUB BASED ON ANSWER AT Q9]?

| OPEN ENDED QUESTION | Don’t know | Refused |
ASK CLAIM CLOSED FOR NON-REPLY OR NON-ATTENDANCE (Q9 = Codes 8 or 9)

Q11a Were you aware that your claim would be closed if you did not [reply/attend – TEXT SUB BASED ON ANSWER AT Q9]?

- Yes
- No
- Don’t know/can’t remember
- Refused

Section 3: Appeals (Wave oneESA evaluation)

ASK IF IN WRAG OR NOT ENTITLED TO ESA (CODES 3 OR 4 AT Q9) – OTHERS TO Q14

QAPP1 You mentioned that you are [required to meet with an advisor (Q9 = 3)/considered to be fit for work (Q9 = 4)], have you appealed against this decision?

- Yes
- No
- Don’t know/can’t remember

ASK IF APPEALED AGAINST THE DECISION (QAPP1 = 1)

QAPP2 Has your appeal been decided yet?

- Yes
- No
- I withdrew my appeal before receiving a decision
- Don’t know/can’t remember
ASK ALL WHO HAVE APPEALED (QAPP1 = 1)

QAPP4 Did anyone help you to appeal?

- Yes
- No
- Don’t know/can’t remember

ASK IF SOMEONE HELPED THEM TO APPEAL (QAPP4 = 1)

QAPP4a Who helped you? DO NOT READ OUT

- Jobcentre Plus/provider adviser
- Friend or relative
- Citizens Advice Bureau or advice centre
- Doctor or other health professional
- Other [specify]
- Don’t know/can’t remember

ASK ALL WHO HAVE RECEIVED A DECISION (QAPP2 = 1)

QAPP5 What was the decision of your appeal? Was the original decision… READ OUT

- Upheld (i.e. appeal was unsuccessful)
- Or, overturned (i.e. appeal was successful)
- Other (Specify) (DO NOT READ OUT)
- Don’t know/can’t remember (DO NOT READ OUT)
- Refused (DO NOT READ OUT)
ASK ALL WHOSE ORIGINAL DECISION WAS OVERTURNED (QAPP5 = 2)

QAPP5x Following your appeal, were you asked to meet with a personal adviser to discuss getting back to work?

- Yes
- No
- Don’t know

ASK ALL FOR WORK (Q9 = 4 OR QAPP5 CODES 1, 3, 4 OR 5)

QAPP5a After you received the final outcome of your claim, did you claim another benefit?

- Yes
- No
- Don’t know

ASK IF CLAIMED ANOTHER BENEFIT (QAPP5a = 1)

QAPP5b [SHOWCARD C] Which benefit was this? MULTICODE OK

SHOWCARD

A. Income Support
B. Job Seeker's Allowance
C. Return to Work Credit
D. Child Benefit (including Lone-Parent Child Benefit payments)
E. Child Tax Credit
F. Working Tax Credit (including Disabled Person's Tax Credit)
G. Maternity Allowance
H. Housing Benefit / Rent Rebate or Allowance
I. Council Tax Benefit
J. Any other state benefit, allowance or credit

None of these (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)
Don’t know (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)
ASK IF CLAIMED ANOTHER BENEFIT (QAPP5a = 1)

QAPP5c [SHOWCARD D] How long after the final outcome of your most recent ESA claim did you claim this other benefit? SINGLE CODE ONLY

- less than a month
- 1 month but less than 3 months
- 3 months but less than 6 months
- 6 months or more
- Don’t know/can’t remember

ASK ALL CURRENTLY GETTING ESA (Q9b = 1)

Q12 [SHOWCARD D AGAIN] How long have you been getting ESA?

- less than a month
- 1 month but less than 3 months
- 3 months but less than 6 months
- 6 months or more
- Don’t know/Can’t remember

ASK ALL WHO USED TO GET ESA (Q9a = 1)

Q13 [SHOWCARD D AGAIN] How long did you get ESA for, before it stopped?

- never received benefit (DO NOT INCLUDE ON SHOWCARD)
- less than a month
- 1 month but less than 3 months
- 3 months but less than 6 months
- 6 months or more
- Don’t know/can’t remember

ASK THOSE NOT CURRENTLY RECEIVING ESA (Q9b = 2)

Q13a Are you currently getting Jobseekers’ Allowance?

■ Yes
■ No
■ Don’t know
■ refused

Section 4: Most recent employment (Wave one all)
ASK ALL

Q14 [SHOWCARD E] Thinking of the whole period since you left school or college, which one of the descriptions on this card best describes your overall employment situation? SINGLE CODE ONLY

A. Spent most of working life as an employee in steady jobs
B. Spent most of working life self-employed
C. Have mainly done casual, freelance or short-term work
D. Have spent a lot of time out of work because of sickness or injury
E. Have spent a lot of my adult life looking after family or the home
F. Have spent more time unemployed than in work
G. Have never really had paid employment

■ None of these apply
■ Don’t know
■ Refused

ASK THOSE WITH SIGNIFICANT PERIODS NOT WORKING (Q14=4 TO 10 )

Q14a : Can I just check, have you ever done paid work for more than a year or so ?

1. Yes............
2. No.............
Q15 [SHOWCARD F] And which one of the situations on this card best describes your employment situation last week. Please just read out the letter that applies SINGLE CODE ONLY

<table>
<thead>
<tr>
<th>EMPLOYED BY AN EMPLOYER AND:</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. In work</td>
</tr>
<tr>
<td>B. Off sick and getting paid as normal</td>
</tr>
<tr>
<td>C. Off sick and getting sick pay (less than normal pay)</td>
</tr>
<tr>
<td>D. Off sick but not getting normal pay or sick pay</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SELF-EMPLOYED AND:</th>
</tr>
</thead>
<tbody>
<tr>
<td>E. Working</td>
</tr>
<tr>
<td>F. Not working due to sickness</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SICK IN SOME WAY:</th>
</tr>
</thead>
<tbody>
<tr>
<td>G. Temporarily sick or injured – no job to return to</td>
</tr>
<tr>
<td>H. Permanently off work because of sickness or disability</td>
</tr>
</tbody>
</table>

<table>
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<tr>
<th>NOT WORKING BUT ACTIVELY SEEKING WORK:</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Waiting to take up a definite job offer, but not started yet</td>
</tr>
<tr>
<td>J. Unemployed and looking for work</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SOMETHING ELSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>K. In training or education</td>
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<td>L. On a government scheme</td>
</tr>
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<td>M. Looking after children or the home</td>
</tr>
<tr>
<td>N. Caring for someone who is frail, sick or disabled</td>
</tr>
<tr>
<td>O. Retired</td>
</tr>
<tr>
<td>P. Not in work for some other reason</td>
</tr>
</tbody>
</table>
SOFT CHECK: IF (Q14 = G AND Q14A = 2) AND (Q15 = 1 TO 6), ASK 'INTERVIEWER PLEASE CHECK ANSWER AT Q15 AS RESPONDENT MENTIONED S/HE HAS NEVER HAD ANY PAID EMPLOYMENT AT Q14 AND Q14A.

ASK IF OFF SICK AND GETTING SICK PAY (Q15 = CODE 2 or 3) ELSE GO TO FILTER AT Q18

Q16 Was that occupational sick pay or Statutory Sick Pay? SINGLE CODE ONLY. INTERVIEWER: SOME PEOPLE MAY REFER TO OCCUPATIONAL SICK PAY AS COMPANY SICK PAY. PLEASE USE EITHER AS APPROPRIATE.

- Occupational or company sick pay
- Statutory Sick Pay (£79.15 a week)
- Both
- Don’t know

ASK IF OFF SICK AND GETTING SICK PAY (Q16 = 1 TO 3)

Q17 When did you start to get sick pay? WRITE IN

- [year + month]
- Is this an estimated month? Yes/No
- Is this an estimated year? Yes/No
- Don’t know month
- Don’t know/can’t remember
ASK IF RECALL PROBLEMS RE MONTH/YEAR AT Q17 = 4 TO 5

Q17a. How long were you getting sick pay before claiming ESA? DO NOT READ OUT. PROMPT IF NECESSARY

- Less than a month
- 1 month but less to 3 months
- 3 months but less than 6 months
- 6 months or more
- Don't know/can't remember

ASK IF OFF SICK AND GETTING SICK PAY (Q16 = 1 TO 3)

Q17b. How much sick pay were you receiving immediately after you went off sick?

WRITE IN (SOFT CHECKS ON AMOUNTS HERE)

- Weekly
- Monthly
- Code if estimate
- Don't know/can't remember

ASK Q18 IF NOT IN WORK AND GETTING PAID (Q8 = CODES 3-18)

Q18. Can I just check, were you getting Income Support or Jobseeker’s Allowance immediately before you claimed ESA? SINGLE CODE ONLY

- Yes, Income Support [GO TO Q18a]
- Yes, Jobseeker’s Allowance [GO TO Q18a]
- Yes, both Income Support and Jobseeker’s Allowance [GO TO Q18a]
- No
- Don’t know/can’t remember
ASK IF GETTING IS OR JSA BEFORE ESA CLAIM (Q18 = CODES 1 TO 3)

Q18a When did you make that claim for [Income Support and/or Jobseeker’s Allowance – TEXT SUB BASED ON ANSWER AT Q18]?

<table>
<thead>
<tr>
<th>Code of Year</th>
<th>Code of Month</th>
<th>Code if estimate</th>
<th>Don’t know/can’t remember</th>
</tr>
</thead>
</table>

ASK THOSE CURRENTLY IN PAID WORK (Q15 = CODE 1 TO 6)

Q19. [SHOWCARD G] And from this card, how long have you been doing the job you are currently doing?
SINGLE CODE ONLY.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Less than 1 month</td>
</tr>
<tr>
<td>B.</td>
<td>1-2 months</td>
</tr>
<tr>
<td>C.</td>
<td>3-5 months</td>
</tr>
<tr>
<td>D.</td>
<td>6-11 months</td>
</tr>
<tr>
<td>E.</td>
<td>1 year but less than 2 years</td>
</tr>
<tr>
<td>F.</td>
<td>2 years but less than 3 years</td>
</tr>
<tr>
<td>G.</td>
<td>3 years but less than 5 years</td>
</tr>
<tr>
<td>H.</td>
<td>5 years but less than 10 years</td>
</tr>
<tr>
<td>I.</td>
<td>10 or more years</td>
</tr>
<tr>
<td></td>
<td>Don’t know/can’t remember</td>
</tr>
<tr>
<td></td>
<td>Refused</td>
</tr>
</tbody>
</table>
ASK THOSE CURRENTLY IN PAID SELF-EMPLOYMENT AND WORKING IMMEDIATELY BEFORE ESA (Q15 = CODES 5 TO 6 AND Q8= 1 TO 6)

Q20a: You mentioned you were [INSERT ANSWER GIVEN AT Q8] before you made your most recent ESA claim. Is the job you are currently doing... READ OUT. SINGLE CODE ONLY.

- The same job as before you became ill
- Not the same post but similar to the job you were doing before you became ill
- A completely new job (different occupation)
- Don’t know/Can’t remember
- Refused

ASK THOSE CURRENTLY IN PAID WORK AND WORKING IMMEDIATELY BEFORE ESA (Q15 = CODES 1 TO 4 AND Q8= 1 TO 4)

Q20b: You mentioned you were [INSERT ANSWER GIVEN AT Q8] before your most recent ESA claim. Is your current job... READ OUT. SINGLE CODE ONLY.

- With the same employer as before you made your claim, or
- With a new employer?
- Don’t know/can’t remember
- Refused

ASK THOSE CURRENTLY IN PAID WORK AND WORKING IMMEDIATELY BEFORE ESA (Q15 = CODES 1 TO 4 AND Q8= 1 TO 4)

Q20c: And is the job that you are currently doing ... READ OUT. SINGLE CODE ONLY

- The same job as before you became ill
- Not the same post but similar to the job you were doing before you became ill
- A completely new job (different occupation)
- Don’t know/can’t remember
- Refused
ASK THOSE WITH SAME EMPLOYER BUT DIFFERENT JOB (Q20b = CODE 1 AND Q20c=3)

Q20d Did you have to apply for this job?

- Yes
- No
- Don't know/can't remember
- Refused

ASK THOSE WITH NEW JOB WITH NEW EMPLOYER OR IF HAD TO APPLY FOR NEW JOB AT SAME EMPLOYER (CODE 2 AT Q20b OR CODE 1 AT Q20d)

Q21 [SHOWCARD H] Thinking about when you applied for your current job, did you receive help or advice from any of these people? CODE ALL THAT APPLY.

EXPLAIN IF NECESSARY e.g. help in finding the vacancy, doing application, at interview, etc)?

A. Someone already working in the workplace in the same line of work
B. Someone at Jobcentre Plus
C. A New Deal for Disabled People (NDDP) Personal Adviser
D. A Job Broker staff member (someone at an external organisation such as A4E, Reed, Shaw Trust) who helps people find work
E. Someone at an employment agency
F. Someone in your family, a relative or a friend
G. Someone else

No one helped, I applied for/started it myself (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)

Don't know

Refused
ASK IF SOMEONE HELPED THEM APPLY (Q21B IF Q21 = CODES 1 TO 7)
Q21b [SHOWCARD I] Suppose you had not received that help from [that person/those people – TEXT SUB]
BASED ON NUMBER OF ANSWERS GIVEN AT Q21], how likely are you to have got your current job? READ OUT

- Very likely or certain
- Fairly likely
- Not very likely
- Not at all likely
- Definitely would not have got job (started business)
- Don’t know
- Refused
ASK ALL WHO ARE NOT CURRENTLY WORKING BUT HAVE WORKED BEFORE (IF Q15 = 7-16 AND Q14a = 1)

Q23 Thinking about the last job you were in, what were the main reasons it came to an end? DO NOT READ OUT. MULTICODE OK

1. Temporary/seasonal work came to an end
2. Fixed term contract came to an end
3. Dismissed
4. Made redundant/laid off
5. Took voluntary redundancy
6. Felt forced to leave
7. Resigned/decided to leave
8. Took early retirement
9. Gave up work because of own ill-health or disability
10. Gave up work because of ill-health or disability of other(s)
11. Became pregnant
12. Gave up work to look after my child(ren)
13. Gave up work for other family or personal reasons
14. Not financially worthwhile to do that job
15. Didn’t like job
16. The company went out of business
17. Had to serve prison sentence
18. Other reason (WRITE IN)
19. Don’t know/can’t remember
20. Refused
ASK IF DIDN’T MENTION HEALTH AS A REASON FOR JOB ENDING ((Q23 = 3 to 8 or 10, 12, 13, 14, 15 or 18) AND (NOT Q23 = 9))

Q24 Did your health condition or disability play a part in your most recent job coming to an end, or not?
SINGLE CODE ONLY

- Yes
- No
- Don’t know

ASK IF HEALTH PLAYED A PART IN JOB ENDING (Q23 = 9 OR Q24 = 1)

Q24a Was your health condition or disability the main reason or just one of the reasons? SINGLE CODE ONLY

- Main reason
- One of the reasons
- Don’t know/Can’t remember

ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3, OR Q14a = 1)

Q25 Can I just check, in total, how many jobs have you had in the last 2 years?

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

- WRITE IN NUMBER (ALLOW 0 TO 25)
- Don’t know/ can’t remember
- Code if estimate
IF (Q20B = 2 OR Q20A = 3) AND Q25 = 0 OR 1 OR DK, ADD SOFT CHECK: INTERVIEWER PLEASE DOUBLE CHECK Q25 AS RESPONDENTS MENTIONED THEY HAVE HAD A NEW EMPLOYER / A NEW JOB AFTER THEIR ESA CLAIM.

ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3, OR Q14a = 1)

Q27 Thinking about your [current [Q15 = 1 TO 6] / most recent job [NOT Q15 = 1 TO 6], were you working as an employee or self-employed? SINGLE CODE ONLY

- Employee
- Self-employed
- Both
- Don't know/can't remember

ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3, OR Q14a = 1)

Q27A What [does/did – PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] the firm/organisation you [work/worked– PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] for mainly make or do (at the place where you [work/worked– PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE])?

DESCRIBE FULLY - PROBE MANUFACTURING or PROCESSING or DISTRIBUTING ETC. AND MAIN GOODS PRODUCED OR SERVICES PROVIDED, MATERIALS USED, WHOLESALE or RETAIL ETC.
ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3 OR Q14a = 1)

Q27B [SHOWCARD J] From this card, which of the types of organisation on this card [do/did– PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] you work for?

A. Private sector firm or company, including for example limited companies and PLCs
B. Nationalised industry or public corporation, including for example the Post Office and the BBC
C. Other public sector employer, including for example Central Government/Civil Service/Government Agencies, Local Authority/Local Educational Authority, Universities, Health Authority/NHS Hospitals/NHS Trusts/GP surgeries, Police/Armed Forces
D. Charity/Voluntary sector, including for example charitable companies, churches, trade unions

Other (specify)

Don’t know

Refused
JOB TITLE – CURRENT OR LAST JOB

What [is your main job/was your last main job]?– PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE]?

PLEASE ENTER FULL JOB TITLE.

CURRENT OR LAST JOB

What [do/did– PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] you mainly do in your job]? What are the special qualifications or training you need to do your job?

OPEN ENDED QUESTION

In your job, [do/did– PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] you have formal responsibility for supervising the work of other employees? DO NOT INCLUDE PEOPLE WHO ONLY SUPERVISE:

- children, e.g. teachers, nannies, childminders
- animals
- security or buildings, e.g. caretakers, security guards

■ (1) Yes
■ (2) No
ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3 OR Q14a = 1)

Q27F [Do/Did—PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] you have any managerial duties?

- (1) Manager
- (2) Foreman/supervisor
- (3) Not manager/supervisor

ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3 OR Q14a = 1)

Q27G [SHOWCARD K] Including yourself, how many people [work/ed] for your employer? SINGLE CODE ONLY

INTERVIEWER: WE ARE INTERESTED IN THE TOTAL NUMBER OF PEOPLE WORKING FOR THE WHOLE ORGANISATION, NOT SIMPLY AT THEIR PARTICULAR SITE/OFFICE. PLEASE ACCEPT BEST ESTIMATE IF CAN'T GIVE ACCURATE FIGURE

A. Less than 5
B. 5 to 9
C. 10 to 19
D. 20 to 49
E. 50 to 99
F. 100 to 249
G. 250 to 499
H. 500 to 999
I. 1000 or more
■ Don’t know/can’t remember
■ Code if estimate
ASK SELF-EMPLOYED (CODE 2 AT Q27)

Q28 [Are/Were] you working on your own or [do/did] you have employees?

■ (1) On own/with partner(s) but no employees
■ (2) With employees

ASK IF HAD EMPLOYEES (Q28 = 2)

Q29 [SHOWCARD K] How many people [do/did-- PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] you employ at the place where you [work/worked-- PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE]? [Are/Were-- PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] there...

INTERVIEWER: WE ARE INTERESTED IN THE TOTAL NUMBER OF PEOPLE WORKING FOR THE WHOLE ORGANISATION, NOT SIMPLY AT THEIR PARTICULAR SITE/OFFICE. PLEASE ACCEPT BEST ESTIMATE IF CAN'T GIVE ACCURATE FIGURE

A. Less than 5
B. 5 to 9
C. 10 to 19
D. 20 to 49
E. 50 to 99
F. 100 to 249
G. 250 to 499
H. 500 to 999
I. 1000 or more
■ Don't know/can't remember
ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3 OR Q14a = 1)

Q30 [SHOWCARD L] Which one of these best describes your [current/most recent job– PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE]? SINGLE CODE ONLY

- A) A permanent one
- B) A seasonal, temporary or casual one
- C) A job done under contract or for a fixed period
- D) Some other type of job that is not/was not permanent
- Don’t know

ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3 OR Q14a = 1)

Exclude <> for self-employed

Q31 How many hours a week [do/did– PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] you usually work < excluding meal breaks but including any paid overtime>?

- [WRITE IN NUMBER OF HOURS] INTERVIEWER NOTE: PLEASE ACCEPT BEST ESTIMATE IF CAN’T GIVE ACCURATE FIGURE (SOFT CHECK ON OVER 60 HOURS)
- Code if estimate
- Don’t know/ can’t remember
ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3 OR Q14a = 1)

Q32 What [do/did— PRESENT TENSE IF Q15= 1 TO 6, OTHERS PAST TENSE] you usually earn before deductions for tax and national insurance, and including any overtime, bonuses or tips?

INTERVIEWER NOTE: THIS FIGURE SHOULD BE FOR USUAL EARNINGS, NOT EARNINGS WHILE OFF SICK. PLEASE ACCEPT BEST ESTIMATE IF CAN'T GIVE ACCURATE FIGURE INTERVIEWER TO CODE IF THE PAYMENT WAS WEEKLY, MONTHLY OR ANNUALLY

- WRITE IN AMOUNT
  - Weekly (SOFT CHECK ON OVER £2,000)
  - Monthly (SOFT CHECK ON OVER £10,000)
  - Annual (SOFT CHECK ON OVER £100,000)
- Code if estimate
- Don't know/can't remember

ASK ALL WHO HAVE EVER WORKED AND GET ESA CURRENTLY OR IN THE PAST ((Q14 = 1-3 OR Q14a = 1) AND (Q9b = 1 OR Q9a = 1))

Q33. Permitted Work is the paid work someone is allowed to do while on benefits. When claiming ESA, he or she can do a maximum of 16 hours of paid work and earn a maximum of £93 a week. Jobcentre Plus staff have to be notified of this. [Is/was] the work you [are/were] doing Permitted Work?

- Yes
- No
- Don’t know

ASK IF WORK WAS NOT PERMITTED WORK (Q33=2 OR 3)

Q33a Have you ever done Permitted Work while receiving ESA?

- Yes
- No
- Don't know/can't remember
ASK IF NOT DONE PERMITTED WORK (Q33a=2)

Q33b [Since you’ve been receiving ESA (Q9b = CODE 1) /While you were receiving ESA (Q9a = code 1 and Q9b = code 2), have you [considered/did you consider] doing Permitted Work?

- Yes
- No
- Don’t know/can’t remember

Section 5: Health - general health, health conditions, work-limiting aspects of health (Wave one all)
ASK ALL

I would now like to ask you some questions about your health.

Q34 Do you currently have any, health problem, disability or long-term illness which limits your daily activities or the work you can do?

- Yes
- No
- Refused

Q35 Do you have a health condition that comes and goes or that gets better or worse from time to time?
SINGLE CODE ONLY. DO NOT READ OUT.

