



Growing Up in Scotland Study

**Birth Cohort 2 Sweep 3 –
Mainstage**

P04979.02

Full Project Instructions

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1 About Growing up in Scotland

1.1 Background and introduction to the study

Welcome to Birth Cohort 2 Sweep 3 of Growing up in Scotland (GUS)! GUS study is a major cohort study funded by the Scottish Government. It is following three groups of children through their early years, into childhood, adolescence and, possibly, beyond into adulthood. GUS is specifically Scottish in focus – all of the interviews take place in Scotland and the survey reflects the Scottish Government’s need for accurate information upon which to base its decision-making about policies and services for children and families.

The main aim of the study is to describe the characteristics, circumstances and experiences of children in their early years in Scotland and to improve understanding of how experiences and conditions in early childhood might affect people’s chances later in life.

When GUS first started in 2005, two cohorts were recruited - one based on 5,000 babies (birth cohort 1/BC1) and the other involving 3,000 toddlers (child cohort/CC). Respondents from the child cohort were interviewed on an annual basis for four years. The birth cohort has been interviewed on an annual basis for six years and then during 2012 and 2014.

During 2011 we recruited a new birth cohort (BC2) of 6000 children born in 2010/2011 who were subsequently interviewed during 2013. In 2014, adult respondents in Birth Cohort 2 were also asked to take part in short online or telephone questionnaire as part of GUS. This year we are returning to these families to interview them when the children are just turning 5 years old.

1.2 How GUS is used?

GUS is a unique source of information on children and their families in Scotland and is used by a wide range of bodies including central Government, Councils, Health Boards, Education Scotland, a wide range of voluntary organisations such as Save the Children and NSPCC, as well as academics and other researchers. Results are used to:

- Find out about the important issues facing families in Scotland today and to find out about the needs and priorities of those families.
- Track how issues and priorities change over time as children get older.
- Develop policies and services to address these needs and priorities.
- Check that policies are working well and if not, how they can be changed for the better.

More concretely, some examples of how GUS data has so far been used, include:

- Evidence from GUS was one of the sources used by the Scottish Government when it was developing its “Play, Talk, Read campaign”, which encourages parents to carry out activities with their child. GUS data showed how parental involvement and simple activities with children could aid a child’s development. <http://www.playtalkread.org/>
- GUS data has been influential in helping the Scottish Government develop new advice on breastfeeding
- Paul Bradshaw (GUS Research Director) has given evidence from GUS to the Scottish Parliament Finance Committee, which is looking at how public money can be spent to help prevent social problems. For more information: <http://www.scottish.parliament.uk/parliamentarybusiness/28862.aspx?r=6901&mode=pdf>
- Findings from GUS are being used to help with the development of a new National Parenting Strategy for Scotland. This Strategy was developed to improve the support to families across Scotland. For more information <http://www.scotland.gov.uk/Topics/People/Young-People/Early-Years-and-Family/Families>
- Charities, such as Save the Children, use GUS data to help inform their programmes and work
- The NHS and Health Improvement Scotland have based some of their parenting and ante-natal education packs on the findings of GUS.
- Education Scotland used evidence from GUS to revise their Birth to 3 guidance ‘Positive Outcomes for Scotland’s Children and Families’. This is a key document for all practitioners working with young children in Scotland.

There are also many other people and organisations looking at and using the GUS data that you help us to collect to inform their work. In addition, the longer the study continues and the more cohort members we can keep on board, the more useful it is!

You can also read more about GUS on the regularly updated study website: <http://www.growingupinScotland.org.uk/> or by following the study on Twitter: @growingupinScot.

This year, we have also provided you with some documents about impact so please read these to find out more about the impact that GUS has had.

1.3 BC2 Sweep 3: Overview of procedures

1.3.1 General overview

At sweep 3, we are conducting interviews with the birth cohort (BC2) when the child will be around 5 years old. This means that some children will still be attending pre-school and some will already have started primary school. The respondents you will be visiting were involved previously in sweeps 1 and 2 of face-to-face interviews and were asked to take part in a web questionnaire last year. However, not all of them necessarily completed an interview at every sweep or even the last sweep.

1.3.2 Use of incentives

For the first time this year GUS is trialling the use of incentives. The plan is to offer an unconditional incentive of £15 to those participants either living in the most deprived quintile of the Scottish Index of Multiple Deprivation (SIMD), those who were aged under 20 at the time of birth of the cohort child or those who are lone-parent families. To evaluate the impact of this incentive on survey participation amongst this group, only half of those meeting the eligibility criteria will be given the incentive (approximately 750 addresses from the sample).

The incentives will be issued via the advance letter, with a Post Office barcode voucher printed on the bottom of the letter. This can be cashed at any Post Office.