- Yes, condition comes and goes
- No,
- Don’t know/not sure
- Refused
ROIB Question

ASK IF HAVE A LONG TERM HEALTH CONDITION/FLUCTUATING CONDITION (Q34 = 1 OR Q35 = 1)

Q36 [SHOWCARD M] I Thinking about your health condition(s) or disability, can you tell me which things on this card applied to you at the time when you claimed ESA [in INSERT DATE AT Q2/ IF NO MONTH GIVEN INSERT recently]? MULTICODE OK.
INTERVIEWER NOTE PLEASE CODE ALL THAT APPLIED AT THE DATE OF THEIR CLAIM

Mental health conditions
- A. Stress or anxiety
- B. Depression
- C. Fatigue or problems with concentration or memory
- D. Other mental health conditions

Conditions related to bones muscle, problems or physical injury
- E. Problems with your arms or hands
- F. Problems with your legs or feet
- G. Problems with your neck, shoulders or back
- H. Pain or discomfort
- I. Any other condition related to bone or muscle problems or physical injury

Long-term conditions that affect major organs or the whole body
- J. Problems with your bowel, stomach, liver, kidneys or digestion including Crohn’s disease
- K. Chest or breathing problems including asthma
- L. Heart problems or blood pressure including angina
- M. Skin conditions or allergies
- N. Cancer
- O. Other long-term condition (please specify)

Other condition or disability
- P. Difficulty in seeing
- Q. Difficulty in hearing
- R. Dizziness or balance problems
- S. Diabetes
- T. Problems due to alcohol
- U. Problems due to illegal use of drugs
- V. Epilepsy
- W. Learning difficulties including dyslexia
- X. Aspergers syndrome or autism
- Y. Progressive illness not covered above
- Z. Other health problem or disability (please specify)

Prefer not to say [GO TO Q51x]

ASK IF MULTICODE AT Q36 = CODES 1 TO 26
Q36a And which of these do you consider your main health condition? SINGLE CODE ONLY
INTERVIEWER NOTE: IF RESPONDENT QUERIES WHAT WE MEAN, EXPLAIN WE WANT TO KNOW WHICH CONDITION CAUSES THEM THE MOST DIFFICULTY

<table>
<thead>
<tr>
<th>DISPLAY ANSWERS GIVEN AT Q36</th>
</tr>
</thead>
<tbody>
<tr>
<td>Don’t know</td>
</tr>
</tbody>
</table>

ASK IF MULTICODE AT Q36 = CODES 1 TO 26
Q36b And which of these conditions started first?

<table>
<thead>
<tr>
<th>DISPLAY ANSWER GIVEN AT Q36</th>
</tr>
</thead>
<tbody>
<tr>
<td>Don’t know</td>
</tr>
</tbody>
</table>
Section 6: More detailed health history (Wave one Routes onto ESA)

LOOP: REPEAT Q37 TO Q40A FOR EACH CONDITION AT Q36

Q37 When did your [INSERT CONDITION FROM Q36] first begin? INTERVIEWER NOTE: IF RESPONDENT WOULD PREFER NOT TO SAY FOR ONE OR ALL CONDITIONS PLEASE CODE ONE OR ALL REFUSED

- CODE MONTH AND YEAR
- Code if from birth
- Don’t know month
- Don’t know/ can’t remember
- Refused one [SKIP TO NEXT CONDITION]
- Refused all [Q51X]

ASK FOR EACH CONDITION AT Q36 EXCEPT THOSE STARTED FROM BIRTH (CODE 2 AT Q37)

Q38 Did your [INSERT CONDITION FROM Q36] occur suddenly or did it come on over time? SINGLE CODE ONLY

- Occurred suddenly
- Came on over time
- Don’t know / Can’t remember

REPEAT FOR EACH CONDITION AT Q36 AND IF IN PAID WORK OR ON SICK PAY IMMEDIATELY PRIOR TO THEIR ESA CLAIM (Q8 = 1 TO 5)

Q39 Did this condition affect your ability to do the paid job you were doing prior to your [recent, IF NO MONTH GIVEN AT Q5] claim for ESA [in INSERT MONTH FROM SAMPLE OR Q5 IF GIVEN] or not? INTERVIEWER: IT IS IMPORTANT THAT RESPONDENTS ANSWER IN RELATION TO THEIR MOST RECENT CLAIM

- Yes
- No
- Don’t know/can’t remember

ASK IF CONDITION AFFECTED THEIR JOB (Q39 = 1)

Q40 When did your [INSERT CONDITION FROM Q36] first begin to affect your ability to do that job?

- WRITE IN MONTH AND YEAR
- It has always affected my ability
- It started to affect my ability half way through my job
- Don’t know/can’t remember
ASK IF CONDITION ALWAYS AFFECTED ABILITY TO DO JOB (Q40 = CODE 1)
Q40a. Overall, did this condition get worse, stay the same, or get better after you started that job? SINGLE CODE ONLY

- Got worse
- Stayed the same
- Got better
- Don’t know

ASK IF ANY HEALTH CONDITION (Q36 = 1 TO 26)
Q41 [SHOWCARD N] From this card, what do you consider to be the major cause of your main health problem or disability? SINGLE CODE ONLY
INTERVIEWER NOTE:
CODE 1: ‘Born with it’ INCLUDES CONGENITAL ABNORMALITIES AND PERINATAL CONDITIONS
CODE 2: VEHICLE ACCIDENTS THAT OCCURRED DURING THE COURSE OF WORK SHOULD BE INCLUDED HERE, AS SHOULD INDUSTRIAL POISONING.

A. Born with it or birth injury (including hereditary illnesses)
B. Work-related accident or injury (including traffic accidents at work)
C. Non-work related traffic accident or injury
D. Household, leisure and sports accident or injury (non-work related)
E. Work-related diseases and illnesses
F. Non work-related diseases and illnesses
Don’t know (ALLOW IN SCRIPT BUT NOT IN SHOWCARD)

Section 7: Treatment and management of health conditions (Wave one Routes onto ESA)
ASK IF ANY HEALTH CONDITION (Q36 = 1 TO 26)
Q42 Can I just check whether you are currently receiving any treatment for your health condition[s]?

- Yes (Q43)
- No (Q46)
- Don’t know
ASK THOSE RECEIVING TREATMENT (IF Q42 = 1)

Q43 [SHOWCARD O] From this card, what sort of treatment are you receiving? CODE ALL THAT APPLY.

INTERVIEWER PLEASE ONLY ENTER ONE CONDITION PER ‘OTHER SPECIFY’. IF MORE THAN ONE TYPES OF ‘OTHER’ TREATMENT, PLEASE ASK RESPONDENT TO CHOOSE THE TWO MAIN ONES.

A. Prescribed drugs
B. Physiotherapy
C. Chemotherapy or radiotherapy
D. Counselling, Cognitive Behavioural Therapy (CBT) or psychotherapy
E. Condition still under investigation/still receiving tests [GO TO Q46]

Other specify 1
Other specify 2
Don’t know

LOOP Q44-45

ASK IF RECEIVING SPECIFIC TREATMENTS (Q43 = 1 TO 4 OR 6). REPEAT FOR EACH TREATMENT AT Q43.

Q44 Thinking about the [INSERT TREATMENT FROM Q43] you are currently receiving, when do you expect this period of treatment to end?

INTERVIEWER NOTE: YOU WILL BE ENTERING THE YEAR AT THE NEXT SCREEN. IF THERE IS NO END DATE FOR THIS, PLEASE CHOOSE ‘INDEFINITE’

Code month and year
Code if estimate
Indefinite
Don’t know
ASK THOSE RECEIVING TREATMENT (Q42 = 1)

Q45 [SHOWCARD P] How do you expect your main condition to change as a result of this treatment? Choose one which best applies.

INTERVIEWER NOTE: RESPONDENT SAID THEIR MAIN CONDITION IS [INSERT ANSWER AT Q36 IF ONLY ONE ANSWER GIVEN/INSERT MAIN CONDITION AT Q36A IF MORE THAN ONE ANSWER AT Q36).

INTERVIEWER NOTE: IF THE RESPONDENT IS TERMINALLY ILL, AND THEY DO NOT WISH TO ANSWER THIS QUESTION, PLEASE CODE “REFUSED ALL QUESTIONS IN THIS SECTION”. IF THEY WISH TO END THE INTERVIEW HERE OR AT ANY POINT, PLEASE QUIT AND CODE ACCORDINGLY ON CONTACT SHEET

A. I do not expect my condition to improve
B. I am expecting that my condition will be improved or easier to manage as a result of this treatment, but I still expect to have some health limitations
C. This treatment should resolve my current health problems but I expect to need further treatment in future
D. I am expecting that my condition will be fully cured by this treatment
Other [specify]
Don’t know
Refused
Refused all questions in this section (SKIP TO Q51X)

ASK IF ANY HEALTH CONDITION (Q36 = 1 TO 26)

Q46 Can I just check whether you are currently WAITING for any treatment for your main health condition?

■ Yes (Q47)
■ No
■ Don’t know
ASK THOSE WAITING FOR TREATMENT (Q46 = 1)

Q47 [SHOWCARD Q] What sort of treatment is this? CODE ALL THAT APPLY.

INTERVIEWER PLEASE ONLY ENTER ONE CONDITION PER ‘OTHER SPECIFY’. IF MORE THAN ONE TYPES OF ‘OTHER’ TREATMENT, PLEASE ASK RESPONDENT TO CHOOSE THE TWO MAIN ONES.

A. Prescribed drugs
B. Operation or surgery
C. Physiotherapy
D. Chemotherapy or radiotherapy
E. Counselling, Cognitive Behavioural Therapy (CBT) or psychotherapy

Other specify 1
Other specify 2
Don’t know, will depend on advice of health specialist

LOOP Q48-49

ASK THOSE WAITING FOR TREATMENT (Q47 = 1-6) REPEAT FOR EACH TYPE OF TREATMENT

Q48 How long do you think it will be before you receive <INSERT Q47>. DO NOT READ OUT, BUT PROMPT IF NECESSARY

- Within a month
- 1 month but less than 3 months
- 3 months but less than 6 months
- 6 months or more
- Don’t know
ASK THOSE WAITING FOR TREATMENT (Q47 = 1-6)

Q49 [SHOWCARD R] From this card, how do you expect your health condition to change as a result of this treatment? CHOOSE ONE WHICH BEST APPLIES.

A. I do not expect my condition to improve
B. I am expecting that my condition will be improved or easier to manage as a result of this treatment, but I still expect to have some health limitations
C. This treatment should resolve my current health problems but I expect to need further treatment in future
D. I am expecting that my condition will be fully cured by this treatment
Other [specify]
Don’t know

ASK ALL WHO ARE WAITING FOR TREATMENT (Q46 = 1)

Q50 [SHOWCARD S] Once [all of – TEXT SUB BASED >1 ANSWERS AT 47] your treatment is completed, how do you think this will affect your ability to work? READ OUT?

A. I will be able to work and expect to return to my old job
B. I will be able to work and will look for the same type of work as before
C. I will be able to work but will need to find another type of job
D. I expect to be able to work again at some stage, but not straightaway
E. I do not expect to be able to work again
I have already returned to work in my old job (NOTON SHOWCARD)
I have already returned to work in my new job (NOTON SHOWCARD)
Don’t know
DP: PLEASE CHANGE Q51 TO CASI. COULD YOU PLEASE ADD THE STANDARD INTRODUCTION AND TEST QUESTIONS?
ASK ALL
In the following part of the interview, we would like to ask you some questions about your overall health and wellbeing. Because we want to give you privacy for these questions, we would like you to answer these questions on the laptop yourself. You can refuse to answer any question you would prefer not to answer, and I will not be able to see your responses. Everything you say will be completely confidential. 

If you would prefer I can ask the questions like in the rest of the interview.

Q51x Would you like to read and answer the questions yourself?
Yes
No
IF YES: I’m going to pass the machine to you for you to enter your own responses.
INTERVIEWER TO PASS MACHINE TO RESPONDENT AND COMPLETE THE TEST QUESTION WITH THEM.

DP NOTE: IF NO AT Q51x, SKIP TEST QUESTION

Q51 [SHOWCARD T] Overall health and wellbeing – GHQ12 index
For each of these statements, please tell me whether you have felt this way...

Less than usual
No more than usual
More than usual
Much more than usual

ROTATE STATEMENTS

1. Have you recently been able to concentrate on whatever you're doing?
2. Have you recently lost much sleep over worry?
3. Have you recently felt that you were playing a useful part in things?
4. Have you recently felt capable of making decisions about things?
5. Have you recently felt constantly under strain?
6. Have you recently felt you couldn’t overcome your difficulties?
7. Have you recently been able to enjoy your normal day-to-day activities?
8. Have you recently been able to face up to problems?
9. Have you recently been feeling unhappy or depressed?
10. Have you recently been losing confidence in yourself?
11. Have you recently been thinking of yourself as a worthless person?
12. Have you recently been feeling reasonably happy, all things considered?

END OF CASI. RESPONDENTS TO HAND LAPTOP BACK TO INTERVIEWER.
ASK ALL
Q51a Overall, would you say that your health is….READ OUT. SINGLE CODE ONLY.

- Getting better
- Getting worse
- Staying the same
- Changeable over time
- Don’t know
- Refused

Section 8: Longer-term employment history and aspirations (Wave one Routes onto ESA)
ASK IF AN EMPLOYEE IN PAID WORK OR ON SICK PAY IMMEDIATELY PRIOR TO ESA CLAIM AND HAVE AT LEAST ONE CONDITION THAT AFFECTS ABILITY TO DO JOB (Q8 = 1 TO 4 AND (Q34 = 1 OR Q35 = 1))

We’ve talked about your current or most recent job, but I’d now like to ask a bit more about how your health has affected your work history over time, and the part it played in your last job coming to an end.

Q52 Thinking now about the condition(s) that affected your ability to do the job you were doing prior to your [recent, IF NO MONTH GIVEN AT Q5] claim for ESA [in INSERT MONTH FROM SAMPLE OR Q5 IF GIVEN], did you discuss [this/these condition(s)] with your immediate manager?

- Yes
- No
- I do not have a line manager
- Don’t know/can’t remember
ASK IF DISCUSSED THEIR CONDITIONS WITH LINE MANAGER (Q52 = 1)

Q53. [SHOWCARD U] From this card, when did you discuss this with your manager? MULTICODE OK

A. Before you started the job?
B. After you started the job as soon as the condition became a problem?
C. After you started the job, but not until some time after the condition became a problem?
D. Not until the condition became worse?
I did not discuss my condition(s) with my line manager [DO NOT INCLUDE ON SHOWCARD]
Don’t know/can’t remember [DO NOT INCLUDE ON SHOWCARD]
Refused [DO NOT INCLUDE ON SHOWCARD]

ASK IF EMPLOYED BEFORE ESA CLAIM AND HAVE A CONDITION (Q8 = 1 TO 4 AND, Q34 = 1 OR Q35 = 1)

Q52a Thinking now about the condition(s) that affected your ability to do the job you were doing prior to your [recent, IF NO MONTH GIVEN AT Q5] claim for ESA [in INSERT MONTH FROM SAMPLE OR Q5 IF GIVEN], did you discuss [this/these condition(s) – TEXT SUB BASED ON NUMBER OF ANSWERS AT Q36] with someone in your personnel or HR department?

- Yes
- No
- I do not have a personnel or HR department at my job
- Don’t know/can’t remember
ASK IF DISCUSSED THEIR CONDITIONS WITH HR DEPARTMENT (Q52A = 1)

Q53a. [SHOWCARD U AGAIN] From this card, when did you discuss this with your personnel or HR department? MULTICODE

A. Before you started the job?
B. After you started the job as soon as the condition became a problem?
C. After you started the job, but not until some time after the condition became a problem?
D. Not until the condition became worse?

I did not discuss my condition(s) with someone in HR [DO NOT INCLUDE ON SHOWCARD]
Don’t know/can’t remember [DO NOT INCLUDE ON SHOWCARD]

IF DID NOT DISCUSS WITH LINE MANAGER OR HR/PERSONNEL (Q52 = 2 OR Q52A = 2)

Q54 Why did you not discuss these issues with your [SUBSTITUTE: manager or someone in personnel/HR]?
DO NOT READ OUT. CODE ALL THAT APPLY.

- Personal issue
- Didn’t see this as relevant
- Had not realised it was a problem
- Felt employer not interested
- Would jeopardise job
- Because had not been working there long
- Employer would not have taken me on if they had known about the condition
- Wanted to keep job
- Other (Specify)
- Don’t know
ASK IF DISCUSSED WITH LINE MANAGER (Q52 = 1)

Q55 [SHOWCARD V] How helpful, if at all, was your manager? SINGLE CODE ONLY

- Very helpful
- Fairly helpful
- Not very helpful
- Not at all helpful
- Don’t know/can’t remember [ALLOW IN SCRIPT BUT NOT IN SHOWCARD]

IF DISCUSSED WITH personnel/HR (Q52a = 1)

Q55a [SHOWCARD V AGAIN] How helpful, if at all, were the personnel/HR staff?

- Very helpful
- Fairly helpful
- Not very helpful
- Not at all helpful
- Don’t know/can’t remember

ASK IF EMPLOYED BEFORE ESA CLAIM AND HAVE A CONDITION (Q8 = 1 TO 4 AND, Q34 = 1 OR Q35 = 1)

Q56 Did you have access to occupational health services through your employer? SINGLE CODE ONLY

- Yes
- No
- Don’t know
ASK IF ACCESS TO OCCUPATIONAL HEALTH (Q56 = 1)

Q57 Did you discuss your condition(s) with the occupational health service?

- Yes
- No
- Don’t know/can’t remember

ASK IF DISCUSSED WITH OCCUPATIONAL HEALTH (Q57 = 1)

Q58 [SHOWCARD V AGAIN] How helpful, if at all, was the occupational health service?

- Very helpful
- Fairly helpful
- Not very helpful
- Not at all helpful
- Don’t know/Can’t remember
- Refused

ASK IF EMPLOYED BEFORE ESA CLAIM AND HAVE A CONDITION (Q8 = 1 TO 4 AND, Q34 = 1 OR Q35 = 1)

Q59 Were any changes made to your job or working conditions to help accommodate your health condition(s)/disability?

- Yes
- No
- Don’t know/ can’t remember
- Refused
ASK IF CHANGES MADE (Q59 = 1)

Q60 What kinds of things were changed? DO NOT READ OUT, BUT PROMPT IF NECESSARY. MULTICODE OK

- Change of duties
- Change to number of hours worked
- Change to the pattern of hours worked
- Given permission to take emergency leave as needed
- Equipment provided or adaptations made
- Other changes (Specify)
- Don’t know/can’t remember
- Refused

ASK IF CHANGES MADE (Q60 = 1 TO 6)

Q61 Did [this change/these changes – TEXT SUB BASED ON NUMBER OF ANSWERS GIVEN AT Q60) help you to keep working longer than might otherwise have been possible?

- Yes
- No
- Don’t know/can’t remember
- Refused
ASK IF CHANGES MADE (Q60 = 1 TO 6)

Q62 [SHOWCARD W] From this card, at what point were these changes made? MULTICODE OK

A. When my health/disability first started to affect my work
B. After I discussed the problem with my employer (i.e. my line manager or someone in personnel/HR)
C. After I discussed the problem with occupational health service
D. After I discussed the problem with my trade union
E. After I took time off sick because of the problem
F. At some other point (WRITE IN)
Don't know/can't remember
Refused

ASK IF EMPLOYED BEFORE ESA CLAIM AND HAVE A CONDITION (Q8 = 1 TO 4 AND, Q34 = 1 OR Q35 = 1)

Q63 Could any [other – ONLY SHOW IF Q59 = 1] changes have been made to help you stay working for longer? SINGLE CODE ONLY

■ Yes
■ No
■ Don't know
IF CHANGES COULD HAVE BEEN MADE (Q63 = 1)

Q64 What kinds of things would have helped you stay working for longer? MULTICODE OK. DO NOT READ OUT BUT PROMPT IF NECESSARY

- Change of duties
- Change to number of hours worked
- Change to the pattern of hours worked
- Allowed to take emergency leave as needed
- Equipment provided or adaptations made
- Other (Specify)
- Don’t know/ can’t remember
- Refused

IF PARTICULAR CHANGES COULD HAVE BEEN MADE (Q64 = 1 TO 6)

Q65 Did you ask your employer to make [that/any of those – TEXT SUB DEPENDING ON NUMBER OF ANSWERS AT Q64] change[s]?

- Yes
- No
- Don’t know/not sure
ASK IF AN EMPLOYEE IN PAID WORK OR ON SICK PAY IMMEDIATELY PRIOR TO ESA CLAIM AND HAVE AT LEAST ONE CONDITION THAT AFFECTS ABILITY TO DO JOB (Q8 = 1 TO 4 AND, Q34 = 1 OR Q35 = 1)

Q65a [INSERT “Apart from your employer” IF CODE 1 AT Q52a] did you consult anyone else about the effect of your health condition(s)/disability on your ability to do your job?

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<tr>
<td>■</td>
<td>Yes</td>
</tr>
<tr>
<td>■</td>
<td>No</td>
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<tr>
<td>■</td>
<td>Don’t know/can’t remember</td>
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<tr>
<td>■</td>
<td>Refused</td>
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</tbody>
</table>

IF CONSULTED SOMEONE ELSE (CODE 1 AT Q65a), OTHERS TO QJBCHNG1

Q65b Who did you consult? DO NOT READ OUT. MULTICODE OK.

INTERVIEWER NOTE: IF RESPONDENT MENTIONS DOCTOR, NURSE, HEALTH PROFESSIONALS, CLARIFY WHICH TYPE.

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<td>■</td>
<td>Trade union</td>
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<td>■</td>
<td>Work colleagues</td>
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<td>■</td>
<td>Advice centre</td>
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<tr>
<td>■</td>
<td>GP</td>
</tr>
<tr>
<td>■</td>
<td>Hospital consultant/doctor</td>
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<tr>
<td>■</td>
<td>Occupational health worker</td>
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<tr>
<td>■</td>
<td>Practice nurse</td>
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<tr>
<td>■</td>
<td>Mental health nurse</td>
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<td>■</td>
<td>Physiotherapist</td>
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<td>■</td>
<td>Relative or friend</td>
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<tr>
<td>■</td>
<td>Someone else</td>
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<tr>
<td>■</td>
<td>Can’t remember</td>
</tr>
<tr>
<td>■</td>
<td>Refused</td>
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</tbody>
</table>
ASK ALL WHO HAVE EVER WORKED (Q14 = 1-3, OR Q14a = 1)

QJBCHNG1 In the last 2 years, have you changed jobs at all? IF YES, Is that once or more than once?
SINGLE CODE ONLY

- Yes, once
- Yes, more than once
- No
- Refused

IF CHANGED JOBS IN THE LAST TWO YEARS (CODES 1 OR 2 AT QJBCHNG1)
QJBCHNG2 [SHOWCARD X] Did you change jobs with the same employer or move to a new employer? Is that...? READ OUT. SINGLE CODE ONLY

- A. New job(s) with same employer
- B. New job(s) with different employer
- C. New jobs with same employer and with new employer
- D. Became self-employed
  - Don’t know/can’t remember
  - Refused

IF CHANGED JOBS IN THE LAST TWO YEARS (CODES 1 OR 2 AT QJBCHNG1)
Q65d Did your health condition(s)/disability influence [your change of job - QJBCHNG1 = 1] any of your changes of job - QJBCHNG1 = 2] or not?

- Yes
- No
- Don’t know
- Refused
ASK IF HEALTH CONDITION INFLUENCED CHANGE OF JOB (CODE 1 AT Q65d), OTHERS TO Q66

Q65e Was it the only or main reason, or just one of the reasons? SINGLE CODE ONLY

- Only reason
- Main reason
- One of the reasons
- Can’t remember
- Refused
I’d now like to ask about your future work plans.

INTERVIEWER NOTE: IF RESPONDENT IS TERMINALLY ILL AND THEY DO NOT WISH TO ANSWER ABOUT FUTURE PLANS, PLEASE CODE AS “REFUSED ALL QUESTIONS IN THIS SECTION”

Q66 [SHOWCARD Y] Which one of these best describes your employment situation and plans? SINGLE CODE ONLY

<table>
<thead>
<tr>
<th>IN WORK</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. I am currently working and I intend to stay in the same job</td>
</tr>
<tr>
<td>B. I am currently working and I intend to get a different job</td>
</tr>
<tr>
<td>C. I am currently working but expect to retire soon</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>OUT OF WORK</th>
</tr>
</thead>
<tbody>
<tr>
<td>D. I have a job to go back to</td>
</tr>
<tr>
<td>E. I have been offered a job and am waiting to start</td>
</tr>
<tr>
<td>F. I am looking for work, but have not found a suitable job</td>
</tr>
<tr>
<td>G. I was looking for work, but stopped because I can’t find one</td>
</tr>
<tr>
<td>H. I was looking for work, but stopped because my health has deteriorated</td>
</tr>
<tr>
<td>I. I hope to do a job in the future, but have not started looking yet</td>
</tr>
<tr>
<td>J. I would need help, rehabilitation or training before I could consider working</td>
</tr>
<tr>
<td>K. I do not expect to work in the future</td>
</tr>
<tr>
<td>L. I am permanently unable to work because of my health condition or disability</td>
</tr>
</tbody>
</table>

Other (specify) [ALLOW IN SCRIPT BUT NOT ON SHOWCARD]

Don’t know [ALLOW IN SCRIPT BUT NOT ON SHOWCARD]

Refused [ALLOW IN SCRIPT BUT NOT ON SHOWCARD]

Refused all questions in this section (Skip to Q73) [ALLOW IN SCRIPT BUT NOT ON SHOWCARD]
ASK ALL WHO WOULD LIKE TO WORK AGAIN (Q66 = 6, 7, 8, 9, OR 10)

Q67 [SHOWCARD Z] If you find a new job, how many hours, if any, would you feel able to work? SINGLE CODE ONLY. INTERVIEWER CODE NUMBER INTO BANDS OR READ OUT IF NECESSARY

- 30 or more hours a week
- 16 to 29 hours a week
- Under 16 hours a week
- It would vary
- Don’t know
- Would prefer not to work

ASK ALL WHO WOULD LIKE TO WORK AGAIN (Q66 = 6, 7, 8, 9, OR 10)

Q68 Do you think it would be…? READ OUT 1-3. SINGLE CODE ONLY

- Less skilled than you have done in the past
- More skilled than you have done in the past, or
- Similar to what you have done in the past
- Don’t know
- Not worked before
- Refused
ASK ALL WHO WOULD LIKE TO WORK AGAIN (Q66 = 6, 7, 8, 9, OR 10)

Q69 And do you think it would pay...? READ OUT 1-3. SINGLE CODE ONLY

- Less than you earned in the past
- More than you earned in the past
- Similar to what you earned in the past
- Don’t know
- Not worked before
- Refused

ASK ALL WHO WOULD LIKE TO WORK AGAIN (Q66 = 6, 7, 8, 9, OR 10)

Q70 Is there a minimum amount that you would need to earn to make it worth your while returning to work?

- Yes
- No
- Don’t know
- Refused

ASK IF THERE’S A MINIMUM AMOUNT THEY NEED TO EARN (Q70 = 1)

Q71 Approximately how much would you need to earn, before tax, national insurance and other deductions?

WRITE IN AMOUNT AND CODE FREQUENCY

- A week
- A month
- A year
- Don’t know
J35314

ASK IF THERE'S A MINIMUM AMOUNT THEY NEED TO EARN (Q70 = 1)

Q72 Would you take a job even if it paid less than that amount? IF YES, Is that probably or definitely? SINGLE CODE ONLY

- Yes, definitely
- Yes, probably
- No
- Not sure/Don't know
- Refused

ASK ALL

Q73 [SHOWCARD AA] I'd now like to ask you some questions about employment in general. How much do you agree or disagree with each of the following statements? ROTATE STATEMENTS

a) I am prepared to take any job I can do

b) Being in work helps my health

c) Once you've got a job, it's very important to hang on to it, even if you don't really like it

d) Having a job is the best way for me to be an independent person

e) A person must have a job to feel a full member of society

- Agree strongly
- Agree slightly
- Neither agree nor disagree
- Disagree slightly
- Disagree strongly
- Don't know
- Refused
ASK ALL

Q74. [SHOWCARD BB] Which, if any, of the barriers to work on this card do you face? Please just read out the letters that apply. MULTICODE OK

A. There are few suitable job opportunities in the local area
B. The hours I can work are limited due to my health condition/disability
C. People's attitude towards my health condition/disability
D. Don't have the right skills or experience
E. My confidence is low at the moment
F. I may not be better off in work than I am on benefits
G. Employers are unlikely to offer me a job because of my age
H. Looking after someone (IE. a child or an adult) who is sick/elderly/has a disability
I. I have personal or family troubles that need to be sorted out
J. Difficulties with the journey to work
K. Having the information I need to look for work
L. Not being offered jobs when applying for them
M. I am unlikely to get a job that I would want to do
N. Don't feel motivated or interested in working
O. Difficulties due to my health condition/disability

None of the above

ASK IF Q74 = ONE OR MORE STATEMENTS

Q74a Which of these are the most serious barriers? MULTICODE OK

SHOW ANSWERS FROM Q74

Don't know

None of these
Section 9: Awareness and initial views (Wave one ESA Evaluation)
ASK ALL

Q75 Before you claimed ESA [in INSERT MONTH FROM SAMPLE OR Q5 IF KNOWN], did someone tell you about it or were you already aware that it existed?

DO NOT READ OUT. SINGLE CODE ONLY

- Someone told me about ESA
- Was already aware of ESA
- Both - someone told me about ESA but I was already aware of it
- Don’t know/can’t remember
- Refused
IF WAS TOLD ABOUT ESA (Q75 = 1 OR 3)

Q76 [SHOWCARD CC] From this card, who told you about ESA? MULTICODE OK

A. Employer
B. Work colleagues
C. Trade union
D. Jobcentre Plus
E. Advice centre worker
F. GP
G. Hospital consultant/doctor
H. Occupational health worker
I. Practice nurse
J. Mental health nurse
K. Physiotherapist
L. Relative or friend
M. Found information on internet
N. Someone else

Don't know/can't remember (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)

Refused
ASK ALL
Q78 Can you tell me what you knew about ESA when you made your claim? DO NOT READ OUT. CODE ALL THAT APPLY. PROBE FULLY.

- It requires claimants to undertake some work-related activity
- It encourages people to work
- It's a new benefit / it replaced Incapacity Benefit / it replaced sickness benefit
- It's a benefit for sickness / poor health / illness / unable to work
- Nothing
- Don't know

Section 10: Initial claim process (Wave oneESA evaluation)
ASK PROXY RESPONDENTS ONLY (PROXY = 1 OR 2)

Q79

INTERVIEWER NOTE: THIS QUESTION IS ADDRESSED TO THE PERSON DOING THE INTERVIEW BY PROXY FOR THE CLAIMANT.

Did you make the claim for ESA on behalf of [INSERT NAME OF CLAIMANT FROM SAMPLE]?

1. Yes (go to Q80)
2. No (go to Q88)
3. Don’t know/can’t remember)
4. Refused
INTERVIEWER NOTE: THE REST OF THE QUESTIONNAIRE WILL BE ADDRESSED TO THE NAMED RESPONDENT, NOT THE PROXY.

ASK ALL EXCEPT Q79 = 2,3,4

Q80 [SHOWCARD DD] Can you tell me how you first made your most recent claim for ESA? SINGLE CODE ONLY

A. Phone call
B. By post
C. Internet
D. Face to face in office
E. Face to face on home visit
F. Someone did it for me
Don’t know/can’t remember

ASK IF PHONE CALL, OR FACE TO FACE (Q80 = 1, 4 or 5)

Q81 How long did the [phone call/office interview/home visit – TEXT SUB DEPENDING ON ANSWER AT Q80] last? DO NOT READ OUT BUT PROMPT IF NECESSARY

- Under 20 minutes
- 20-29 minutes
- 30-45 minutes
- Longer than this
- Don’t know/can’t remember
ASK IF PHONE CALL, OR FACE TO FACE (Q80 = 1, 4 or 5)

Q82 [SHOWCARD EE] How easy or difficult was it to answer the questions you were asked? READ OUT.

- Very easy
- Fairly easy
- Neither easy nor difficult
- Fairly difficult
- Very difficult
- Don’t know/can’t remember

ASK IF PHONE CALL, OR FACE TO FACE (Q80 = 1, 4 or 5)

Q83 [SHOWCARD FF] How well did you feel that the person [taking the call/interviewing you – TEXT SUB BASED ON ANSWER AT Q80] understood your situation?

- Very well
- Fairly well
- Not very well
- Not at all
- Don’t know/can’t remember
ASK IF PERSON DIDN'T UNDERSTAND THE SITUATION WELL (Q83 = 3 OR 4)

Q83a Can you explain what the problem was? DO NOT READ OUT. MULTICODE OK. PROBE FULLY.

- They didn't understand my circumstances/situation
- They didn't understand my health condition/disability
- They weren't sympathetic
- They weren't helpful
- They didn't believe me
- Other (specify)
- Don’t know/can’t remember

ASK IF RECEIVED ESA (Q9b = 1 OR Q9a=1)

Q84 (SHOWCARD GG) How soon did you start to get paid ESA benefit [after INSERT MONTH OF CLAIM/after you have made your most recent claim]? SINGLE CODE ONLY.

- Within one month
- More than 1 month but less than 3 months
- 3 months but less than 6 months
- Longer than this
- Never received benefit
- Don’t know/can’t remember
Q85 When people claim ESA, they may be asked to fill in a form called the ESA50. It's a booklet, about 25 pages long, which asks questions about how your health affects your ability to work. Were you asked to complete this form?

**INTERVIEWER NOTE: PLEASE SHOW RESPONDENT A COPY OF THE FORM TO AID RECALL**

- Yes
- No
- Don’t know/can’t remember

ASK THOSE WHO COMPLETED FORM (Q85 = 1)

Q86 [SHOWCARD HH] Was completing this form…? READ OUT

- Very easy
- Fairly easy
- Neither easy nor difficult
- Fairly difficult
- Very difficult
- I was unable to complete it
- Don’t know/can’t remember

ASK Q87 IF COMPLETED FORM (Q85=1)

Q87 Did anyone help you to complete this form?

- Yes
- No
ASK IF COMPLETED FORM (Q87 = 1)
Q87a Who helped you? DO NOT READ OUT. CODE ALL THAT APPLY.

- Jobcentre Plus/provider adviser
- Friend or relative
- Citizens Advice Bureau or advice centre
- Doctor or other health professional
- Other [specify]

Section 11: The medical process (Wave one ESA evaluation)
ASK ALL

Q88 [SHOWCARD II] Have you had a Work Capability Assessment for your most recent ESA claim? This is a medical assessment of your capability for work, and your capability for work-related activity. Most people are invited to see a doctor or nurse at a Medical Centre and some people get a decision based on a medical report from their doctor. SINGLE CODE ONLY.

- A. Yes - face to face (GO TO Q89)
- B. I had a written decision but no face to face medical assessment (GO TO Q104)
- C. No – but I have received an appointment for one (GO TO Q101)
- D. No – I have been told that I don’t have to have this (GO TO Q104)
- E. No – I stopped claiming before I had this (GO TO Q104)
- F. No – and I haven’t received an appointment for one (GO TO Q104)

- Don’t know/can’t remember (GO TO Q104)
ASK IF HAD A FACE-TO-FACE WCA (Q88 = 1)

Q89 After you claimed ESA, how long was it before you had the Work Capability Assessment (medical)? DO NOT READ OUT BUT PROMPT IF NECESSARY. SINGLE CODE ONLY.

- Less than a week
- 1 week but less than 2 weeks
- 2 weeks but less than 3 weeks
- 3 weeks but less than 1 month
- 1 month but less than 3 months
- 3 months but less than 6 months
- More than 6 months
- Don’t know/Can’t remember
- Refused
- Code if estimate

ASK IF HAD A FACE-TO-FACE WCA (Q88 = 1)

Q90 [SHOWCARD JJ] Taking everything into account, how easy or difficult did you find travelling to the place where the Work Capability Assessment took place? If you made more than one visit, please think about the time when you had your medical assessment

- Very easy
- Fairly easy
- Neither easy nor difficult
- Fairly difficult
- Very difficult
- Don’t know/can’t remember
ASK IF HAD A FACE-TO-FACE WCA (Q88 = 1)

Q91 Did you take anyone such as a friend or relative with you into the Work Capability Assessment/medical?
INTERVIEWER NOTE: THIS MEANS SOMEONE ACTUALLY IN THE ROOM WITH THEM DURING THE MEDICAL

- Yes
- No
- Don’t know/can’t remember

ASK IF HAD A FACE-TO-FACE WCA (Q88 = 1)

Q91a How long did the Work Capability Assessment/medical last? DO NOT READ OUT BUT PROMPT IF NECESSARY

- Less than 15 minutes
- Between 15 and 29 minutes
- Between 30 and 44 minutes
- Between 45 and 59 minutes
- Between 1 and 2 hours
- over 2 but under 3 hours
- 3 hours or more
- Don’t know/Can’t remember
- Refused
- Code if estimate

ASK IF HAD A FACE-TO-FACE WCA (Q88 = 1)

Q92 Was there a physical examination?

- Yes
- No
- Don’t know/can’t remember
ASK IF HAD A FACE-TO-FACE WCA (Q88 = 1)

Q92a Did you see a doctor or a nurse or both?

- Doctor
- Nurse
- Both
- Don’t know/can’t remember

ASK IF SAW A DOCTOR AND/OR NURSE (Q92A = 1 TO 3)

Q92b [SHOWCARD KK] How well did you feel that [the doctor/nurse/they – TEXT SUB BASED ON ANSWERS AT Q92A] understood your condition?

- Very well
- Fairly well
- Not very well
- Not at all well
- Don’t know

ASK IF HAD A FACE-TO-FACE WCA (Q88 = 1)

Q93 How long was it before you were told the outcome of the Work Capability Assessment? DO NOT READ OUT BUT PROMPT IF NECESSARY

- Less than a week
- 1-4 weeks
- Longer than this
- Don’t know/can’t remember
ASK IF HAD A FACE-TO-FACE WCA (Q88 = 1)

Q94 Did you ask for a copy of the written report on the results of the Work Capability Assessment?

DO NOT READ OUT. SINGLE CODE ONLY.

- Yes - I’ve asked for one
- I didn’t ask for one but was offered one
- No, didn’t ask and not offered
- Don’t know/can’t remember

ASK IF ASKED FOR OR WAS OFFERED A REPORT (Q94 = 1 or 2)

Q94a And have you received this? IF YES, Was this face-to-face or by post?

- Yes – face to face
- Yes – by post
- No
- Don’t know/can’t remember

ASK IF RECEIVED A REPORT (Q94a = 1 or 2)

Q95 [SHOWCARD LL] How accurately did you feel the Work Capability Assessment report reflected your condition?

- Very accurately
- Fairly accurately
- Not very accurately
- Not at all accurately
- Don’t know/can’t remember
ASK IF REPORT DIDN'T ACCURATELY REFLECT THE CONDITION (Q95 = 3 or 4)

Q95a Why do you think it does not reflect your condition accurately? DO NOT READ OUT. MULTICODE OK. PROBE FULLY.

- OPEN
- Don’t know/ can’t remember

IF HAD A FACE TO FACE WCA (Q88 = 1)

Q96 Did you also have a Work Focused Health Related Assessment? (WFHRA) IF YES: Was that on the same day or a different day as the Work Capability Assessment? SINGLE CODE ONLY

INTERVIEWER TO SHOW RESPONDENTS THE WFHRA FORM TO AID RECALL.

IF NECESSARY: This is a broader discussion of how your health affects your daily life and your ability to work, and the types of support that might help. It is sometimes on the same day as the medical and sometimes later.

- Yes, on the same day
- Yes, but it was on a different day
- No, still waiting (GO TO Q102)
- No, have not heard about this (GO TO Q102)
- Don’t know/can’t remember (GO TO Q102)
ASK IF HAD A WFHRA (Q96 = 1 OR 2)

Q97 What were you asked about during the assessment? DO NOT PROMPT. PROBE FULL.Y. CODE ALL THAT APPLY

- Impact of health condition on daily life and ability to work
- Impact of treatment on daily life and ability to work
- Impact of medication on daily life and ability to work
- Current activities
- Support required for daily living activities (personal care, mobility)
- Caring responsibilities
- Future hopes and plans about paid work
- Expectations and hopes about health
- Support needed to return to work
- Support received to return to work
- Other, specify
- Don’t know/ Can’t remember
- Refused

ASK IF HAD A WFHRA (Q96 = 1 OR 2)

Q98 Have you had a copy of the summary of your Work Focused Health Related Assessment yet?

- Yes
- No
- Don’t know/can’t remember
- Refused
IF WAITING FOR WCA (MEDICAL) (Q88 = 3)

Q101 Do you know what the Work Capability Assessment will involve?

- Yes
- No
- Don’t know
- Refused

IF HAD WCA, AWAITING WFHRA (Q96 = 3 TO 5)

Q102 Do you know when your Work Focused Health Related Assessment? (WFHRA) will be?

IF NECESSARY: This is a broader discussion of how your health affects your daily life and your ability to work, and the types of support that might help. It is sometimes on the same day as the medical and sometimes later.

- Yes
- No
- Don’t know
- Refused

IF HAD WCA, AWAITING WFHRA (Q96 = 3 TO 5)

Q103 Do you know what the Work Focused Health Related Assessment (WFHRA) will involve?

- Yes
- No
- Don’t know
- Refused
Section 12: Seeing the Pathways adviser (Wave one ESA evaluation)

ASK ALL

Q104 As part of your most recent ESA claim, have you been asked to attend one or more meetings with an employment adviser?

IF NECESSARY: These meetings may be referred to as Work Focused Interviews. During these meetings, you would speak to a personal advisor at Jobcentre Plus or another organisation providing such services to Jobcentre Plus (e.g. A4E, Shaw Trust, Reed).

- Yes
- No
- Don’t know/can’t remember
- Refused (GO TO Q115)

ASK IF BEEN ASKED TO ATTEND A MEETING WITH AN EA (Q104 = 1)

Q105 How many meetings have you attended so far?

- 0
- 1
- 2 or more
- Don’t know/can’t remember
- Refused

ASK IF HAD A MEETING (Q105 = CODES 2 OR 3)

Q106 What did you discuss in these meetings? DO NOT READ OUT. CODE ALL THAT APPLY.

INTERVIEW NOTE: Permitted Work is the paid work someone is allowed to do while on benefits. When claiming ESA, he or she can do a maximum of 16 hours of paid work and earn a maximum of £93 a week. Jobcentre Plus staff have to be notified of this.
Health and how it affects work

The type of work wanted (including type of job, hours)

Money entitled to when working

Training/work experience/permitted work that could be arranged

How might apply for jobs

Services to help with managing a health condition

Helping to build confidence about working

Services available from other organisations to help find work

Other (specify)

Don’t know/can’t remember

Refused

ASK IF BEEN ASKED TO ATTEND A MEETING WITH AN EA (Q104 = 1)

Q106c [SHOWCARD MM] Personal advisers do not have access to information about the health conditions of the customers they meet. How would you feel if the adviser were to be provided with a report of what you discussed at your medical to help them advise you? SINGLE CODE ONLY

A. I would prefer the adviser to have this

B. I would prefer the adviser not to have this

C. I would want to have a choice about this

D. No preference

■ Don’t know

■ Refused
ASK IF HAD MORE THAN ONE MEETING (Q105 = CODE 3)

Q107: [SHOWCARD NN] From this card, could you tell me who did you see after the first meeting? Please read out one of the letters from the card.

SINGLE CODE ONLY.

A. The same adviser at the Jobcentre Plus
B. A different adviser at the Jobcentre Plus
C. A different adviser at a different organisation (Reed, A4E etc)
■ Don't know/can't remember
■ Refused

ASK IF SAW A DIFFERENT ADVISOR FROM THE FIRST (Q107 = 2 OR 3)

Q107a [SHOWCARD OO] From this card, how did you feel about changing adviser? SINGLE CODE ONLY

A. I prefer having a new advisor
B. I would have preferred seeing the original advisor
C. I don't have any preference on which advisor I see
Don't know
Refused

ASK IF SAW A DIFFERENT ADVISOR AT A DIFFERENT ORGANISATION (Q107 = 3)

Q107b [SHOWCARD PP] From this card, how did you feel about changing organisation? READ OUT

A. I prefer seeing an advisor from a different organisation
B. I would have preferred seeing someone at the Jobcentre Plus
C. I don't have any preference on which organisation I go to
Refused
**J35314**

**ASK IF HAD A MEETING (Q105 = CODES 2 OR 3)**

Q108 [SHOWCARD QQ] How helpful did you find the adviser at your first meeting?

- Very helpful
- Fairly helpful
- Not very helpful
- Not at all helpful
- Don’t know/can’t remember
- Refused

**ASK IF HAD MORE THAN ONE MEETING (IF Q105 = 3)**

Q108a [SHOWCARD QQ AGAIN] How helpful did you find the adviser(s) at subsequent meeting(s)?

- Very helpful
- Fairly helpful
- Not very helpful
- Not at all helpful
- Don’t know/can’t remember
- Refused

**ASK IF HAD A MEETING (Q105 = CODES 2 OR 3)**

Q109. Did you agree to do anything [following the meeting/between the meetings or since then – TEXT SUB DEPENDING ON THE NUMBER OF MEETINGS ATTENDED AT Q105]?