Please take care not to mention the incentive to participants who have not been selected to be part of the incentive group. You will know whether a participant is in the incentive group or not by looking at the label on the front of the ARF. Where you see 'PO' in the right hand corner, this indicates that the respondent is in the incentive group. You will be able to mention the incentive to these respondents where appropriate, as it might help you to convince them to take part on the doorstep. The post office vouchers have to be used within around five months of the interview date.

Most people in the incentive group will have received the advance letter with a voucher. However, in the event that someone has not received their advance letter, you can issue them with a £15 gift card. There is a question at the start of the interview to ask whether the respondent received their advance letter. If they did not, then you may give them the gift card and you will need to complete the gift card section in CAPI by entering in the code number on the card. Because we are interested in the impact of the incentives on response rates in this particular group of participants, it is very important for us to know whether the participant has received their letter or not.

1.3.3 Consent to link to school records

This year, similarly to Birth Cohort 1, we are asking you to collect parent's consent to obtain education information about the child through school records. These records hold data such as attendance, Gaelic speaking, class size and additional support needs. A summary of the data from the records is held by the Scottish Exchange of Educational Data (ScotXed).

We would like to ask you to gain written permission from the parent to obtain any of this information. You will find a consent form in your packs, which explains to the parent that we would like to ask for their consent for us to send their child's name, gender, home postcode and date of birth, to ScotXed so that they can link it with their education records during the time their child is at Primary School.

The information collected from these records will be confidential and used for research purposes only. Names and addresses are never included in the results. For more details please see the consent form for the parents included in your work pack.

1.3.4 Summary of procedures

Growing up in Scotland Sweep Birth Cohort 2 Sweep 3 involves the following procedures:

- i) Sending out the advance letter along with an impact postcard for the child.
- ii) Attempting to make contact with the previous respondent who, in most cases, will be the child's mother (but in certain cases may be another adult caring for the child) for all the children in your assignment.
- iii) Conducting the main CAPI interview, including a short self-completion (CASI) component.
- iv) Administering cognitive exercises with the child. Before administering this part you will need to obtain the verbal consent of both the child and the parent to continue.
- v) Gaining verbal consent and taking the child's height and weight measurements as well as the adult who completes the main interview.
- vi) Completing a paper ARF for all addresses and entering this information into the admin block.

2 The sample

You will be given both an ARF and an address information sheet that will have the contact details for the child and previous respondent as well as stable contact details. The children will be aged around 5 years old. Some of the children will still be in pre-school, while others will have already started school.

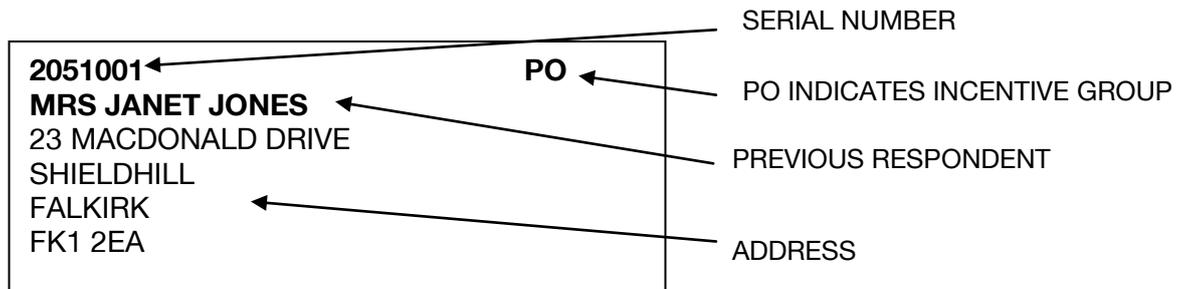
The respondents have been involved in GUS since 2011 and will have taken part in two face-to-face interviews. The last CAPI interview took place during 2013 when the child was aged nearly 3 years old. The main adult respondent was also invited to participate.

As in previous sweeps, we will trace all families who move **within Scotland**, irrespective of where in Scotland they have moved to. Families who move away from Scotland are

dropped from the study. More details on tracing are in section 4 and eligibility diagram can be found in Appendix A.

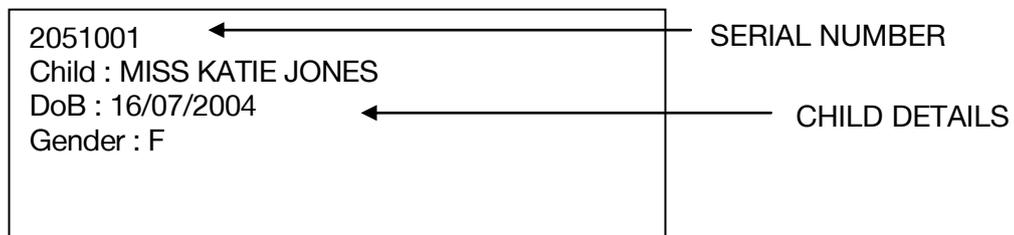
2.1 Examples of ARF labels

There are two labels on the ARF. The first, on the front page, is a standard address label and has the name of the previous respondent.