- Yes
- No
- No, because we didn’t plan a follow-up meeting
- Refused
**ASK IF AGREED TO DO SOMETHING (Q109 = 1)**

**Q109a What did you agree to do? DO NOT READ OUT. CODE ALL THAT APPLY. PROBE FULLY**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>■</td>
<td>Look for work</td>
</tr>
<tr>
<td>■</td>
<td>Do research into jobs</td>
</tr>
<tr>
<td>■</td>
<td>Apply for specific job(s)</td>
</tr>
<tr>
<td>■</td>
<td>Register with New Deal for Disabled People Job Broker (Shaw Trust etc)</td>
</tr>
<tr>
<td>■</td>
<td>Look for/do training course</td>
</tr>
<tr>
<td>■</td>
<td>Enrol/attend Condition Management Programme/ other health treatment</td>
</tr>
<tr>
<td>■</td>
<td>Look for/do Permitted Work, voluntary work, or other work preparation</td>
</tr>
<tr>
<td>■</td>
<td>Fill in/submit forms</td>
</tr>
<tr>
<td>■</td>
<td>Get look through information on work-related services</td>
</tr>
<tr>
<td>■</td>
<td>Other (Specify)</td>
</tr>
<tr>
<td>■</td>
<td>Don’t know/ can’t remember</td>
</tr>
</tbody>
</table>

**ASK IF AGREED TO DO SOMETHING (Q109 = 1)**

**Q109b Did you do all, some or none of the things that you agreed to do? SINGLE CODE ONLY.**

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>■</td>
<td>All</td>
</tr>
<tr>
<td>■</td>
<td>Some</td>
</tr>
<tr>
<td>■</td>
<td>None</td>
</tr>
<tr>
<td>■</td>
<td>Too early to say, e.g. PA contact recent/on-going</td>
</tr>
<tr>
<td>■</td>
<td>Don’t know/can’t remember</td>
</tr>
<tr>
<td>■</td>
<td>Refused</td>
</tr>
</tbody>
</table>
ASK IF HAD A MEETING (IF Q105 = CODES 2 OR 3)

Q110 How would you rate the meeting(s) you had with the personal adviser in helping you think about paid work in future? Would you say they were .... SINGLE CODE ONLY

READ OUT ...

- Very helpful
- Fairly helpful
- Not very helpful
- Not helpful at all
- Do not apply because already had job lined up (DO NOT READ OUT)
- Do not apply because work is not an option (DO NOT READ OUT)
- Don’t know/can’t remember
- Refused

ASK IF ASKED TO ATTEND A MEETING (Q104 = 1)

Q111 Why did you think you were asked to attend these meeting(s)? DO NOT READ OUT. MULTICODE OK. PROBE FULLY

- To help me get a job
- To try to get me off benefit
- To try to cut my benefits
- To find out more about my condition
- To find out more about my circumstances
- Other (specify)
- Don’t know
ASK IF ASKED TO ATTEND A MEETING (IF Q104 = 1)

Q112 Can I just check, did you think this meeting was compulsory. That is, you had to go?

INTERVIEWER, NOTE Although mandatory, meetings can be deferred if there is a good reason.

- Yes
- No
- Don’t know
- Refused

ASK IF ASKED TO ATTEND A MEETING (IF Q104 = 1)

Q113 Did anyone explain what might happen if you failed to attend the meeting or meetings?

- Yes
- No
- Don’t know
- Refused
ASK IF ASKED TO ATTEND A MEETING (IF Q104 = 1)

Q114 What did you think would happen to someone who failed to attend a meeting? DO NOT PROMPT BUT PROBE FULLY. CODE ALL THAT APPLY.

- Benefits would be stopped
- Benefits would be reduced
- Would delay claim
- Would affect benefits (not clear how)
- Would lose entitlements to other services
- Meeting would be rescheduled
- Nothing would happen
- Didn’t know what would happen
- Other
- Refused

ASK IF ATTENDED A MEETING (Q105 = CODES 2 OR 3)

Q117. Just to check, did the personal adviser tell you your benefit could be reduced or stopped?

INTERVIEWER NOTE IF ANY SANCTION APPLIED, IT IS USUALLY FOR A FIXED TIME ONLY

- Yes, reduced
- Yes, stopped
- Yes, both reduced and stopped
- No
- Don’t know/can’t remember
- Refused
ASK IF ASKED TO ATTEND A MEETING (Q104=1)

Q115. At any time since (your recent claim/ INSERT MONTH OF MOST RECENT CLAIM FROM SAMPLE OR Q5), have you had your benefit reduced as a result of not attending a meeting with staff at the Jobcentre Plus/Pathways provider?

■ Yes
■ No
■ Don’t know/can’t remember
■ Refused

Section 13: Education skills and training including highest qualification (wave one all)
ASK ALL

Now, I would like to ask you a few questions about your education qualifications.

Q124 Do you have any of the following? READ OUT

CODE ALL THAT APPLY

■ 1. Academic qualifications from school, college, adult education or university
■ 2. Work-related or professional qualifications
■ 3. No qualifications
**ASK IF SCHOOL RELATED QUALIFICATION (Q124 =1)**

Q125 [SHOWCARD RR] Which one of these qualifications is the highest you have passed? SINGLE CODE ONLY

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Degree or equivalent qualification</td>
</tr>
<tr>
<td>B</td>
<td>GCE 'A' level/Higher School Certificate</td>
</tr>
<tr>
<td>C</td>
<td>GCE 'O' level grades A, B, C/GCSE grades A, B, C/CSE grade 1</td>
</tr>
<tr>
<td>D</td>
<td>GCE 'O' level grades D, E/GCSE grades D, E/CSE grades 2-5</td>
</tr>
<tr>
<td>E</td>
<td>School certificate or matriculation</td>
</tr>
<tr>
<td>F</td>
<td>Certificate of Sixth Form Studies</td>
</tr>
<tr>
<td>G</td>
<td>SCE/SLC/SUPE Higher Grade</td>
</tr>
<tr>
<td>H</td>
<td>SCE Ordinary Grade A-C/Standard Grade 1-2</td>
</tr>
<tr>
<td>I</td>
<td>SCE Ordinary Grade D-E/Standard Grade 3-6</td>
</tr>
<tr>
<td>J</td>
<td>SLC/SUPE Lower or Ordinary</td>
</tr>
<tr>
<td>K</td>
<td>Foreign school/college qualifications</td>
</tr>
<tr>
<td></td>
<td><strong>Other</strong> (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)</td>
</tr>
<tr>
<td></td>
<td><strong>None of these</strong> (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)</td>
</tr>
<tr>
<td></td>
<td><strong>Don't know/can't remember</strong> (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)</td>
</tr>
</tbody>
</table>
IF Q124 = 2

ASK IF WORK-RELATED QUALIFICATIONS (Q124 = 2)

Q126 [SHOWCARD SS] And do you have any of the qualifications on this card?

MULTICODE OK

A. Recognised trade apprenticeship completed
B. City and Guilds-Craft/Intermediate/Ordinary
C. City and Guilds-Advanced/Final or Full technological
D. BEC/TEC/BTEC/SCOTBE/SCOTEC/SCOTVEC/National/General
E. BEC/TEC/BTEC/SCOTBE/SCOTVEC Higher
F. Ordinary National Cert/Dip(ONC/OND)
G. Higher National Cert/Dip(HNC/HND)
H. RSA/Pitman's secretarial or clerical
I. Other clerical/commercial qualification (e.g. typing, shorthand, book-keeping)
J. NVQ/SVQ
K. GNVQ/GSVQ
L. Nursing qualification
M. Teaching qualification (incl TEFL)
N. Foreign professional or work-related qualifications
   ■ Other (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)
   ■ None of these (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)
   ■ Don’t know/can’t remember (ALLOW IN SCRIPT BUT NOT ON SHOWCARD)
ASK ALL
Q127 Can I just check, do you have any problems with …
READ OUT. MULTICODE

- ... reading English
- ... writing English
- ... speaking English
- None of the above (DO NOT READ OUT)
- Refused (DO NOT READ OUT)

ASK ALL
Q128 [SHOWCARD TT] Which of these do you consider to be your first language?

A. English
B. Welsh
C. Gaelic
D. Ulster Scots/Ullans
E. Hindi
F. Gujarati
G. Punjabi
H. Bengali
I. Arabic
J. Urdu
K. Cantonese
L. Somali
M. Polish
N. Other (Specify)
Refused
ASK ALL

Q130 Can you personally read and fill out forms you might have to deal with [INSERT LANGUAGE AT Q128]? IF YES: Can you usually read this easily or with difficulty?

- 1. Yes, easily
- 2. Yes, but with difficulty
- 3. No
- Refused

ASK ALL

Q131: When you buy things in shops with a five or ten pound note, can you usually tell if you have the right change? PROBE IF YES: Can you usually do this easily or with difficulty?

- 1. Yes, easily
- 2. Yes, but with difficulty
- 3. No
- Refused

IF HAVE DIFFICULTY WITH, FILLING IN FORMS, CHECKING CHANGE IN SHOPS (Q130 = 2 OR 3) OR (Q131 = 2 OR 3)

Q131a Do problems with reading, writing or maths make it difficult to manage day to day activities, like paying bills, writing letters and so on?

- Yes
- No
- Refused
ASK ALL.

Q133 [SHOWCARD UU] Do you feel that any of these statements apply to you or your circumstances? MULTICODE OK

A. There aren’t enough job opportunities locally for people with my skills
B. I haven’t got the right qualifications or experience to find work
C. I couldn’t get the sort of job I would want
D. I am unlikely to get a job because of my age
E. I am unlikely to get a job because of my health condition or disability
F. I am unlikely to get a job because of my sickness record
G. I am unable to work because I look after someone who is frail, sick or disabled
H. I would be worse off financially if I got a job
I. My confidence about working is low
J. Employers aren’t recruiting at the moment because of the downturn
K. None of these

Don’t know

Section 15: Demographics (Wave one all)
ASK ALL

I’d like to finish by asking about the household in which you live.

Q134 Including yourself and any children, how many people are there in this household?

■ WRITE IN

ASK IF >1 PERSON IN HOUSEHOLD (Q134 >1)

Q135 Do any children aged under 16 normally live in this household? SINGLE CODE ONLY

■ Yes
■ No
ASK IF CHILDREN (Q135 = 1)

Q135a How old is the youngest child? INTERVIEWER TO CODE

- Under 7 years old
- 7-9 years-old
- 10-15 years old

ASK ALL

Q136 And does anyone aged 16 to 19 normally live in this household? IF YES Are any of them in full time education? SINGLE CODE ONLY

- Yes, some in FT education
- Yes, none in FT education
- No

ASK IF >1 PERSON IN HOUSEHOLD (Q134>1)

Q137 Can I just check, do you have a partner or spouse who normally lives with you? SINGLE CODE ONLY

- Yes
- No
IF LIVE WITH PARTNER/SPOUSE (Q137 = 1)

Q139 [SHOWCARD VV] Which one of the situations on this card best describes your partner/s spouse’s employment situation last week? SINGLE CODE ONLY

<table>
<thead>
<tr>
<th>EMPLOYED BY AN EMPLOYER AND:</th>
</tr>
</thead>
<tbody>
<tr>
<td>A. In work</td>
</tr>
<tr>
<td>B. Off sick and getting paid as normal</td>
</tr>
<tr>
<td>C. Off sick and getting sick pay (less than normal pay)</td>
</tr>
<tr>
<td>D. Off sick but not getting normal pay or sick pay</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SELF-EMPLOYED AND:</th>
</tr>
</thead>
<tbody>
<tr>
<td>E. Working</td>
</tr>
<tr>
<td>F. Not working due to sickness</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SICK IN SOME WAY:</th>
</tr>
</thead>
<tbody>
<tr>
<td>G. Temporarily sick or injured – no job to return to</td>
</tr>
<tr>
<td>H. Permanently off work because of sickness or disability</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>NOT WORKING BUT ACTIVELY SEEKING WORK:</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Waiting to take up a definite job offer, but not started yet</td>
</tr>
<tr>
<td>J. Unemployed and looking for work</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SOMETHING ELSE</th>
</tr>
</thead>
<tbody>
<tr>
<td>K. In training or education</td>
</tr>
<tr>
<td>L. On a government scheme</td>
</tr>
<tr>
<td>M. Looking after children or the home</td>
</tr>
<tr>
<td>N. Caring for someone who is frail, sick or disabled</td>
</tr>
<tr>
<td>O. Retired</td>
</tr>
<tr>
<td>P. Not in work for some other reason</td>
</tr>
</tbody>
</table>
**Q140 [SHOWCARD WW] Are you currently receiving any state benefits or child tax credits?**

**IF YES:** Ask `which ones?' **PROBE `Any others?'** UNTIL FINAL `No'.
**CODE ALL THAT APPLY.**

<table>
<thead>
<tr>
<th>SHOWCARD</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>A.</td>
<td>Severe Disablement Allowance.</td>
</tr>
<tr>
<td>B.</td>
<td>Industrial Injury Disablement Allowance.</td>
</tr>
<tr>
<td>C.</td>
<td>Disability Living Allowance / Care Component.</td>
</tr>
<tr>
<td>D.</td>
<td>Disability Living Allowance / Mobility Component.</td>
</tr>
<tr>
<td>E.</td>
<td>Disability Living Allowance / Components not known.</td>
</tr>
<tr>
<td>F.</td>
<td>Attendance Allowance</td>
</tr>
<tr>
<td>G.</td>
<td>Carer's Allowance (formerly Invalid Care Allowance).</td>
</tr>
<tr>
<td>H.</td>
<td>War Disability Pension</td>
</tr>
<tr>
<td>I.</td>
<td>Income Support.</td>
</tr>
<tr>
<td>J.</td>
<td>Job Seeker's Allowance.</td>
</tr>
<tr>
<td>K.</td>
<td>Return to Work Credit.</td>
</tr>
<tr>
<td>L.</td>
<td>Child Benefit (including Lone-Parent Child Benefit payments)</td>
</tr>
<tr>
<td>M.</td>
<td>Child Tax Credit</td>
</tr>
<tr>
<td>N.</td>
<td>Working Tax Credit (includes Disabled Person's Tax Credit)</td>
</tr>
<tr>
<td>O.</td>
<td>Maternity Allowance</td>
</tr>
<tr>
<td>P.</td>
<td>Housing Benefit / Rent Rebate or Allowance</td>
</tr>
<tr>
<td>Q.</td>
<td>Council Tax Benefit</td>
</tr>
<tr>
<td>R.</td>
<td>Any other state benefit, allowance or credit</td>
</tr>
<tr>
<td>S.</td>
<td>None of these (ALLOW ON SHOWCARD)</td>
</tr>
</tbody>
</table>
ASK ALL

Q141 [SHOWCARD XX] Which of these best describes the accommodation you are living in at the moment?
SINGLE CODE ONLY

A. Owned with a mortgage
B. Owned outright
C. Part-owned, part-rented
D. Rented
E. Rent-free
F. Living in my parent's/relative's home
G. Some other arrangement

IF RENT OR RENT-FREE (Q141 = 4 OR 5)

Q142 [SHOWCARD YY] And who is your landlord? SINGLE CODE ONLY

A. Local authority
B. Housing association
C. Employer (organisation) of a household member
D. Another organisation
E. Employer (individual) of a household member
F. Relative/friend of a household member
G. Another individual private landlord
Don't know
ASK ALL

Q143 [SHOWCARD ZZ] How long have you lived continuously in this local authority area? SINGLE CODE ONLY

■ Less than 12 months
■ 12 months but less than 2 years
■ 2 years but less than 3 years
■ 3 years but less than 5 years
■ 5 years but less than 10 years
■ 10 or more years
■ Don’t know/can’t remember

ASK ALL

Q144 INTERVIEWER PLEASE CODE THE GENDER OF THE RESPONDENT

■ Male
■ Female

Q144a INTERVIEWER: Code all who were present while interview with respondent conducted. CODE ALL THAT APPLY.

■ Spouse / partner
■ Parent(s) (incl step-/foster-)
■ Brother(s)/sister(s) (incl step-/foster-)
■ Own/related child(ren) (incl step-/ foster-/ partner’s)
■ Other relative(s)
■ Unrelated adult(s)
■ Unrelated child(ren)
■ Another interviewer/supervisor/researcher
■ No one else present
Q144b INTERVIEWER PLEASE CODE IF FULL OR PARTIAL PROXY INTERVIEW:

- YES – PARTIAL (REQUIRED HELP ANSWERING SOME QUESTIONS)
- YES – FULL (REQUIRED HELP ANSWERING ALL QUESTIONS)
- NO – NOT PROXY INTERVIEW (REQUIRED NO HELP ANSWERING QUESTIONS)

ASK ALL

Q145 How old were you on your last birthday?

- WRITE IN
- SOFT CHECK ON UNDER 16 AND OVER 65
Which of these best describes your ethnic background? SINGLE CODE ONLY

**White**

A. British  
B. Irish  
C. Any other white background (specify)

**Mixed**

D. White and Black Caribbean  
E. White and Black African  
F. White and Asian  
G. Any other mixed background (specify)

**Asian or Asian British**

H. Indian  
I. Pakistani  
J. Bangladeshi  
K. Any other Asian background (specify)

**Black or Black British**

L. Caribbean  
M. African  
N. Any other Black background (specify)

**Chinese or other ethnic group**

O. Chinese  
P. Any other (Specify)
ASK ALL
Q147 [SHOWCARD BBB] Could you tell me whether any of the following apply to you. Just read out the letter that applies. CODE ALL THAT APPLY.

- A. Have recently left care
- B. Are an offender under probation supervision
- C. Have spent criminal convictions
- D. Have unspent criminal convictions
- E. Are in contact with secondary mental health services (psychiatrist, specialist or clinic, not a GP)
- F. Have moderate to severe learning disabilities
- G. None of the above.

ASK ALL
Q148 The Department for Work and Pensions may want to do further research in the future about the issues we have discussed today. Would you be happy for us to contact you again as part of this research in six to 12 months’ time?

- Yes
- No
ASK ALL
Q149 We will be able to learn more about how helpful the services offered through Jobcentre Plus are if we are able to combine the answers you gave in the interview with details held by the Department for Work and Pensions. To make the information you give more complete, could we have your permission for the DWP to link your answers to administrative details that they hold, or may hold in future? After linking, your name would not be held with the information, and you would not be identified.

INTERVIEWER - IF ASKED FOR MORE DETAILS

We hope to use two sources of information, although it is possible that other information may be available in the future. One records who is receiving benefit, such as Incapacity Benefit or Income Support, and when they claimed it. The other is a record of who has taken part in interviews at Jobcentres.

IT IS IMPORTANT THAT AS MANY RESPONDENTS AS POSSIBLE GIVE INFORMED CONSENT AT THIS QUESTION.

- Consent for linking given and form signed
- Consent not given
- (Don’t know and refusals not allowed)

WORDING FOR CONSENT FORM

I confirm that I consent to the answers I give in this interview being linked by the Department for Work and Pensions, for research purposes, to administrative information they hold or may hold in future. I understand that this will in no way affect any claims for benefits now or in the future and that after linking my name will not be held with the information.
## Appendix F – Questionnaire (wave 2)

ESA evaluation and routes onto ESA survey – Wave 2 questionnaire – 23 July 2010

<table>
<thead>
<tr>
<th>VARIABLE</th>
<th>DESCRIPTION</th>
</tr>
</thead>
<tbody>
<tr>
<td>MONTHI</td>
<td>MONTH OF PREVIOUS INTERVIEW</td>
</tr>
<tr>
<td>MONTHC</td>
<td>MONTH OF CLAIM</td>
</tr>
<tr>
<td></td>
<td>WHETHER HAD A WCA</td>
</tr>
<tr>
<td>Q5</td>
<td>MONTH OF CLAIM (IF DISAGREE WITH INFORMATION ON SAMPLE)</td>
</tr>
<tr>
<td>Q8</td>
<td>WORK STATUS IMMEDIATELY BEFORE CLAIM</td>
</tr>
<tr>
<td>Q98</td>
<td>WHETHER CURRENTLY RECEIVING ESA</td>
</tr>
<tr>
<td>Q14</td>
<td>OVERALL EMPLOYMENT SITUATION</td>
</tr>
<tr>
<td>Q14A</td>
<td>WHETHER EVER DONE PAID WORK FOR MORE THAN A YEAR OR SO</td>
</tr>
<tr>
<td>Q15</td>
<td>WORK STATUS AT WAVE 1</td>
</tr>
<tr>
<td>Q33</td>
<td>WHETHER DOING PERMITTED WORK WHILE ON BENEFIT</td>
</tr>
<tr>
<td>Q36</td>
<td>HEALTH CONDITION OR DISABILITY</td>
</tr>
<tr>
<td>Q88</td>
<td>WHETHER HAD A WCA FOR MOST RECENT ESA CLAIM</td>
</tr>
<tr>
<td>Q96</td>
<td>WHETHER HAD A WFHRA</td>
</tr>
<tr>
<td>Q104</td>
<td>WHETHER BEEN ASKED TO ATTEND A WFI</td>
</tr>
<tr>
<td>Q107</td>
<td>WHO DID CLAIMANT SEE AFTER FIRST MEETING</td>
</tr>
<tr>
<td>Q112</td>
<td>WHETHER THOUGHT WFI WAS COMPULSORY</td>
</tr>
<tr>
<td>Q137</td>
<td>WHETHER HAD A SPOUSE LIVING IN SAME HOUSEHOLD</td>
</tr>
<tr>
<td>Q139</td>
<td>CURRENT WORK STATUS OF SPOUSE</td>
</tr>
<tr>
<td>Q140</td>
<td>BENEFITS OR TAX CREDITS (APART FROM ESA) RESPONDENTS WERE RECEIVING AT WAVE 1</td>
</tr>
<tr>
<td>Q144B</td>
<td>WHETHER PROXY INTERVIEW</td>
</tr>
<tr>
<td>Q148</td>
<td>WHETHER AGREED TO BE RECONTACTED</td>
</tr>
<tr>
<td>Q149</td>
<td>WHETHER AGREED TO DATA LINKING</td>
</tr>
</tbody>
</table>
SECTION 1 - INTRODUCTION

Hello. My name is …… from Ipsos MORI, the research organisation. We are carrying out a survey for the Department for Work and Pensions (DWP).

We spoke to you in [MONTHI] in relation to your Employment and Support Allowance claim in [MONTHC].

SHOW IF W1 Q144B = 1 OR 2: PLEASE NOTE THAT A <PARTIAL (W1 Q144B = 1) / FULL (W1 Q144B = 2)> PROXY INTERVIEW WAS CARRIED OUT AT WAVE 1.

We hope you can help us with this research again, as we would like to find out how things have changed since we last spoke to you. We have sent you a letter about this recently.

The interview should only take about 20 minutes.

As before, all the information we collect will be kept in the strictest confidence and used for research purposes only. It will not be possible to identify any particular individual or address in the results without your consent.

IF NECESSARY: It does not matter if your claim was closed, withdrawn or unsuccessful. We are still interested in hearing your views.

ASK ALL

F2F

INTERVIEWER PLEASE CODE IF FACE-TO-FACE INTERVIEWER REQUIRED:

- Yes (INTERVIEWER NOTE: USE THIS CODE ONLY IF ABSOLUTELY NECESSARY AS IT WILL TERMINATE INTERVIEW)
- No (PROCEED WITH INTERVIEW)

ASK IF F2F = 1

F2F2

INTERVIEWER PLEASE RECORD WHAT RESPONDENT NEEDS IN ORDER TO TAKE PART IN A FACE-TO-FACE INTERVIEW AND ANY OTHER DETAILS:

WRITE IN

[TERMINATE INTERVIEW]
SECTION 2 - CONSENT

ASK ALL

CONS. (Q1F). We need to show DWP that we have asked you for your permission to be part of this research.

Can I ask you to confirm that you have agreed to be interviewed again and understand that taking part is voluntary? Also, remember that taking part will NOT affect your claims for benefits now or in the future.

■ 1. Consent given
■ 2. No consent given – THANK AND CLOSE

(Don’t know and refusals not allowed)

IF NO CONSENT INTERVIEWER CLOSE INTERVIEW.

SECTION 3 – ESA CLAIM STATUS

ASK ALL

ESANOW

When we last spoke to you in [MONTH] we asked you some questions about your claim for ESA. We’d like to find out what you are doing now. Are you receiving ESA payments at the moment?

■ 1. Yes [GO TO EVERHAD]
■ 2. No [GO TO ESASINC]
■ Don’t know [GO TO JSAEVER]
■ Refused [GO TO JSAEVER]

EVERHAD

ASK IF ESANOW = 1 (CURRENTLY RECEIVING ESA) AND W1 Q88 = 2-8 (HAVE NOT HAD A WCA AT WAVE 1)

Have you ever had a face-to-face medical assessment for ESA?

IF NECESSARY: This is also called a Work Capability Assessment. It assesses your capability for work, and your capability for work-related activity. This involves seeing a doctor or nurse at a Medical Centre.

■ 1. Yes [GO TO RECDFIN]
■ 2. No [GO TO WHYNOCU]
■ Don’t know [GO TO SAMECLA]
■ Refused [GO TO SAMECLA]
WHYNOCU
ASK IF EVERHAD = 2 (THOSE WHO HAVE NEVER HAD A WCA)
Is this because...
IF NECESSARY: Why have you not had a Work Capability Assessment?
SINGLE CODE ONLY. READ OUT CODES 1 TO 3.

- 1. You have been told you are not required to have one (Support Group)
- 2. You have been given an appointment for one, but haven’t had it yet
- 3. You haven’t heard anything about this
- 4. DO NOT READ OUT - I’ve already had one
- Don’t know
- Refused

[ALL – GO TO SAMECLA]

RECDFIN
ASK IF ESANOW =1 AND (W1 Q88 = 1 OR EVERHAD = 1) (CURRENT RECIPIENTS WHO HAD AN WCA BEFORE)
Have you had a final decision on your current ESA claim?
INTERVIEWER NOTE: IF THE CUSTOMER IS APPEALING AGAINST A DECISION AND HAS NOT HAD A RESULT YET, THEY HAVE NOT HAD A FINAL DECISION ON THEIR CURRENT CLAIM – ANSWER ‘NO’ TO THIS QUESTION.

- 1. Yes [GO TO YFINALD]
- 2. No [GO TO WRAGAPP]
- Don’t know [GO TO WRAGAPP]
- Refused [GO TO SAMECLA]
YFINALD

IF RECFIN = 1 (THOSE WHO HAD A FINAL DECISION)

What was this decision? SINGLE CODE ONLY. READ OUT.

1. I was entitled to ESA and had to meet an adviser to help me look for work – this is also known as being placed in the Work-Related Activity Group
2. I was entitled to ESA and did not have to meet with an adviser – this is also known as being placed in the Support Group
Don't know
Refused

[GO TO WRAGAPP]

WRAGAPP

IF RECFIN = 1 OR 2 OR 3 (THOSE WHO HAD OR HAVE NOT HAD A FINAL DECISION, OR DIDN'T KNOW)

Some people appeal against a decision they receive on their ESA claim. Can I just check, did you appeal at any point?

1. Yes
2. No
Don't know
Refused

[GO TO SAMECLA]

SAMECLA

IF ESANOW = 1 (THOSE CURRENTLY RECEIVING ESA PAYMENTS)

Is your current ESA claim the same one as when we spoke to you in [MONTHI] or a new claim? SINGLE CODE ONLY. DO NOT READ OUT

IF A NEW CLAIM: Is it a second claim or the most recent of several claims?

1. The same claim [GO TO ESAPROSP]
2. A new (second) claim [GO TO PREVCLA]
3. The most recent of several claims [GO TO PREVCLA]
Don't know / Can't remember [GO TO JSAEVER]
Refused [GO TO JSAEVER]
PREVCLA

IF SAMECLA = 2 OR 3 (THOSE WHO HAD ANOTHER CLAIM SINCE WAVE 1)

IF SAMECLA = 2, SHOW: Why did your previous claim end?

IF SAMECLA = 3, SHOW: Why did the claim IMMEDIATELY before your current claim end?

SINGLE CODE ONLY. READ OUT.

■ 1. I decided to stop claiming myself before I got a decision on my claim [GO TO YWITHDR]
■ 2. I received a decision that I was Fit For Work and no longer entitled to ESA [GO TO PREVAPP]
■ 3. I received a decision that I was entitled to ESA but decided to stop claiming. [GO TO YWITHDR]
■ 4. My claim was closed by Jobcentre Plus [GO TO YCLOSED]
■ 5. Other (specify) [GO TO JSAEVER]
■ Don’t know / Can’t remember [GO TO JSAEVER]
■ Refused [GO TO JSAEVER]

YWITHDR

IF PREVCLA = 1 OR 3 (THOSE WHO WITHDREW THEIR CLAIM BEFORE A FINAL DECISION OR WITHDREW ALTHOUGH THEY WERE ENTITLED TO ESA)

Why did you stop claiming?

MULTICODE OK. DO NOT PROMPT.

■ I found a job
■ I started a business or became self-employed
■ The claim process was too complicated
■ Other (specify)
■ Don’t know
■ Refused

[GO TO JSAEVER]
YCLOSED
IF PREVCLA = 4 (THOSE WHOSE CLAIM WAS CLOSED BY JCP)
Do you know why your claim was closed?
MULTICODE OK. DO NOT PROMPT.

■ 1. I didn’t reply to letters [GO TO JSAEVER]
■ 2. I didn’t go to the medical assessment (Work Capability Assessment or WCA) [GO TO FTAWCAY]
■ 3. I received a decision that I was Fit For Work and no longer entitled to ESA [GO TO PREVAPP]
■ 4. Other (specify) [GO TO JSAEVER]
■ Don’t know [GO TO JSAEVER]
■ Refused [GO TO JSAEVER]

FTAWCAY
IF YCLOSED = 2 (IF CLAIM CLOSED BECAUSE THEY DID NOT ATTEND THE MEDICAL ASSESSMENT)
Can you tell me why you didn’t attend the medical assessment?

■ [OPEN]
■ [GO TO JSAEVER]

PREVAPP
IF YCLOSED = 3 OR PREVCLA =2
Did you appeal against this decision?

■ 1. Yes [GO TO JSAEVER]
■ 2. No [GO TO JSAEVER]
■ Don’t know [GO TO JSAEVER]
■ Refused [GO TO JSAEVER]
3.2 – THOSE NOT CURRENTLY CLAIMING ESA

ESASINC

IF ESANOW = 2 (THOSE NOT CURRENTLY CLAIMING ESA)

When we last spoke to you in [MONTHI] you said you [were W1 Q9B =1/were not W1 Q9B =2] receiving ESA payments. Since we spoke to you last [MONTHI], have you received ESA payments at all?

INTERVIEWER NOTE: IF DISAGREE WITH ANSWER AT WAVE 1, RECORD ON SEPARATE SHEET.

- 1. Yes [GO TO WCASINC]
- 2. No [GO TO AFTERCL]
- Don’t know [GO TO AFTERCL]
- Refused [GO TO AFTERCL]

WCASINC

IF ESASINC = 1 (THOSE WHO ARE NOT CLAIMING ESA NOW BUT HAVE MADE ANOTHER CLAIM SINCE WAVE 1)

SHOW IF W1 Q88 = 1-6: When we last spoke to you in [MONTHI] you also said you [had W1Q88=1/had not W1Q88=2-6] had a face-to-face medical assessment for ESA. Have you had one of these (also known as a Work Capability Assessment or WCA) for ESA since then?

SHOW IF W1 Q88 = 7 OR 8: Can I just check if you have had a medical assessment for ESA, which is also known as Work Capability Assessment or WCA, since we last spoke to you in [MONTHI]?

- 1. Yes [GO TO NDECISI]
- 2. No [GO TO WHYNOWC]
- Don’t know [GO TO DKENDED]
- Refused [GO TO DKENDED]
WHYNOWC

IF WCASINC = 2

Why didn’t you need to have a face-to-face medical assessment?

SINGLE CODE ONLY. READ OUT CODES 1-4.

- 1. I stopped claiming before I had a decision [GO TO NWITHDR]
- 2. My claim was closed by Jobcentre Plus [GO TO NCLOSED]
- 3. I was told I didn’t have to have one (also known as placed in Support Group) [GO TO WHYSTOP]
- 4. I received a decision that I was Fit For Work and no longer entitled to ESA [GO TO NAPPEAL]
- 5. DO NOT READ OUT - I’ve already had one [GO TO WHYSTOP]
- 6. Other (specify) [GO TO WHYSTOP]
- 7. Don’t know [GO TO WHYSTOP]
- Refused [GO TO DKENDED]

NDECISI

IF WCASINC = 1

Did you receive a decision after this assessment?

INTERVIEWER NOTE: WE ARE INTERESTED IN THE INITIAL DECISION IMMEDIATELY AFTER THEIR WORK CAPABILITY ASSESSMENT.

- 1. Yes [GO TO OLDDECI]
- 2. No [GO TO WHYNool]
- Don’t know [GO TO DKENDED]
- Refused [GO TO DKENDED]
OLDDECI
IF NDECISI = 1
What was this decision?
READ OUT. SINGLE CODE ONLY.

- 1. I was entitled to ESA and had to meet an adviser to help me look for work – this is also known as being in the Work-Related Activity Group [GO TO NAPPEAL]
- 2. I was entitled to ESA and did not have to meet with an adviser – this is also known as being in the Support Group [GO TO NAPPEAL]
- 3. I received a decision that I was Fit For Work and no longer entitled to ESA [GO TO NAPPEAL]
- Don’t know [GO TO DKENDED]
- Refused [GO TO DKENDED]

WHYNNOOL
IF NDECISI = 2
Was this because…
SINGLE CODE ONLY. READ OUT.

- 1. I stopped claiming before I received a decision [GO TO NWITHDR]
- 2. My claim was closed by Jobcentre Plus [GO TO NCLOSED]
- 3. Other (specify) [GO TO AFTERCL]
- Don’t know [GO TO DKENDED]
- Refused [GO TO DKENDED]

NWITHDR
IF WHYNNOOL = 1 OR WHYNOWC = 1
Why did you stop claiming?

- [Open] [GO TO AFTERCL]
Why was your claim closed?

SINGLE CODE ONLY. DO NOT PROMPT.

- 1. I didn’t reply to letters [GO TO AFTERCL]
- 2. I didn’t go to the medical assessment (Work Capability Assessment or WCA) [GO TO FTAWCAN]
- 3. I received a decision that I was Fit For Work and no longer entitled to ESA [GO TO NAPPEAL]
- Other (specify)
- Don’t know [GO TO AFTERCL]
- Refused [GOT TO AFTERCL]

FTAWCAN

IF NCLOSED =2

Can you tell me why you didn’t attend the medical assessment?

[OPEN]

[GO TO AFTERCL]

NAPPEAL

ASK IF NCLOSED = 3 OR WHYNOWC = 4 OR OLDDECI = 1 TO 3

Some people appeal against a decision they receive on their ESA claim. Can I just check, did you appeal at any point?

- 1. Yes
- 2. No
- Don’t know
- Refused
WHYSTOP
Can you tell me why your claim ended?

■ [Open] [GO TO AFTERCL]

DKENDED
ASK IF WCASINC = 3 or 4 OR NDECISI = 3 or 4 OR WHYNOOOL = 4 or 5 OR WHYNOWCA= 6 or 7 OR OLDECI =4 OR 5
Can you tell me why your ESA claim ended?
SINGLE CODE ONLY. READ OUT.
IF NECESSARY: We are interested in the MAIN reason your claim has ended.

■ 1. I received a decision I was Fit For Work and no longer entitled to ESA [GO TO DKAPPEA]
■ 2. I found a job [GO TO AFTERCL]
■ 3. I started a business or became self-employed [GO TO AFTERCL]
■ 4. I stopped claiming before I received a decision on my claim [GO TO DKWITHD]
■ 5. My claim was closed by Jobcentre Plus [GO TO DKCLOSE]
■ 6. Other (specify) [GO TO AFTERCL]
■ Don’t know / Can’t remember [GO TO AFTERCL]
■ Refused [GO TO AFTERCL]

ASK IF DKENDED = 4 [THOSE WHO STOPPED CLAIMING BEFORE RECEIVING A DECISION]

DKWITHD
Why did you stop claiming?

■ [Open] [GO TO AFTERCL]
Do you know why your claim was closed?

READ OUT. SINGLE CODE ONLY.

1. I didn’t reply to letters [GO TO AFTERCL]
2. I didn’t go to the medical assessment (Work Capability Assessment or WCA) [GO TO FTAWCAD]
3. I received a decision that I was Fit For Work and no longer entitled to ESA [GO TO DKAPEA]
4. Other specify [GO TO AFTERCL]
Don’t know [GO TO AFTERCL]
Refused [GO TO AFTERCL]

IF DKCLOSE =2

Can you tell me why you didn’t attend the medical assessment?

[OPEN]

GO TO AFTERCL

IF DKCLOSE = 3 or DKENDED = 1

Did you appeal against this decision?

1. Yes
2. No
Don’t know / Can’t remember
Refused

[GO TO AFTERCL]
Now I’d like you to think about the time immediately after your last ESA claim. What was the MAIN thing you did?

**INTERVIEWER NOTE:** WE WANT TO FIND OUT WHAT IS THE ‘NEXT STEP’ FOR RESPONDENTS. THIS IS LIKELY TO BE RELATED TO THEIR REASON FOR STOPPING CLAIMING. PLEASE MAKE SURE THAT YOU RECORD CLEARLY WHAT THEY DID, AND NOT ‘SAME AS BEFORE’.

- 1. Claimed another benefit [GO TO ANOTHER]
- 2. Got a job [GO TO JSAEVER]
- 3. Started a business / became self-employed [GO TO JSAEVER]
- 4. Went back to my job [GO TO JSAEVER]
- 5. Other (specify) [GO TO JSAEVER]
- Don’t know [GO TO JSAEVER]
- Refused [GO TO JSAEVER]

## ANOTHER

**IF AFTERCL = 1 (THOSE WHO CLAIMED ANOTHER BENEFIT)**

Which benefit was this?

SINGLE CODE ONLY. PROMPT ONLY IF NECESSARY.

- 1. Jobseekers' Allowance [GO TO BENSTILL]
- 2. Income Support [GO TO JSAEVER]
- 3. Other (specify) [GO TO JSAEVER]
- 4. Don’t know [GO TO JSAEVER]

## JSAEVER

**IF NOT [SAMECLA = 1 OR ANOTHER = 1] (ASK ALL EXCEPT THOSE WHO ARE CURRENTLY ON THE SAME ESA CLAIM AS WAVE 1 OR THOSE WHO CLAIMED JSA IMMEDIATELY AFTER THEIR LAST ESA CLAIM HAS CLOSED)**

Can I just check, have you claimed Jobseekers’ Allowance at all since we spoke to you last [MONTHI]?

- 1. Yes
- 2. No
- Don’t know
- Refused
Looking to the future, how much longer do you think you are likely to stay on ESA?

INTERVIEWERS’ NOTE: IF RESPONDENT HAS TERMINAL ILLNESS, PLEASE DO NOT ASK THIS QUESTION AND CODE REFUSED.

SINGLE CODE ONLY. PROMPT ONLY IF NECESSARY.

- 1. Less than 3 months
- 2. 3 months but less than 6 months
- 3. 6 months but less than 1 year
- 4. 1 year but less than 2 years
- 5. 2 or more years
- 6. Indefinitely
- Don’t know
- Refused

Now thinking about benefits apart from ESA.

BENSTILL

IF W1 Q140 = ONE CODE (THOSE WHO WERE RECEIVING ONE BENEFIT AT WAVE 1) - DO NOT COUNT ‘ANY OTHER BENEFIT’ AS A CODE.

You mentioned that you were receiving [Q140] when we spoke to you in [MONTHI], can I just check if you are still receiving this?

- Yes – GO TO BENOTHE
- No - GO TO BENOTHE
- Don’t know – GO TO SECTION 4
- Refused – GO TO SECTION 4
- Disagree with answer at wave 1 – ANSWER BENEFIT 1 & BENEFIT 2
ASK IF BENSTILL = 1 OR 2

Are you now receiving any other state benefits or tax credits [apart from ESA (Q2 = 1)]?

- Yes – GO TO WHICHBE
- No – GO TO SECTION 4
- Don’t know – GO TO SECTION 4
- Refused – GO TO SECTION 4

IF W1 Q140 = 19 (NONE OF THESE) (THOSE NOT RECEIVING ANY BENEFITS AT WAVE 1)

You mentioned when we spoke to you in [MONTHI], that you received no state benefits or tax credits. Can I just check if this is still the case?

- Yes – GO TO SECTION 4
- No, I am receiving another benefit [apart from ESA (ESANOW=1)] now – GO TO WHICHBE
- Don’t know – GO TO SECTION 4
- Refused – GO TO SECTION 4
- Disagree with answer at wave 1 – ANSWER BENEFIT 1 & BENEFIT 2
MULTIBE

IF MORE THAN ONE BENEFIT AT WAVEONE (W1 Q140 = MORE THAN ONE CODE): - DO NOT COUNT 'ANY OTHER BENEFIT' AS A CODE.

When we spoke to you last in [MONTH], you mentioned that you were receiving a number of benefits or tax credits [on top of ESA (if W1 Q9b = 1)]?

I’d like to find out what you are receiving now. For each payment I read out, could you tell me whether you are still receiving it?

READ OUT. MULTICODE OK.

DP: ONLY SHOW ANSWERS GIVEN AT WAVE 1

<table>
<thead>
<tr>
<th>Benefit Code</th>
<th>Benefit Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>T</td>
<td>Severe Disablement Allowance</td>
</tr>
<tr>
<td>U</td>
<td>Industrial Injury Disablement Allowance</td>
</tr>
<tr>
<td>V</td>
<td>Disability Living Allowance / Care Component</td>
</tr>
<tr>
<td>W</td>
<td>Disability Living Allowance / Mobility Component</td>
</tr>
<tr>
<td>X</td>
<td>Disability Living Allowance / Components not known</td>
</tr>
<tr>
<td>Y</td>
<td>Attendance Allowance</td>
</tr>
<tr>
<td>Z</td>
<td>Carer's Allowance (formerly Invalid Care Allowance)</td>
</tr>
<tr>
<td>AA</td>
<td>War Disability Pension</td>
</tr>
<tr>
<td>BB</td>
<td>Income Support</td>
</tr>
<tr>
<td>CC</td>
<td>Jobseekers’ Allowance</td>
</tr>
<tr>
<td>DD</td>
<td>Return to Work Credit</td>
</tr>
<tr>
<td>EE</td>
<td>Child Benefit (including Lone-Parent Child Benefit payments)</td>
</tr>
<tr>
<td>FF</td>
<td>Child Tax Credit</td>
</tr>
<tr>
<td>GG</td>
<td>Working Tax Credit (includes Disabled Person's Tax Credit)</td>
</tr>
<tr>
<td>HH</td>
<td>Maternity Allowance</td>
</tr>
<tr>
<td>II</td>
<td>Housing Benefit / Rent Rebate or Allowance</td>
</tr>
<tr>
<td>JJ</td>
<td>Council Tax Benefit</td>
</tr>
<tr>
<td>KK</td>
<td>Incapacity Benefit (WILL NOT SHOW ON SCREEN)</td>
</tr>
<tr>
<td>LL</td>
<td>Another state benefit, allowance or credit (WILL NOT SHOW ON SCREEN)</td>
</tr>
<tr>
<td>MM</td>
<td>Disagree with answer at wave 1 – ANSWER BENEFIT 1 &amp; BENEFIT 2</td>
</tr>
<tr>
<td>NN</td>
<td>None of these</td>
</tr>
</tbody>
</table>

[ALL GO TO OTHERBE]
OTHERBE

IF MORE THAN ONE BENEFIT AT WAVEONE ((W1 Q140 = MORE THAN ONE CODE) AND MULTIBE = ISN’T 18): - DO NOT COUNT ‘ANY OTHER BENEFIT’ AS A CODE.

Are you receiving any other state benefits or tax credits we haven’t mentioned?

- Yes – GO TO WHICHBE
- No – GO TO SECTION 4
- Don’t know – GO TO SECTION 4
- Refused – GO TO SECTION 4
WHICHBE SHOWCARD A

IF (BENOTHE = 1 OR BENANY = 2 OR OTHERBE = 1 OR W1 Q140 = 'ANY OTHER STATE BENEFIT' ONLY /DK) AND NOT(BENSTILL = 5 OR BENANY = 5 OR MULTIBE = 18)

SHOW IF: BENOTHE = 1 OR BENANY = 2 OR OTHERBE = 1

Can you tell me what other state benefits or tax credits you are receiving now?

SHOW IF: W1 Q140 / DK = 'ANY OTHER STATE BENEFIT' ONLY / DK

Can you tell me what state benefits or tax credits you are receiving now?

PROBE FULLY. MULTICODE OK. PROMPT ONLY IF NECESSARY.

IF DISABILITY LIVING ALLOWANCE: Can I just check if this is the care component or mobility component?