The first digit indicates the cohort number - all cases in our sample begin with 2 because they are part of our second birth cohort. The second and third digits indicate the sample month (05 = May, 06 = June etc) when the case used to be issued and digits four to seven indicate the unique case number.

The second ARF label is an information label, repeating the serial number and giving details of the sampled child - their name, date of birth and gender.



2.2 ARF instructions

IT IS OF GREAT IMPORTANCE THAT YOU RECORD ANY INFORMATION RELATED TO CONTACTING THE RESPONDENT AT A FUTURE SWEEP – INCLUDING CHANGES TO CONTACT DETAILS – IN THE CAPI ADMIN BLOCK.

2.2.1 Pages 1 and 2

On pages 1 and 2 of the ARF there are standard calls record forms for you to keep a note of the times, dates and results of all your calls. Please remember to fill this in at each separate visit: it will help you to plan any further visits you may have to make. Please also record any phone calls or visits that you make to the stable contact on the calls record form.

There is a box in the top right hand corner for you to fill in the final outcome code when you have finished with the serial number.

2.2.2 Section A

In this section you attempt to make contact at the original address and try to establish whether or not to interview at this address.

In most cases the cohort member (i.e. the child) will be resident at the original address and you will be directed to section D.

If the child is resident at a *different* address, you will be asked to record whether you have been able to establish the new address (at A2) and details of all tracing attempts. Any new address obtained should be recorded (at question B1).

If you cannot establish whether the child is resident or not, you will be asked to record the reason for this (i.e. address inaccessible, or information about the child refused) at A1 and will then be directed to an outcome code at D.

2.2.3 Sections B and C

If you are successful in obtaining a follow-up address for the named child you should write it in at question B1. If the address is in the same area that you are working in then please follow it up yourself. If it is slightly further away please check with your Field Performance Manager (FPM) who will decide whether it needs to be re-allocated to another interviewer. **Please note that if the address needs to be re-allocated then the sooner we find out the better.**

We are only interviewing families who live in Scotland. If you have an address outside Scotland, please complete the ARF as appropriate; do not attempt to contact the family. If you are in any doubt about whether to follow up an address yourself, or are not sure if the address is in Scotland then contact your FPM.

If you are unable to contact the cohort member at the follow-up address you will be asked to make up at least one more attempt to trace the cohort member, details of which should be recorded in Section C.

If you need to make contact with neighbours or other people locally when tracing the named child please remember to show your ID. Do **not** say that you are trying to trace the child named on the ARF, only mention the name of the previous respondent.

2.2.4 Section D

In this section you record the final outcome code for the main interview. All productive codes will be computed in Admin. Please note that there are different productive outcome codes this time which take into account the completion of the adult *and* child interview. They are listed below:

Productive codes:

- 110 Full interview
- 210 Partial interview

Unproductive final outcome codes should only be used when you are certain that the cohort member (named child) is resident. If unproductive, please record full reasons at D8. All final outcome codes are in bold. **You will need to check with your FPM before transmitting these cases back.**

Refusals

Because we now have several years of data for all families still participating in the study, we will not necessarily be discarding respondents who do not participate at any one individual sweep. As such, when a respondent refuses, you must establish whether they wish to remove themselves completely from the study or whether it is simply not convenient for them to participate at this sweep. Where they do not want to remove themselves completely and are happy to be approached again, please use codes 510 (illness) or 520 (away) if appropriate, or use code **425 – “Refusal for sweep 3 only – other reason”**.

Refusals coded as 431 and 432 may be removed from the sample so please be certain when you are using these codes.

2.2.5 Section E

At the end of the interview you will be prompted to record the details of the cohort member and the mother/main carer on the ARF at questions E1 and E2.

2.2.6 Section F

You will also be prompted to check the stable address for the respondent. If the stable contact details have changed or there are no stable contact details recorded then all **new** or **amended** details should be recorded at F1 or F2 as needed (we ask for the contact details of up to two other people)

The interview will also prompt you for details of any plans the respondent has for moving house. There is a space to write in a new address for the respondent if they tell you they are planning to move (along with an expected moving date). Please use the space at F4 to record any other useful contact or related information about the respondent including extra telephone or mobile numbers (such as work numbers) or additional e-mail addresses.

2.3 The One-Way ARF

ALL information written on the ARF which is important for future contact with the family, or which will be useful to know for the next interview, **MUST be recorded on the CAPI program**. Space has been created in the Admin section of the questionnaire to allow you to input any such information.