DP: DO NOT SHOW ANSWERS GIVEN AT WAVE 1

| 1. Severe Disablement Allowance |
| 2. Industrial Injury Disablement Allowance |
| 3. Disability Living Allowance / Care Component |
| 4. Disability Living Allowance / Mobility Component |
| 5. Disability Living Allowance / Components not known |
| 6. Attendance Allowance |
| 7. Carer's Allowance (formerly Invalid Care Allowance). |
| 8. War Disability Pension |
| 9. Income Support |
| 10. Jobseekers’ Allowance |
| 11. Return to Work Credit |
| 12. Child Benefit (including Lone-Parent Child Benefit payments) |
| 13. Child Tax Credit |
| 14. Working Tax Credit (includes Disabled Person's Tax Credit) |
| 15. Maternity Allowance |
| 16. Housing Benefit / Rent Rebate or Allowance |
| 17. Council Tax Benefit |
| 18. Incapacity Benefit |
| 19. Any other state benefit, allowance or credit |
| 20. None of these |

[ALL GO TO SECTION 4]
**BENEFIT1**

IF BENSTILL = 5 OR BENANY = 5 OR MULTIBE = 18

SHOWCARD A

Could you tell me which benefits or tax credits you were receiving when we spoke to you then?

PROBE FULLY. MULTICODE OK. PROMPT ONLY IF NECESSARY.

IF DISABILITY LIVING ALLOWANCE: **Can I just check if this is the care component or mobility component?**

1. Severe Disablement Allowance
2. Industrial Injury Disablement Allowance
3. Disability Living Allowance / Care Component
4. Disability Living Allowance / Mobility Component
5. Disability Living Allowance / Components not known
6. Attendance Allowance
7. Carer's Allowance (formerly Invalid Care Allowance)
8. War Disability Pension
9. Income Support
10. Jobseekers’ Allowance
11. Return to Work Credit
12. Child Benefit (including Lone-Parent Child Benefit payments)
13. Child Tax Credit
14. Working Tax Credit (includes Disabled Person's Tax Credit)
15. Maternity Allowance
16. Housing Benefit / Rent Rebate or Allowance
17. Council Tax Benefit
18. Incapacity benefit
19. Any other state benefit, allowance or credit
20. None of these
**BENEFIT 2**

**IF BENSTILL = 5 OR BENANY = 5 OR MULTIBE = 18**

**SHOWCARD A**

**And which benefits are you receiving now?**

**PROBE FULLY. MULTICODE OK. PROMPT ONLY IF NECESSARY.**

**IF DISABILITY LIVING ALLOWANCE:** Can I just check if this is the care component or mobility component?

| 1. Severe Disablement Allowance |
| 2. Industrial Injury Disablement Allowance |
| 3. Disability Living Allowance / Care Component |
| 4. Disability Living Allowance / Mobility Component |
| 5. Disability Living Allowance / Components not known |
| 6. Attendance Allowance |
| 7. Carer’s Allowance (formerly Invalid Care Allowance) |
| 8. War Disability Pension |
| 9. Income Support |
| 10. Jobseekers’ Allowance |
| 11. Return to Work Credit |
| 12. Child Benefit (including Lone-Parent Child Benefit payments) |
| 13. Child Tax Credit |
| 14. Working Tax Credit (includes Disabled Person’s Tax Credit) |
| 15. Maternity Allowance |
| 16. Housing Benefit / Rent Rebate or Allowance |
| 17. Council Tax Benefit |
| 18. Incapacity benefit |
| 19. Any other state benefit, allowance or credit |
| 20. None of these |

[ANSWERS FROM BENEFIT2 WILL BE CODED INTO QDUM2]
Section 4: Health status and expectations

I’m now going to ask some questions about your health as we are interested to know whether there has been any change in your health condition since we last spoke or whether it is still the same.

ASK ALL

LLTH (Q34F) Can I check, do you currently have any health problem, disability or long-term illness which limits your daily activities or the work you can do?

- 1. Yes
- 2. No
- 3. Refused

ASK ALL

HFLUCT (Q35F) Do you have a health condition that comes and goes or that gets better or worse from time to time? SINGLE CODE ONLY. DO NOT READ OUT.

- 1. Yes, health condition comes and goes
- 2. No
- Don’t know/not sure
- Refused

ASK ALL WHO HAD ONE HEALTH CONDITION AT WAVE 1 (ONE CODE AT Q36 W1) – EXCLUDE ‘OTHER LONG-TERM CONDITION, ‘OTHER HEALTH-PROBLEM OR DISABILITY’ AND ‘OTHER’ FROM LIST OF MEDICAL CONDITIONS

HEACHNG Last time we spoke to you, you mentioned that you had (INSERT CONDITION FROM WAVE ONE). Can I just check if you still have this health condition?

SINGLE CODE ONLY

- 1. Yes [GO TO HEALTHN]
- 2. No [GO TO HEALTHN]
- Don’t know [GO TO HEALTHN]
- Refused [GO TO HEALTHN]
- Disagree with answer at wave 1 – ANSWER CHANGEH1 AND CHANGEH2
HEALTHS

Last time we spoke to you in [MONTH], you mentioned that you had a number of health conditions. For each of the following health conditions, can you tell me whether you still have it?

READ OUT. MULTICODE OK.

DP: PLEASE SHOW CONDITIONS FROM WAVE 1 Q36 ONLY.

<table>
<thead>
<tr>
<th>Mental health conditions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Stress or anxiety</td>
</tr>
<tr>
<td>2. Depression</td>
</tr>
<tr>
<td>3. Fatigue or problems with concentration or memory</td>
</tr>
<tr>
<td>4. A mental health condition</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Conditions related to bones, muscle problems or physical injury</th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Problems with your arms or hands</td>
</tr>
<tr>
<td>6. Problems with your legs or feet</td>
</tr>
<tr>
<td>7. Problems with your neck, shoulders or back</td>
</tr>
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<th>Other condition or disability</th>
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<td>28.</td>
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</table>

HEALTHN

ASK IF AT LEAST ONE CONDITION AT WAVE 1’ ((AT LEAST ONE CODE AT Q36 W1 THOSE WHO HAVE A CONDITION NOW OR HAD AT LEAST ONE CONDITION AT WAVE 1) AND HEALTHS = ISN’T 28) – EXCLUDE ‘OTHER LONG-TERM CONDITION, ‘OTHER HEALTH-PROBLEM OR DISABILITY’ AND ‘OTHER’ FROM LIST OF MEDICAL CONDITIONS

Do you currently have any other health conditions or disabilities, which we haven’t mentioned? These might be things you didn’t have when we interviewed you in [MONTH].

- 1. Yes (GO to HNEWCON)
- 2. No (GO to HMAIN)
- Refused [GO to HMAIN]
Can you tell me which other condition or disability you have now?

SHOW IF: (LLTH = 1 OR HFLUCT = 1) AND (NOT W1 Q36 = ANY CONDITION) (THOSE WHO SAID THAT THEY HAVE A HEALTH CONDITION NOW AND DID NOT GIVE A CONDITION AT WAVE 1)

Can you tell me which condition or disability you have now?

MULTICODE OK. READ OUT IF NECESSARY. PROBE – ‘ANYTHING ELSE?’

<table>
<thead>
<tr>
<th>Mental health conditions</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Stress or anxiety</td>
</tr>
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<td>2. Depression</td>
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<td>3. Fatigue or problems with concentration or memory</td>
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<td>4. Other mental health conditions (other specify)</td>
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<thead>
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<th>Conditions related to bones, muscle problems or physical injury</th>
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<td>5. Problems with your arms or hands</td>
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21. Problems due to illegal use of drugs
22. Epilepsy
23. Learning difficulties including dyslexia
24. Aspergers syndrome or autism
25. Progressive illness not covered above
26. Other health problem or disability (Other specify)
27. HIV
28. Pregnancy/pregnancy-related problems
29. Problem with brain/nervous system/spinal cord

Refused

DP: PLEASE ADD DUMMY VARIABLE QDUM1 ON CONDITIONS RESPONDENTS CURRENTLY HAVE.

CHANGEH1

SHOWCARD B

HEACHNG = 5 OR HEALTHS = 28
Can you tell me which conditions or disability you had then?

MULTICODE OK. READ OUT IF NECESSARY. PROBE – ‘ANYTHING ELSE?’

Mental health conditions
1. Stress or anxiety
2. Depression
3. Fatigue or problems with concentration or memory
4. Other mental health conditions (other specify)

Conditions related to bones, muscle problems or physical injury
5. Problems with your arms or hands
6. Problems with your legs or feet
7. Problems with your neck, shoulders or back
8. Pain or discomfort
9. Other conditions related to bone or muscle problems or physical injury (other specify)

Long-term conditions that affect major organs or the whole body
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12. Heart problems or blood pressure including angina
13. Skin conditions or allergies
14. Cancer
15. Other long-term conditions (other specify)

Other condition or disability

16. Difficulty in seeing
17. Difficulty in hearing
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24. Aspergers syndrome or autism
25. A progressive illness
26. Other health problem or disability (Other specify)
27. HIV
28. Pregnancy/pregnancy-related problems
29. Problem with brain/nervous system/spinal cord
   Refused

CHANGEH2

SHOWCARD B

HEACHNG = 5 OR HEALTHS = 28

And which conditions or disability do you have now?

MULTICODE OK. READ OUT IF NECESSARY. PROBE – ‘ANYTHING ELSE?’
<table>
<thead>
<tr>
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<td>30. Refused</td>
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IF QDUM1 >1 (all with more than one condition)

And which of these do you consider to be your main health condition? SINGLE CODE ONLY

INTERVIEWER NOTE: IF RESPONDENT QUERIES WHAT WE MEAN, EXPLAIN WE WANT TO KNOW WHICH HEALTH CONDITION CAUSES THEM THE MOST DIFFICULTY

[record]
Don't know

ASK ALL

HEALTHS2 (Q51aF) Overall, since we last spoke to you, would you say that your health has been….READ OUT. SINGLE CODE ONLY.

■ 1. Getting better
■ 2. Getting worse
■ 3. Staying the same
■ 4. Changeable over time
■ 5. Don't know
■ 6. Refused

ASK ALL

FUTHEAL (Q51b) Looking to the future, do you think in six months’ time your health is likely to be…READ OUT. SINGLE CODE ONLY

■ 1. Better than now
■ 2. Worse than now
■ 3. About the same as now?
■ 4. Don't know
■ 5. Refused
ASK ALL WITH A HEALTH CONDITION QDUM1>=1 CODE

TREATNO (Q42) Can I just check whether you are currently receiving any treatment for your health condition[s]?

SINGLE CODE ONLY

- 1. Yes (GO TO TREATRE)
- 2. No (GO TO TREATAW)
- Don’t know [GO TO TREATAW]
- 4. Refused [GO TO TREATAW]

ASK THOSE RECEIVING TREATMENT (IF TREATNO = 1)

TREATRE (Q43) Which, if any, of the following treatments are you receiving? READ OUT. MULTICODE OK

- F. Prescribed drugs
- G. Physiotherapy
- H. Chemotherapy or radiotherapy
- I. Counselling, Cognitive Behavioural Therapy (CBT) or psychotherapy
- J. Condition still under investigation/still receiving tests [GO TO TREATAW]
- K. Other specify
- L. Don’t know
- M. Refused

ASK IF RECEIVING SPECIFIC TREATMENTS (TREATRE = 1 TO 4 OR 6).

TREATEN(Q44) Thinking about the treatment(s) you are currently receiving, when do you expect them to end?

INTERVIEWER NOTE: IF THERE IS NO END DATE FOR THIS, PLEASE CODE NULL.

Code month and year
Code if estimate
Indefinite
Don’t know
TREATIM (Q45)

ASK IF TREATNO = 1 AND NOT CODE 5 AT TREAT

How do you expect your main health condition to change as a result of this treatment /these treatments? Choose one which best applies.

READ OUT. SINGLE CODE ONLY.

1. I do not expect my health condition to improve
2. I am expecting that my health condition will be improved or easier to manage as a result of this treatment, but I still expect to have some health limitations
3. This treatment should resolve my current health problems but I expect to need further treatment in future
4. I am expecting that my health condition will be fully cured by this treatment
5. DO NOT READ OUT - Refused all questions in this section (SKIP TO SECTION 5)
6. Other [specify]
7. Don’t know
8. Refused

ASK ALL WITH A HEALTH CONDITION QDUM1>=1 CODE AND NOT CODE 8 AT TREATIM

TREATAW (Q46) Can I just check whether you are currently WAITING for any treatment for your main health condition?

- Yes [GO TO WHTREAT]
- No [GO TO SECTION 5]
- Don’t know [GO TO SECTION 5]
ASK THOSE WAITING FOR TREATMENT (TREATAW= 1)

WHTREAT (Q47) Which, if any, of the following treatments are you waiting for? READ OUT. MULTICODE OK

INTERVIEWER NOTE: IF RESPONDENT SAYS IT WILL DEPEND ON THE ADVICE OF HEALTH SPECIALIST, CODE ‘DK’.

1. Prescribed drugs
2. Operation or surgery
3. Physiotherapy
4. Chemotherapy or radiotherapy
5. Counselling, Cognitive Behavioural Therapy (CBT) or psychotherapy
6. Other (specify)
7. Don’t know
8. Refused

ASK THOSE WAITING FOR TREATMENT (WHTREAT = 1-6)

RETREAT (Q48) How long do you think it will be before you receive this treatment /these treatments?

SINGLE CODE ONLY. PROMPT ONLY IF NECESSARY.

- Within a month
- 1 month but less than 3 months
- 3 months but less than 6 months
- 6 months or more
- Don’t know
ASK THOSE WAITING FOR TREATMENT (WHTREAT = 1-6)

**TREATCH (Q49)** How do you expect your health condition to change as a result of [this treatment (IF WHTREAT = 1 ANSWER)/ these treatments (IF WHTREAT = MORE THAN ONE ANSWERS)]?

READ OUT. SINGLE CODE ONLY.

<p>| | |</p>
<table>
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</tr>
<tr>
<td>5.</td>
<td>Other (specify)</td>
</tr>
<tr>
<td>6.</td>
<td>Don’t know</td>
</tr>
<tr>
<td>7.</td>
<td>Refused</td>
</tr>
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</table>
Section 5: Employment since last interview

We'd now like to ask about your employment situation, to see whether it has stayed the same or changed since we last spoke to you.

IF Q15=7-16 AND (q14=1-3 OR Q14a=1) at W1.

YJOBEND (Q23F) SHOWCARD C

Last time we spoke to you in [MONTHI], you said that you had done paid work in the past.

Can I just check, thinking about the last job you were in before we spoke to you, what were the main reasons it came to an end? DO NOT READ OUT. MULTICODE OK

<table>
<thead>
<tr>
<th></th>
<th>Reason</th>
</tr>
</thead>
<tbody>
<tr>
<td>21</td>
<td>Temporary/seasonal work came to an end</td>
</tr>
<tr>
<td>22</td>
<td>Fixed term contract came to an end</td>
</tr>
<tr>
<td>23</td>
<td>Dismissed</td>
</tr>
<tr>
<td>24</td>
<td>Made redundant/laid off</td>
</tr>
<tr>
<td>25</td>
<td>Took voluntary redundancy</td>
</tr>
<tr>
<td>26</td>
<td>Felt forced to leave</td>
</tr>
<tr>
<td>27</td>
<td>Resigned/decided to leave</td>
</tr>
<tr>
<td>28</td>
<td>Took early retirement</td>
</tr>
<tr>
<td>29</td>
<td>Gave up work because of own ill-health or disability</td>
</tr>
<tr>
<td>30</td>
<td>Gave up work because of ill-health or disability of other(s)</td>
</tr>
<tr>
<td>31</td>
<td>Became pregnant</td>
</tr>
<tr>
<td>32</td>
<td>Gave up work to look after my child(ren)</td>
</tr>
<tr>
<td>33</td>
<td>Gave up work for other family or personal reasons</td>
</tr>
<tr>
<td>34</td>
<td>Not financially worthwhile to do that job</td>
</tr>
<tr>
<td>35</td>
<td>Didn’t like job</td>
</tr>
<tr>
<td>36</td>
<td>The company went out of business</td>
</tr>
<tr>
<td>37</td>
<td>Had to serve prison sentence</td>
</tr>
<tr>
<td>38</td>
<td>Other (Specify)</td>
</tr>
<tr>
<td>39</td>
<td>Don’t know/can’t remember</td>
</tr>
<tr>
<td>40</td>
<td>Refused</td>
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</table>
ASK IF DIDN’T MENTION HEALTH AS A REASON FOR JOB ENDING ((YJOBEND = 3 to 8 or 10, 12, 13, 14, 15 or 18) AND (NOT YJOBEND = 9))

ROLEHLT (Q24F) Did your health condition or disability play a part in this job coming to an end, or not? SINGLE CODE ONLY

- 1. Yes
- 2. No
- Don’t know
- Refused

ASK IF HEALTH PLAYED A PART IN JOB ENDING (YJOBEND = 9 OR ROLEHLT = 1)

HOWIMPH (Q24aF) Was your health condition or disability the main reason or just one of the reasons? SINGLE CODE ONLY

- 1. Main reason
- 2. One of the reasons
- Don’t know/Can’t remember

ASK IF W1 Q15 = 1-16

EMPCHG Last time we spoke to you, you were [W1Q15]. Has there been any change in your employment situation since then?

- 1. Yes [GO TO EMPNOW]
- 2. No
- Disagree with wave 1 answer [GO TO AMEND1]
Which one of the following situations best describes your employment situation then? SINGLE CODE ONLY. READ OUT.

1. Employed by an employer and in work
2. Employed by an employer and off sick and getting paid as normal
3. Employed by an employer and off sick and getting sick pay (less than normal pay)
4. Employed by an employer and off sick but not getting normal pay or sick pay
5. Self-employed and working
6. Self-employed and not working due to sickness
7. Temporarily sick or injured – no job to return to
8. Permanently off work because of sickness or disability
9. Waiting to take up a definite job offer, but not started yet
10. Unemployed and looking for work
11. In training or education
12. On a government scheme
13. Looking after children or the home
14. Caring for someone who is frail, sick or disabled
15. Retired
16. Not in work for some other reason (specify)
17. Don’t know/can’t remember
18. Refused
EMPCHG = isn't 2

EMPNOW (Q15F)

SHOWCARD D

Which one of the following situations best describes your current employment situation? SINGLE CODE ONLY. READ OUT.

- 1. Employed by an employer and in work
- 2. Employed by an employer and off sick and getting paid as normal
- 3. Employed by an employer and off sick and getting sick pay (less than normal pay)
- 4. Employed by an employer and off sick but not getting normal pay or sick pay
- 5. Self-employed and working
- 6. Self-employed and Not working due to sickness
- 7. Temporarily sick or injured – no job to return to
- 8. Permanently off work because of sickness or disability
- 9. Waiting to take up a definite job offer, but not started yet
- 10. Unemployed and looking for work
- 11. In training or education
- 12. On a government scheme
- 13. Looking after children or the home
- 14. Caring for someone who is frail, sick or disabled
- 15. Retired
- 16. Not in work for some other reason (specify)
- 17. Don’t know/can’t remember
- 18. Refused

DUMMY VARIABLE ‘JOB’ FOR TEXT SUBSTITUTION IN THE REST OF THIS SECTION

JOB = 1 (PRESENT TENSE) IF (Q15 = 1-6 AND EMPCHG = 2) OR (EMPNOW = 1-6)

JOB = 2 (PAST TENSE) ELSE
IF EMPNOW = 7-16 (CURRENTLY NOT IN PAID WORK)

PREVWK. Can I just check, although you are currently not in paid work, have you done any paid work since we last spoke to you in [MONTH]?  

- 1 Yes [GO TO EMPSELF]
- 2 No   (GO TO PWAWARE)

EMPSELF

IF PREVWK = 1 (THOSE WHO DID PAID WORK BETWEEN W1 AND WAVE 2)

Thinking about your last paid job, were you...

READ OUT. SINGLE CODE ONLY.

- 1. Working for an employer
- 2. Self-employed

ASK ALL APART FROM THOSE WHO WERE DOING PERMITTED WORK AT WAVE 1 (NOT W1 Q33 = 1) AND (ESANOW = 1 OR ESASINC = 1)

PWAWARE.

Permitted Work is the paid work someone is allowed to do while on benefits. When claiming ESA, he or she can work up to 16 hours of paid work and earn up to £93 a week. Jobcentre Plus staff have to be notified of this. Have you heard of this?

- 1. Yes
- 2. No
- Don’t know/can’t remember
- Refused
ASK if PWARE = 1 OR W1 Q33 = 1

**PWAREH**

IF PWARE = 1, SHOW How did you hear about Permitted Work?

IF W1 Q33 = 1, SHOW: You mentioned when we last spoke to you in [MONTHI], that you had done Permitted Work. Can you remember how you heard about it?

IF W1 Q33 = 1, SHOW: **IF NECESSARY**: Permitted Work is the paid work someone is allowed to do while on benefits. When claiming ESA, he or she can do a maximum of 16 hours of paid work and earn a maximum of £93 a week. Jobcentre Plus staff have to be notified of this.

**SINGLE CODE ONLY. DO NOT READ OUT.**

**INTERVIEW NOTE**: A PATHWAYS ADVISER IS AN EMPLOYMENT ADVISER WHO MEETS WITH SOME ESA CUSTOMERS TO DISCUSS STEPS TO HELP THEM MOVE TOWARDS WORK. SOME ADVISERS WORK FOR JOBCENTRE PLUS, WHILE SOME ARE NOT FROM JOBCENTRE PLUS AND WORK FOR ORGANISATIONS SUCH AS A4E, REED, OR INGEUS.

- 1. Jobcentre Plus adviser
- 2. A Pathways adviser not from Jobcentre Plus
- 3. A adviser who is not from Jobcentre Plus and not a Pathways advisor (e.g. advisor from Citizens’ Advice Bureau
- 4. Health professional (e.g. GP)
- 5. Friend or relative
- 6. Internet
- 7. Leaflet etc
- 8. Other (Specify)
- 9. Did not do permitted work at wave 1
- Don’t know/can’t remember
- Refused
ASK IF (EMPNOW = 1 TO 6) AND (PWAWARE = 1 OR W1Q33 = 1)

**PWNOW (Q33)**

SHOW IF EMPNOW = 1 OR 5: Is the work you are currently doing Permitted Work?
SHOW IF EMPNOW = 2 TO 4 OR ELSE6: Was the work you were doing before you went off sick Permitted Work?

- Yes [GO TO PWCONS]
- No [GO TO PWDONE]
- Don’t know

ASK if (PWAWARE = 1 OR W1 Q33 = 1) AND (PREVWK = 1 OR PWNOW = 2)

**PWDONE (Q33F).**

Can I check, since we last spoke to you have you done any [further [IF Q33W1 = 1 AND PAWAREH = NOT 9] ] Permitted Work?

- 1. Yes
- 2. No
- 3. Don’t know

ASK IF PWAWARE=1 AND (PWDONE = NOT 1 AND W1Q33 NOT 1 AND PWNOW = NOT 1)(THOSE AWARE OF PERMITTED WORK BUT HAVE NOT DONE IT AT WAVES 1 OR 2)

**PWCONS. (Q33bf)**

[Since you’ve been receiving ESA, ESANOW =1/While you were receiving ESA, ESANOW =2 have you [considered/did you consider] doing Permitted Work?

- 1. Yes
- 2. No
- 3. Don’t know/can’t remember
SAMEJOB (Q20aF):

IF ((EMPNOW = 1-6 OR QPREVWK = 1) AND W1 Q8 = 1-6) (THOSE WHO DID PAID WORK SINCE WAVE 1 – WHETHER OR NOT CURRENTLY IN EMPLOYMENT – AND WHO WERE WORKING BEFORE CLAIMING ESA AT WAVE 1)

Is the job you [are [JOB = 1]/were [ JOB = 2]] doing… READ OUT. SINGLE CODE ONLY

READ OUT. SINGLE CODE ONLY.

- 1. The same job as before you became ill
- 2. Not the same post but similar to the job you were doing before you became ill
- 3. A completely new job (different occupation)
- Don’t know/Can’t remember
- Refused

ASK (EMPNOW = 1-6 OR QPREVWK = 1) (THOSE WHO DID PAID WORK SINCE WAVE 1 – WHETHER OR NOT CURRENTLY IN EMPLOYMENT – AND WHO WERE WORKING BEFORE CLAIMING ESA AT WAVE 1)

SAMEEMPL

IF JOB = 1: Thinking about your current job, Is it…

IF JOB = 2: Thinking about your most recent paid job, was it…

READ OUT. SINGLE CODE ONLY.

- 1. With the same employer, or self-employed in the same business, as before you made your claim, or
- 2. With a new employer, or self-employed in a new business?
- Don’t know/can’t remember
- Refused
EMPSIZE

IF ((EMPNOW = 1 TO 4 OR EMPSELF = 1) AND JOB = 1), SHOW: How many people work for your employer at the place where you work?

IF ((EMPNOW = 1 TO 4 OR EMPSELF = 1) AND JOB = 2), SHOW: How many people worked for your employer at the place where you worked?

IF ((EMPNOW = 5 OR 6 OR EMPSELF = 2) AND JOB = 1), SHOW: How many people do you employ?

IF ((EMPNOW = 5 OR 6 OR EMPSELF = 2) AND JOB = 2), SHOW: How many people did you employ?

SINGLE CODE ONLY. READ OUT ONLY IF NECESSARY.

INTERVIEWER NOTE: WE WANT TO FIND OUT THE NUMBER OF PEOPLE WORKING ON SITE, NOT FOR THE ORGANISATION AS A WHOLE. IF RESPONDENT SAYS DON'T KNOW ASK THEM TO ESTIMATE WHETHER IT IS UNDER 25 OR 25 OR OVER

- None (0) (ONLY SHOW IF SELF-EMPLOYED - EMPNOW = 5 OR 6 OR EMPSELF = 2)
- 1-24
- 25-50
- 51-249
- 250 – 499
- 500+

IF DON'T KNOW -
- Don't know but under 25
- Don't know but 25 or more
- Don't know

ASK IF SameEMPL = 2 AND EMPSIZE NOT = 0)

SUPERV

[Do [JOB = 1]/Did [JOB = 2]] you supervise any other employees?

IF NECESSARY: A SUPERVISOR OR FOREMAN IS RESPONSIBLE FOR OVERSEEING THE WORK OF OTHER EMPLOYEES ON A DAY-TO-DAY BASIS.

- Yes
- No
ASK IF SAMEEMPL = 2

OCCUPA

IF JOB = 1, SHOW: What is your main job?

IF JOB = 2, SHOW: What was your main job?

SINGLE CODE ONLY. PROMPT ONLY IF NECESSARY.

INTERVIEW NOTE: PLEASE CODE THEIR JOB TITLE INTO THE OCCUPATION GROUP BELOW.

IF NECESSARY: Which of the following best describes the sort of work you [do/did – PRESENT TENSE IF EMPNOW = 1 TO 6, OTHERS PAST TENSE]?

- **Modern professional occupations** - such as: teacher, nurse, physiotherapist, social worker, welfare officer, artist, musician, police officer (sergeant or above), software designer

- Clerical and intermediate occupations - such as: secretary, personal assistant, clerical worker, office clerk, call centre agent, nursing auxiliary, nursery nurse

- Senior managers or administrators - usually responsible for planning, organising and co-ordinating work and for finance - such as: finance manager, chief executive

- Technical and craft occupations - such as: motor mechanic, Fitter, inspector, plumber, printer, tool maker, electrician, gardener, train driver

- Semi-routine manual and service occupations - such as: postal worker, machine operative, security guard, caretaker, farm worker, catering assistant, receptionist, sales assistant

- Routine manual and service occupations - such as: HGV driver, van driver, cleaner, porter, packer, sewing machinist, messenger, labourer, waiter/waitress, bar staff

- Middle or junior managers - such as: office manager - retail manager - bank manager - restaurant manager - warehouse manager - publican

- Traditional professional occupations - such as: accountant, solicitor, medical practitioner, scientist, civil/mechanical engineer
ASK IF EMPNOW = 1-6 OR PREVWK = 1 (THOSE WHO DID PAID WORK SINCE WAVE 1) OR IF (W1Q15 = 1-6 AND EMPCHG = 2)

**EARNs (Q32F)** What [do [JOB = 1]/did [JOB = 2]] you usually earn before deductions for tax and national insurance, and including any overtime, bonuses or tips?

INTERVIEWER NOTE: WE ARE INTERESTED IN THEIR CURRENT/LAST MAIN job, NOT THE WORK THEY DO/DID WHILE OFF SICK/PERMITTED WORK. THIS FIGURE SHOULD BE FOR USUAL EARNINGS, NOT EARNINGS WHILE OFF SICK. PLEASE ACCEPT BEST ESTIMATE IF CAN’T GIVE ACCURATE FIGURE.

- WRITE IN AMOUNT
- Weekly (SOFT CHECK ON OVER £2,000)
- Monthly (SOFT CHECK ON OVER £10,000)
- Annual (SOFT CHECK ON OVER £100,000)
- Code if estimate
- Don’t know/can’t remember

**EARNsPE**

IF EARNs = >0

Is that weekly, monthly or annual?

1. Weekly (SOFT CHECK ON OVER £2,000)
2. Monthly (SOFT CHECK ON OVER £10,000)
3. Annual (SOFT CHECK ON OVER £100,000)

**EARNSES**

IF EARNs = >0

Is this amount an estimate?

1. Yes
2. No
HOURS (Q31F)

ASK IF EMPNOW = 1-6 OR QPREVKW = 1 (THOSE WHO DID PAID WORK SINCE WAVE 1 – WHETHER OR NOT CURRENTLY IN EMPLOYMENT) OR IF W1Q15 = 1-6 AND EMPCHG = 2

How many hours a week [do [JOB = 1]/did [JOB = 2] you usually work, excluding meal breaks but including any paid overtime?

- [WRITE IN NUMBER OF HOURS] INTERVIEWER NOTE: PLEASE ACCEPT BEST ESTIMATE IF CAN'T GIVE ACCURATE FIGURE (SOFT CHECK ON OVER 60 HOURS)
- Code if estimate
- Don’t know/ can’t remember

ASK EMPNOW = 1-6 (THOSE WHO CURRENTLY IN PAID WORK) AND EMPCHG =1

WHENSTA

When did you start the job you [are currently doing [JOB = 1]/had [JOB = 2]? Please tell me the month and year.

- MM (allow range 1-12)
- YY (allow range 1960 – 2010)
- Don’t know/Can’t remember

ASK IF EMPNOW = 1-6 (THOSE CURRENTLY IN PAID WORK) OR QPREVKW =1

JOBHELP

IF ((EMPNOW = 1 TO 4 OR EMPSELF = 1) AND JOB = 1), SHOW: Thinking about when you applied for your current job, did you receive help or advice from anyone?

IF ((EMPNOW = 1 TO 4 OR EMPSELF = 1) AND JOB = 2), SHOW: Thinking about when you applied for your last job, did you receive help or advice from anyone?

IF ((EMPNOW = 5 OR 6 OR EMPSELF = 2), SHOW: Thinking about when you started self-employment, did you receive help or advice from anyone?

IF NECESSARY: By this, we mean that you have received help in or advice on finding the vacancy, doing application, at interview, setting up in business etc.

- 1. Yes
- 2. No
- Don’t know/can’t remember
JBHELPW (Q21F)

IF JOBHELP = 1

Was this…. READ OUT. MULTICODE OK.

PROBE: ‘Anybody else’?

- 1. Someone already working in the workplace in the same line of work
- 2. My personal adviser
- 3. Someone else at Jobcentre Plus
- 4. A New Deal for Disabled People (NDDP) Personal Adviser
- 5. A Job Broker staff member (someone at an external organisation such as A4E, Reed, Shaw Trust) who helps people find work
- 6. Someone at an employment agency
- 7. Someone in your family, a relative or a friend
- 8. Someone else (specify)
- 9. No one helped, I applied for.started it myself
- Don’t know
- Refused
ASK IF SOMEONE HELPED THEM (IF JBHELPW = CODES 1 TO 8)

HELPIMP (Q21bF) Suppose you had not received that help from [that person/those people – TEXT SUB BASED ON NUMBER OF ANSWERS GIVEN AT Q21F], how likely or unlikely are you to have got your [current [JOB = 1/last job [JOB = 2]? Was it…

READ OUT. SINGLE CODE ONLY.

- 1. Very likely or certain
- 2. Fairly likely
- 3. Not very likely
- 4. Not at all likely
- 5. Definitely would not have [got job/started business]
- 6. Don't know
- 7. Refused

ASK IF EMPNOW = 1 to 4 OR PREVWK = 1 (THOSE CURRENTLY IN PAID WORK OR DID SOME PAID WORK BETWEEN WAVES 1 AND 2)

ADJ01 Thinking back to your return to work, did your employer make any changes to the job or working conditions to accommodate your health condition or disability?

INTERVIEWER NOTE: PLEASE IGNORE CHANGES MADE FOR OTHER REASONS. IF RESPONDENT DID NOT HAVE A NEW JOB, PLEASE DO NOT ASK QUESTION AND CODE 'DON'T KNOW'.

- 1. Yes [GO TO ADJ02]
- 2. No [GO TO SUPP01]
- 3. Don’t know/ can’t remember [SUPP01]
- 4. No longer had a health condition/disability [SUPP01]
IF YES (CODE 1 AT ADJ01)

**ADJ02** What kinds of things were changed?

MULTICODE OK. PROMPT ONLY IF NECESSARY

- 1. Change of duties
- 2. Change to number of hours worked
- 3. Change to the pattern of hours worked
- 4. Allowed to work more flexible hours
- 5. Given permission to take emergency leave as needed
- 6. Allowed to take more breaks
- 7. Equipment provided or adaptations made
- 8. Other changes (specify)

IF YES (CODE 1 AT ADJ01)

**ADJ03** Has this change (IF MORE THAN ONE AT QADJ02 CHANGE TO: Have any of these changes) helped you to keep doing that job?

- 1. Yes
- 2. No
- Don’t know/not sure
- Refused
ASK IF EMPNOW = 1 to 6 OR PREWK = 1 (THOSE CURRENTLY IN PAID WORK OR DID SOME PAID WORK BETWEEN WAVES 1 AND 2)

**ESUPP01**

We would like to know whether any other factors have helped you get back to work. Could you tell me whether each of following things has helped you get back to work?

INTERVIEWERS' NOTE: IF RESPONDENT DID NOT HAVE A NEW JOB, PLEASE DO NOT ASK QUESTION AND CODE 'DON'T KNOW'.

SHOW WHEN ASKING ABOUT ‘HELP AND SUPPORT FROM OTHER ADVICE WORKERS’: IF NECESSARY: These could include people who work for Citizens’ Advice Bureau, other voluntary organisations, or local authority advice centres. It could also include advice given by housing associations or trade unions.

- 1. Yes
- 2. No
- Don’t know
- Refused

**LIST OF THINGS (ROTATE):**
- an improvement in your health
- being able to get relevant health treatment
- help and support from Jobcentre Plus staff
- help and support from other advice workers
- Help and support from family and friends
- help and support from your GP (DP: ALWAYS SECOND LAST STATEMENT)
- help and support from other health professionals (DP: ALWAYS LAST STATEMENT)

**ESUPP02**

ASK IMMEDIATELY AFTER RESPONDENT SAY ‘YES’ TO ANY ITEM AT ESUPP01

Would you say that this help was ‘very important’, ‘fairly important’ or ‘not very important’ in helping you get back to work?

SINGLE CODE ONLY.

- Very important
- Fairly important
- Not very important
- Don’t know
- Refused
ASK IF PREVWK=1 (THOSE WHO HAVE DONE PAID WORK SINCE WAVE 1 BUT NOT AT WORK CURRENTLY).

WHYENDE

SHOWCARD C

Thinking about the most recent paid work you have had, what were the main reasons for that job ending? MULTICODE OK. DO NOT READ OUT

- 1. Temporary/seasonal work came to an end
- 2. Fixed term contract came to an end
- 3. Dismissed
- 4. Made redundant/laid off
- 5. Took voluntary redundancy
- 6. Felt forced to leave
- 7. Resigned/decided to leave
- 8. Took early retirement
- 9. Gave up work because of own ill-health or disability
- 10. Gave up work because of ill-health or disability of other(s)
- 11. Became pregnant
- 12. Gave up work to look after my child(ren)
- 13. Gave up work for other family or personal reasons
- 14. Not financially worthwhile to do that job
- 15. Didn’t like job
- 16. The company went out of business
- 17. Had to serve prison sentence
- 18. Other reason (specify)
- Don’t know/can’t remember
- Refused
PREVWKH
IF WHYENDE = 3 to 8, 10, 12 to 15, 18 (THOSE WHO HAVE DONE PAID WORK SINCE WAVE 1 BUT NOT AT WORK CURRENTLY) AND NOT WHYENDE = 9.

Did your health condition or disability play a part in your most recent job coming to an end? SINGLE CODE ONLY

- 1. Yes [GO TO HOWIMPHLTH]
- 2. No [GO TO NEWJB]

HOWIMPH2
ASK IF PREVWKH = 1 or WHYENDE=9

Was your health condition or disability the main reason or just one of the reasons (for your most recent job coming to an end)?
SINGLE CODE ONLY. DO NOT READ OUT

- 1. Main reason
- 2. One of the reasons
- 3. Don’t know/Can’t remember

ASK IF HAS DONE PAID WORK BUT NOT AT WORK CURRENTLY EMPNOW = 7-15 AND PREVWK=1.

JBSRCH When your last job came to an end, did you look for a new job at all?

- 1. Yes
- 2. No
- Don’t know/can’t remember
- Refused
ASK ALL

WORKEXP

Thinking ahead, which of the following do you think will be your main activity in six months' time?

INTERVIEWERS’ NOTE: IF RESPONDENT HAS TERMINAL ILLNESS, PLEASE DO NOT ASK THIS QUESTION AND CODE REFUSED.

READ OUT. SINGLE CODE ONLY

- 1. In paid work as an employee
- 2. In paid work as self-employed
- 3. Off sick/too ill to work (including still on ESA)
- 4. Looking for work
- 5. In education or training
- 6. Looking after children or home
- 7. Caring for someone who is frail, sick or disabled
- 8. Retired
- 9. Not in work for some other reason? (specify)
- Don’t know
- Refused

FUTUREW

ASK IF WORKEXP = 3 TO 10

When do you think you might look for work, if the right job was available?

SINGLE CODE ONLY. PROMPT ONLY IF NECESSARY.

INTERVIEWER NOTE: WE ARE INTERESTED IN WHEN RESPONDENT IS LOOKING TO TAKE UP WORK AS THEIR MAIN ACTIVITY.

- 1. Within a year
- 2. 1 – 2 years
- 3. More than 2 years
- 4. I do not expect to work again
- 5. Never – I am retired
- Don’t know
- Refused
ASK IF FUTUREW = 4 (THOSE WHO SAY THEY WILL NEVER RETURN TO WORK)

HELPWOR

ASK IF FUTUREW = 4

Is there any help or support which could help you work in the future? PROBE FULLY.

INTERVIEWERS' NOTE: PLEASE CODE 'NULL' IF NOTHING WILL HELP THEM WORK IN THE FUTURE.

■ [OPEN]
■ NULL

ASK ALL

WORKORI (Q73F) I'd now like to ask you some questions about employment in general. How much do you agree or disagree with each of the following statements?

INTERVIEWERS' NOTE: IF RESPONDENT HAS TERMINAL ILLNESS, PLEASE DO NOT ASK THIS QUESTION AND CODE REFUSED.

READ OUT STATEMENTS AND CODES. ROTATE STATEMENTS

a) I am prepared to take any job I can do
b) Being in work helps my health
c) Once you've got a job, it's very important to hang on to it, even if you don't really like it
d) Having a job is the best way for me to be an independent person
e) A person must have a job to feel a full member of society

■ 1. Agree strongly
■ 2. Agree slightly
■ 3. Neither agree nor disagree
■ 4. Disagree slightly
■ 5. Disagree strongly
■ Don't know
■ Refused
SECTION 6 ESA CLAIM EXPERIENCES

IF RESPONDENT SAYS THEY NEVER RECEIVED ESA AT WAVE 1 [WAVE1 Q9b = 2 AND WAVE1 Q9a = 2] AND HAVE NEVER RECEIVED ESA SINCE WAVE 1 [ESANOW = 2 AND ESASINC = 2] – DO NOT ASK SECTION 6, GO TO SECTION 7

We’d now like to ask about your experiences of claiming ESA since we last spoke to you.

6.1 WORK CAPABILITY ASSESSMENT

RECENTW

ASK ONLY IF ESANOW = 1 AND W1Q88 = 1

You mentioned last time we spoke to you in [MONTHI] that you had had a face-to-face medical assessment for ESA. Can I just check, have you had another face-to-face medical assessment for ESA since we spoke to you in [MONTHI]?

INTERVIEWER NOTE: IF DISAGREE WITH ANSWER AT WAVE 1, RECORD ON SEPARATE SHEET.

■ Yes [GO TO WCAEXAM]
■ No [GO TO SECTION 6.2]
■ Don’t know/can’t remember [GO TO SECTION 6.2]
■ Refused [GO TO SECTION 7]

WCAEXAM (Q92F)

ASK IF RECENTW = 1 OR EVERHAD = 1 OR WCASINC = 1 (THOSE WHO HAD A WCA SINCE WAVE 1)

SHOW IF EVERHAD = 1 AND W1Q88 = 2-7 OR IF WCASINC = 1: You mentioned earlier that you have had a medical assessment (WCA) since the last time we spoke to you in [MONTHI]. We’d now like to ask you some questions about this.

SHOW TO ALL: Thinking about your last face-to-face medical assessment for ESA, was there a physical examination?

■ 1. Yes
■ 2. No
■ Don’t know/can’t remember
■ Refused
ASK IF HAD A FACE-TO-FACE WCA (WCAEXAM= 1)

WCAWHO (Q92aF)

Did you see a doctor, nurse or physiotherapist? MULTICODE OK.

- 1. Doctor
- 2. Nurse
- 3. Physiotherapist
- Don’t know/can’t remember
- Refused

ASK IF WCAWHO = 1 TO 4

HOWELLU(Q92bF)

How well did you feel that [the doctor WCAWHO =1/the nurse WCAWHO=2/the physiotherapist WCAWHO=3/the medical professional WCAWHO = 4/them (WCAWHO = MORE THAN ONE CONDITION)] understood your health condition?

Was it… READ OUT. SINGLE CODE ONLY.

- Very well
- Fairly well
- Not very well
- Not at all well
- Don’t know
- Refused
**WHYNUND (Q95aF)**

Why do you think they did not understand your health condition? MULTICODE OK. PROBE FULLY. DO NOT READ OUT

- The report contained inaccurate information/things I did not say
- The assessment did not reflect the things I do in everyday life or work
- The assessment did not cover issues which are relevant to my condition
- They ignored my GP's/consultant's opinions
- They did not speak to my usual doctor
- They did not understand my condition
- The assessment made me seem healthier than I actually feel I am
- My condition is mental/emotional and the assessment was about physical health
- Person giving assessment was not qualified to evaluate my condition
- They did not listen to me
- Staff made their own assumptions about me
- My condition fluctuates and I was assessed on a 'good day'
- I had no physical examination
- The physical examination was not thorough enough
- I did not have enough time with them
- I did not understand the questions
- I didn't answer some of the questions accurately/could not explain myself
- Staff were rude/unprofessional
- They did not have a good command of English
- Other (specify)
- Not stated
- Don't know/can't remember
ASK IF RECENTW = 1 OR EVERHAD = 1 OR WCASINC = 1 (THOSE WHO HAD A WCA SINCE WAVE 1)

WCAREP (Q94F)

Did you receive a copy of the written report on the results of the medical assessment?

- 1. Yes
- 2. No
- Don’t know/can’t remember
- Refused

ASK IF RECEIVED A REPORT (WCAREP = 1)

WCAREPA (Q95F)

How accurately did you feel the Work Capability Assessment report reflected your health condition? Was it... READ OUT

SINGLE CODE ONLY.

- Very accurately
- Fairly accurately
- Not very accurately
- Not at all accurately
- Don’t know/can’t remember

ASK IF REPORT DIDN’T ACCURATELY REFLECT THE HEALTH CONDITION (WCAREPA = 3 or 4)

REPACCY (Q95aF)

Why do you think it did not reflect your health condition accurately? PROBE FULLY.

- OPEN
- Don’t know/ can’t remember
- Refused
SECTION 6.2 WORK-FOCUSED HEALTH-RELATED ASSESSMENT

WFHRASI (Q96F)

ASK IF W1 Q88 = 1 AND (W1 Q96 = 3 OR 4) (THOSE WHO WERE STILL CLAIMING ESA AT WAVE 1 INTERVIEW, HAD HAD A WCA, BUT WERE STILL WAITING OR HAD NOT HEARD ABOUT WFHRA)

When we spoke to you last time in [MONTHI], you mentioned that you had a medical but not a Work Focused Health Related Assessment. This usually takes place at the same place you had your medical assessment (WCA), but on a different day. Have you had a Work-Focused Health-Related Assessment since we spoke to you in [MONTHI]?

INTERVIEWER NOTE: IF DISAGREE WITH ANSWER AT WAVE 1, RECORD ON SEPARATE SHEET.

- 1. Yes [GO TO WFHRATO]
- 2. No [GO TO SECTION 6.3]
- Don’t know / Can’t remember [GO TO SECTION 6.3]
- Refused [GO TO SECTION 6.3]

WFHRAW2

ASK ALL (RECENTW = 1 OR EVERHAD = 1 OR WCASINC = 1) AND (NOT WFHRASI = 1 to 4))

Some time after your most recent medical assessment (WCA), did you also have a Work-Focused Health-Related Assessment? This usually happens at the same place you had your medical assessment (WCA), but on a different day.

IF NECESSARY: This is a broader discussion of how your health affects your daily life and your ability to work, and the types of support that might help. It is carried out by a doctor, nurse, or physiotherapist.

- Yes [GO TO Q97F]
- No [GO TO SECTION 6.3]
- Don’t know/can’t remember (GO TO SECTION 6.3)
WFHRAW2 = 1 or WFHRASI = 1 (THOSE WHO HAD A WFHRA SINCE WAVE 1)

WFHRATO (Q97F)

SHOWCARD F

What were you asked about during the assessment? MULTICODE OK. PROBE FULLY. DO NOT READ OUT.

- 1. Impact of health condition on daily life and ability to work
- 2. Impact of treatment on daily life and ability to work
- 3. Impact of medication on daily life and ability to work
- 4. Current activities
- 5. Support required for daily living activities (personal care, mobility)
- 6. Caring responsibilities
- 7. Future hopes and plans about paid work
- 8. Expectations and hopes about health
- 9. Support needed to return to work
- 10. Support received to return to work
- 11. Other (specify)
- Don’t know/ Can’t remember
- Refused
SECTION 6.3 INTERVIEWS WITH AN ADVISER

ASK IF W1 Q104 = 1 AND W1 Q9B = 1 (THOSE WHO HAVE BEEN ASKED TO ATTEND WFI’s AND WERE STILL RECEIVING ESA AT W1 SURVEY)

TOTALWF

When we last spoke to you, you mentioned you had been asked to attend meetings with an employment adviser at the Jobcentre Plus or another organisation working on behalf of Jobcentre Plus. These meetings may be referred to as Work Focused Interviews. Can you tell me how many meetings in total you have now attended?

IF NECESSARY: The other organisations include A4E, Shaw Trust and Reed, amongst others.

INTERVIEWER NOTE: IF NOT ASKED TO ATTEND MEETING AT WAVE 1, RECORD ON SEPARATE SHEET.

[ENTER NUMBER – ALLOW ZERO] [SOFT CHECK FOR 7 OR MORE – “In general, ESA customers only have to attend up to six interviews. Are you sure?”]

Don’t know/ Can’t remember
LASTWFI

ASK IF TOTALWF >0

Can you remember what month your last meeting was?

- Before December 2009
- December 2009
- January 2010
- February 2010
- March 2010
- April 2010
- May 2010
- June 2010
- July 2010
- August 2010
- September 2010
- Don’t know/Can’t remember
- Refused

SOFT CHECKS (Show: Can I just check if this is the right month as we spoke to you in [MONTHI]?) IF BEFORE DECEMBER 2009 OR (LASTWFI = JANUARY 2010 & MONTHI = FEBRUARY 2010) OR (LASTWFI = DECEMBER 2009 & (MONTHI = JANUARY OR FEBRUARY))

CREATE DUMMY VARIABLE (WFITIME) FOR THOSE WHO HAD WFI BEFORE OR AFTER WAVE 1 FIELDWORK

WFITIME = 1 (BEFORE WAVE 1 FIELDWORK) IF LASTWFI = BEFORE DECEMBER 2009 OR (LASTWFI = JANUARY 2010 & MONTHI = FEBRUARY 2010) OR (LASTWFI = DECEMBER 2009 & (MONTHI = JANUARY OR FEBRUARY))

WFITIME = 2 (AFTER WAVE 1 FIELDWORK) IF NOT LASTWFI = BEFORE DECEMBER 2009 OR (LASTWFI = JANUARY 2010 & MONTHI = FEBRUARY 2010) OR (LASTWFI = DECEMBER 2009 & (MONTHI = JANUARY OR FEBRUARY))
NEWWFI

ASK IF (ESANOW = 1 OR ESASINC = 1) AND NOT (W1Q104 = 1 AND W1Q9B = 1) (THOSE WHO HAVE CLAIMED ESA AT ANY TIME SINCE WAVE 1 AND WHO HAVEN’T ANSWERED TOTAL WF)

As part of your [current (ESANOW = 1)/most recent (ESASINC =1)] ESA claim, [have you been (ESANOW = 1)/were you(ESASINC =1)] asked to attend one or more meetings with an employment adviser?

IF NECESSARY: These meetings may be referred to as Work Focused Interviews. During these meetings, you would speak to a personal advisor at Jobcentre Plus or another organisation providing such services to Jobcentre Plus (such as A4E, Shaw Trust or Reed).

■ 1. Yes
■ 2. No
■ Don’t know / Can’t remember
■ Refused

ASK IF NEWWFI = 1

WFINOS (Q105F)

How many meetings [have you attended so far (ESANOW = 1) /did you attend (ESASINC = 2)?

■ [ENTER NUMBER – ALLOW ZERO] [SOFT CHECK FOR 7 OR MORE – “In general, ESA customers only have to attend up to six interviews. Are you sure?”
■ Don’t know/can’t remember
■ Refused
ASK IF WFINOS = 1+ OR (TOTALWF = 1+ AND WFITIME = 2)

WFITOPI (Q106F)

What did you discuss in [this meeting (WFINOS=1)/these meetings (WFINOS>1)]? MULTICODE OK. DO NOT READ OUT.

IF NECESSARY: Permitted Work is the paid work someone is allowed to do while on benefits. When claiming ESA, he or she can do a maximum of 16 hours of paid work and earn a maximum of £93 a week. Jobcentre Plus staff have to be notified of this.

- Health and how it affects work
- The type of work wanted (including type of job, hours)
- Money entitled to when working
- Training/work experience/permitted work that could be arranged
- How might apply for jobs
- Services to help with managing a health condition
- Helping to build confidence about working
- Services available from other organisations to help find work
- Other (specify)
- Don’t know/can’t remember
- Refused

ASK IF (WFINOS = 2+ OR (TOTALWF = 2+ & WFITIME = 2)) AND NOT W1 Q107 = 1 TO 5

WFIWHO (Q107F)

Could you tell me who you saw after the first meeting? Was it…READ OUT

SINGLE CODE ONLY.

1. The same adviser at Jobcentre Plus
2. A different adviser at Jobcentre Plus
3. A different adviser at a different organisation (for example Reed or A4E)
4. Don’t know/can’t remember
5. Refused
ASK IF (WFINOS = 1+ OR (TOTALWF = 1+ AND WFITIME = 2)) AND NOT W1 Q107 = 1 TO 5

ADV1HEL (Q108F)
How helpful did you find the adviser at your first meeting? Was it… READ OUT

SINGLE CODE ONLY.

■ 1. Very helpful
■ 2. Fairly helpful
■ 3. Not very helpful
■ 4. Not at all helpful
■ Don’t know/can’t remember
■ Refused

ASK IF (WFINOS = 2+ OR (TOTALWF = 2+ AND WFITIME = 2)) AND NOT W1 Q107 = 1 TO 5

ADV2HEL (Q108aF)
How helpful did you find the adviser(s) at your most recent meeting(s)? READ OUT

SINGLE CODE ONLY.

■ Very helpful
■ Fairly helpful
■ Not very helpful
■ Not at all helpful
■ Don’t know/can’t remember
■ Refused
THINKWO
ASK IF HAD A MEETING (WFINOS = 1+ OR (TOTALWF = 1+ AND WFITIME = 2))
How would you rate the meeting(s) in terms of thinking about paid work in the future? Would you say it was/they were (PLURAL IF WFINOS/TOTALWF = 2+)…READ OUT.
SINGLE CODE ONLY.

■ 1. Very helpful
■ 2. Fairly helpful
■ 3. Not very helpful
■ 4. Not at all helpful
■ 5. DO NOT READ OUT - Do not apply because already had job lined up
■ 6. DO NOT READ OUT - Do not apply because work is not an option
■ Don’t know / Can’t remember
■ Refused

SECTION 6.3 SANCTIONS
ASK ALL WHO HAVE BEEN ASKED TO ATTEND WFI’s SINCE WAVE 1 (NEWWF = 1) AND WERE NOT ASKED TO ATTEND A MEETING AT WAVE 1 (W1 Q104 NOT 1) - ALL OTHERS – ROUTE TO NEXT SECTION.

AWARECO (Q112F)
Can I just check, did you think these meetings were compulsory. That is, you had to go?
INTERVIEWER NOTE: ALTHOUGH MANDATORY, MEETINGS CAN BE DEFERRED IF THERE IS A GOOD REASON.

■ 1. Yes
■ 2. No
■ Don’t know
■ Refused
ASK IF NEWWFI = 1 AND W1 104 = 2 TO 4

COMPINF (Q113F)

Did anyone explain what might happen if you failed to attend the meeting[s] [ADD ‘S’ IF THEY’VE ANSWERED WFINOS AND WFINOS >=2]?

■ 1. Yes
■ 2. No
■ Don’t know
■ Refused

ASK ALL WHO HAVE BEEN ASKED TO ATTEND WFIs SINCE WAVE 1 (NEWWFI = 1) AND WERE NOT ASKED TO ATTEND A MEETING AT WAVE 1 (W1 Q104 NOT 1)

FTACONS (Q114F)

What did you think would happen to someone who failed to attend a meeting? MULTICODE OK. PROBE FULLY. DO NOT PROMPT

■ Benefits would be stopped
■ Benefits would be reduced
■ Would delay claim
■ Would affect benefits (not clear how)
■ Would lose entitlements to other services
■ Meeting would be rescheduled
■ Nothing would happen
■ Didn’t know what would happen
■ Other (specify)
■ Refused
ASK ALL WHO HAVE ATTENDED 1 OR MORE WFI s SINCE WAVE 1 (WFINOS = 1+) AND WERE NOT ASKED TO ATTEND A MEETING AT WAVE 1 (W1 Q104 NOT 1)

**ADVSANC (Q117F)**

Just to check, did the personal adviser tell you your benefit could be reduced or stopped?

SINGLE CODE ONLY.

INTERVIEWER NOTE: IF ANY SANCTION APPLIED, IT IS USUALLY FOR A FIXED TIME ONLY

- Yes, reduced
- Yes, stopped
- Yes, both reduced and stopped
- No
- Don’t know/can’t remember
- Refused

ASK IF AWARECO = 1 (THOSE WHO KNOW THAT MEETINGS ARE COMPULSORY)

**SANCEFF**

How much do you agree or disagree that you were more likely to attend a meeting with an advisor if you knew that it was compulsory? Is that strongly or slightly agree/disagree?

SINGLE CODE ONLY.

- Agree strongly
- Agree slightly
- Neither agree nor disagree
- Disagree slightly
- Disagree strongly
- Don’t know
- Refused
ASK IF ASKED TO ATTEND A MEETING (NEWWF = 1)

WHTHSAN (Q115F)

At any time since we last spoke to you in [MONTHI], have you had your benefit reduced as a result of not attending a meeting with an employment adviser?

- 1. Yes
- 2. No
- Don’t know/can’t remember
- Refused

SECTION 6.4 APPEALS

APPDECD (QAPP2F)

ASK IF WRAGAPP =1 OR PREVAPP =1 OR NAPPEAL =1 OR DKAPPEA =1 OR W1 APP2 = 2)

IF WRAGAPP =1 OR PREVAPP =1 OR NAPPEAL =1 OR DKAPPEA =1  SHOW: You mentioned earlier that you made an appeal on your ESA claim. Has your appeal been decided yet?

ELSE  SHOW:  When we spoke to you in [MONTHI] you mentioned you were awaiting the outcome of an appeal on your ESA claim. Has your appeal been decided yet?

SINGLE CODE ONLY.

- 1. Yes [GO TO APPDECN]
- 2. No [GO TO APPEALY]
- 3. I withdrew my appeal before receiving a decision [GO TO APPEALY]
- Don’t know/can’t remember [GO TO APPEALY]
- Refused [GO TO APPEALY]
ASK APPDECN IF APPDECD = 1

APPDECN

What was the decision of your appeal? Was the original decision…

READ OUT. SINGLE CODE ONLY.

- 1. Upheld (i.e. appeal was unsuccessful, decision in Jobcentre Plus’ favour)
- 2. Overturned (i.e. appeal was successful, decision in respondent’s favour)
- 3. Other (Specify)
- Don’t know/can’t remember
- Refused

ASK IF W1 APP2 = 2 OR WRAGAPP =1 OR PREVAPP = 1 OR NAPPEAL = 1 OR DKAPPEA = 1

APPEALY

Why did you decide to appeal? PROBE FULLY.

- OPEN-ENDED

ASK IF W1 APP2 = 2 OR WRAGAPP =1 OR PREVAPP = 1 OR NAPPEAL = 1 OR DKAPPEA = 1

APPHELP

Did anyone help/has anyone helped you to appeal?

- 1. Yes
- 2. No
- Don’t know/can’t remember
- Refused
ASK IF SOMEONE HELPED THEM TO APPEAL (APPHELP = 1)

APPWHO (QAPP4af) Who helped you?

MULTICODE OK. DO NOT READ OUT

- 1. Jobcentre Plus/provider adviser
- 2. Friend or relative
- 3. Citizens Advice Bureau or advice centre
- 4. Doctor or another health professional
- 5. Other (specify)
- Don’t know/can’t remember
- Refused

SECTION 7 JSA CLAIM EXPERIENCES

ASK THIS SECTION IF JSAEVER = 1 OR ANOTHER = JSA OR RESPONDENT IS CURRENTLY CLAIMING JSA FROM QDUM2

ALL OTHERS – GO TO SECTION 8

You mentioned earlier that you are claiming (QDUM2=JSA)/have recently claimed Jobseekers’ Allowance (QDUM2=NOT JSA AND (ANOTHER = 1 OR JSAEVER =1))

We’d like to find out about your experiences of claiming Jobseekers’ Allowance.

JSACURR

Can I just check, are you currently receiving Jobseekers’ Allowance?

- Yes
- No
- Don’t know/can’t remember
- Refused
JSAINFO

IF JSAEVER = 1, OR ANOTHER = JSA OR QDUM2 = JSA

How did you find out about JSA?

MULTICODE OK. DO NOT READ OUT.

- 1. I had heard of JSA before
- 2. Friend/relative told me about it
- 3. A Jobcentre Plus adviser told me about it
- 4. A non-Jobcentre Plus adviser (e.g. Citizens’ Advice Bureau) told me about it
- 5. I had claimed it in the past
- 6. From a letter I received telling me I was not entitled to ESA
- 7. Other (specify)
- Don’t know/can’t remember
- Refused

JSAWFI

IF JSAEVER = 1, OR ANOTHER = JSA OR QDUM2 = JSA

Apart from signing on, [have you been /were you ] asked to attend face to face meetings with an adviser at the Jobcentre?

- 1. Yes
- 2. No
- Don’t know/can’t remember
- Refused

ASK IF BEEN ASKED TO ATTEND A MEETING WITH AN EA (JSAWFI = 1), ALL OTHERS GO TO SUPP01

JSAWFIN

How many meetings [have you attended so far/did you attend]?

- 1. 0
- 2. 1
- 3. 2 or more
- Don’t know/can’t remember
- Refused
What did you talk about or do in these meetings?

PROBE FULLY. MULTICODE OK. DO NOT PROMPT.

INTERVIEWER NOTE: A JOB POINT IS A TOUCHSCREEN COMPUTER THAT CUSTOMERS IN JOB CENTRES CAN USE TO LOOK FOR JOBS.

1. Where to look for job vacancies (such as using the Job Points, the internet or recruitment agencies)
2. A work trial
3. A referral to a career adviser
4. Help on improving writing, maths or English language skills
5. Help aimed at professionals or executives
6. Help with CVs, job applications or interview skills
7. Any other type of training sessions, seminars or courses
8. Advice on what benefits or credits you might be entitled to once in work
9. Money to help cover the costs associated with looking for or taking work (e.g., travel costs, clothes, childcare or tools).
10. Help for a disability or health condition
11. Help with an alcohol or drug problem
12. Other (specify)

Don’t know/can’t remember
Refused

IF JSAEVER = 1, OR ANOTHER = JSA OR QDUM2 = JSA (CLAIMED ESA SINCE W1) AND (LLTH = 1 OR HFLUCT = 1) (AND CURRENTLY HAVE A HEALTH CONDITION)

SUPP01

Bearing in mind your health condition, [Does (CURRENT CLAIMANT)/Did (NON CURRENT CLAIMANT)] the support you [are (CURRENT CLAIMANT)/were (NON-CURRENT CLAIMANT)] TEXTFILL BASED ON RESPONSE TO JSACURR] receiving to prepare for a return to work feel…READ OUT. SINGLE CODE ONLY.

1. About right
2. More than enough to meet my needs
3. Not enough to meet my needs
4. DO NOT READ OUT - Not intending to return to work
Don’t know
Refused
IF JSAEVER = 1, OR ANOTHER = JSA OR DUMJSA =1 (CLAIMED ESA SINCE W1) AND (LLTH = 1 OR HFLUCT = 1) (AND CURRENTLY HAVE A HEALTH CONDITION)

SUPP02

Is there any other support you [would find/would have found] helpful, such as….

READ OUT. MULTICODE OK.

- 1. More advice about the types of job that would suit your health condition
- 2. Advice on how to engage with employers
- 3. Advice on support for managing your health condition while you are working
- 4. Advice on changes employers can make to your job to accommodate your health condition
- 5. Other (specify)
- 6. DO NOT READ OUT - No additional support required
- Don’t know
- Refused
Section 8. Demographics

ASK ALL

DEMCHNG Thinking back to when we last spoke to you in [MONTHI], have there been any of the following significant changes in your personal or household circumstances since then?

MULTICODE OK. READ OUT

- 1. Separated from partner or spouse
- 2. Partnered or re-partnered
- 3. Had a child or acquired stepchild(ren)
- 4. Children or stepchildren left home
- 5. Moved home
- 6. Gained vocational qualifications
- 7. Gained academic qualifications
- 8. Went on a training course
- 9. DO NOT READ OUT - Death in the family
- 10. DO NOT READ OUT - Illness in the family
- 11. Other (specify)
- 12. DO NOT READ OUT - No significant changes
- 13. Refused
- 14. Don’t know/can’t remember

IF DEMCHNG = 2

RESPART

Can I just check, is this a partner who lives with you?

- 1. Yes
- 2. No
- Refused (GO TO LINKCON)
ASK W1 Q139 = 1 TO 16 AND DEMCHNG = 3 to 13 (THOSE LIVING WITH A PARTNER AT WAVE 1 AND HAVEN'T SEPARATED SINCE THEN)

TEMPCHG

Last time we spoke to you, you mentioned that your partner was [W1Q139]. Has there been any change in their employment situation since then?

- 1. Yes, go to TEMPNOW
- 2. No, go to LINKCON
- Refused
- Disagree with wave 1 answer – GO TO PWORK1
And which one of the following situations best describes your partner's employment situation then?

SINGLE CODE ONLY. READ OUT.

1. Employed by an employer and in work
2. Employed by an employer and off sick and getting paid as normal
3. Employed by an employer and off sick and getting sick pay (less than normal pay)
4. Employed by an employer and off sick but not getting normal pay or sick pay
5. Self-employed and working
6. Self-employed and not working due to sickness
7. Temporarily sick or injured – no job to return to
8. Permanently off work because of sickness or disability
9. Waiting to take up a definite job offer, but not started yet
10. Unemployed and looking for work
11. In training or education
12. On a government scheme
13. Looking after children or the home
14. Caring for someone who is frail, sick or disabled
15. Retired
16. Not in work for some other reason (specify)
17. Don’t know/can’t remember
18. Refused
TEMPNOW SHOWCARD D

IF TEMPCHG = 1 OR W1 Q139 = 17 OR 18 OR DEMCHNG = 2 OR TEMPCHG = 4

And which one of the following situations best describes your partner’s employment situation last week.

SINGLE CODE ONLY. READ OUT.

- 1. Employed by an employer and in work
- 2. Employed by an employer and off sick and getting paid as normal
- 3. Employed by an employer and off sick and getting sick pay (less than normal pay)
- 4. Employed by an employer and off sick but not getting normal pay or sick pay
- 5. Self-employed and working
- 6. Self-employed and not working due to sickness
- 7. Temporarily sick or injured – no job to return to
- 8. Permanently off work because of sickness or disability
- 9. Waiting to take up a definite job offer, but not started yet
- 10. Unemployed and looking for work
- 11. In training or education
- 12. On a government scheme
- 13. Looking after children or the home
- 14. Caring for someone who is frail, sick or disabled
- 15. Retired
- 16. Not in work for some other reason (specify)
- 17. Don’t know/can’t remember
- 18. Refused
Section 9 Consent to data linking

ASK THOSE WHO GAVE CONSENT AT WAVE 1 ONLY (Q149=1)

LINKCON. Last time we spoke to you, you gave your permission for the DWP to link your answers to administrative details that they hold, or may hold in future to make the information you gave more complete. Are you happy to continue your agreement to this? Just to be clear, this will not affect any past, current or future claim you might have for benefits and, after linking, your name would not be held with the information so you would not be identified.

IF NECESSARY: We hope to use two sources of information, although it is possible that other information may be available in the future. One records who is receiving benefit, such as Incapacity Benefit or Income Support, and when they claimed it. The other is a record of who has taken part in interviews at Jobcentres.

IT IS IMPORTANT THAT AS MANY RESPONDENTS AS POSSIBLE GIVE INFORMED CONSENT AT THIS QUESTION.

■ 1. Consent for linking given
■ 2. Consent not given

Section 10 Re-contact consent

ASK ALL

RECONTA (Q148F) The Department for Work and Pensions may want to do further research in the future about the issues we have discussed today. Would you be happy for us to contact you again as part of this research in six to 12 months’ time? You would be able to decide whether or not to take part in this research at that time.

■ Yes
■ No

Thank you very much for taking part in this survey. It will help the DWP better understand the situation of people claiming ESA.

ASK ALL

PROXY

INTERVIEWER PLEASE CODE IF FULL OR PARTIAL PROXY INTERVIEW.

■ YES - PARTIAL (REQUIRED HELP ANSWERING SOME QUESTIONS)
■ YES - FULL (REQUIRED HELP ANSWERING ALL QUESTIONS)
■ NO - NOT PROXY INTERVIEW (REQUIRED NO HELP ANSWERING QUESTIONS)