You will need to enter all the information recorded on the ARF into the CAPI block after which you must shred all pages with respondent, child or stable contact information on. Any remaining non-confidential pages should be recycled.

2.4 Information sheet

Each of your ARFs will have an 'information sheet' attached to the back. The purpose of this sheet is to provide you with some additional information about the respondent which may assist you in either establishing initial contact or with tracing. This includes details of the respondent's phone number, the name, address and phone number of their stable contact¹, and specific details about their last interview. If they have moved since the last interview, and we have received an address update, the information sheet will display both their current and previous addresses. Please see appendix C for an example of an Information sheet.

At each sweep, interviewers are asked to record any generally useful information for re-contact in the CAPI admin block. In some cases, this may be a brief reminder of how to find the address, or the times of day it was best to call. Where such information has been recorded, it is now made available on the information sheet in the 'Case Comments' section at the very bottom of the sheet. Whilst most of this information is general in nature, in some cases it may contain details which could be considered 'sensitive', for example, whether the respondent or child has a particular illness, or if there is a particular issue about the family which makes contact difficult. Rather than print this type of data onto the information sheet, when the information is sensitive the symbol '**' will be displayed in the additional information box at the bottom of the sheet. If you see this symbol, please ring Brentwood and ask to speak to someone in the Data Unit who will provide this information over the telephone. **Such information will usually be of significance for making contact or obtaining a productive interview so it is important that you contact the team whenever you see this symbol on one of your sheets.**

Note that any changes to the respondent's details should ultimately be recorded in the CAPI admin block. This is very important due to the one-way ARF system. Therefore, if you use the information sheet or the ARF to record any changes to the respondent's details please ensure that these are also updated in the CAPI admin block.

¹ Note that these items are only displayed if the respondent disclosed them at a previous interview

3 Fieldwork issues

3.1 Timetable

The sample for this study is being issued in twelve monthly waves. Each issued wave of fieldwork will include only the children born in a specific month.

Ideally, all the interviews should be conducted when the cohort children are exactly the same age, i.e. 4 years and 10.5 months old - a date which we have named the 'target interview date'. In practice though, this will not always be possible so there is a 4-week fieldwork 'window' for *each child*. This will start 14 days before the target interview date and end 14 days after it. For example, a child born on the 1st June 2010 will reach 4 years and 10.5 months on 14th April 2015. The fieldwork window for this child therefore will run from 1st April 2015 until the 30th April 2015.

Since a lot of the data we collect concerns child development, it is important that all interviewers try to conduct an interview in this target interview period so we capture the children at comparable ages. However, in some cases it may not be possible to conduct an interview within this timeframe (e.g. family is away on holiday, a family member is ill) and in these exceptional circumstances it is admissible to conduct an interview up until the child's birthday. Please check with your FPM if this is the case.

Fieldwork Wave	Child's Date of Birth	Fieldwork Period
Wave 1	1 st March-31 st March 2010	4 th January- 28 th February 2014
Wave 2	1 st April-30 th April 2010	1 st February-31 st March 2014
Wave 3	1 st May-31 st May 2010	1 st March-30 th April 2014
Wave 4	1 st June-30 th June 2010	1 st April-31 st May 2014
Wave 5	1 st July-31 st July 2010	1 st May-30 th June 2014
Wave 6	1 st August-31 st August 2010	1 st June-31 st July 2014
Wave 7	1 st September-30 th September 2010	1 st July-31 st August 2014
Wave 8	1 st October-31 st October 2010	1 st August-30 th September 2014
Wave 9	1 st November-30 th November 2010	1 st September-31 st October 2014
Wave 10	1 st December-31 st December 2010	1 st October-30 th November 2014
Wave 11	1 st January-31 st January 2011	1 st November-31 st December 2014
Wave 12	1 st February-28 th February 2011	1 st December 2013-31 st January 2015

In practice this is a genuinely continuous survey because there is no clear break between interviewing in one month to the next.

The size of the issued sample in each wave depends primarily upon the number of children who were born within the relevant four week period. Birth rates vary between months and between areas so this means that assignment sizes will vary from month to month.

We are aiming for a 90% response rate at this sweep.

3.2 Materials for the study

You will receive the following materials to work on the study:

- Address Record Forms (ARFs) with information sheets attached
- Advance letters (copies with or without the incentive - one per respondent)
- Laminated advance letter (one to use on the doorstep)
- Impact postcard to be sent with the advance letter
- GUS 'Helpline' leaflet to leave with **adult** respondent
- Impact laminate to use on the doorstep
- Consent form to link data to school records
- Showcards
- Child height and weight measurement cards
- Water bottle (to use as gift-one per child)
- Stickers – only to be given out if younger child in family (use sparingly but ring Brentwood if you need more)
- Instructions on administering the child cognitive exercises
- GUS calling cards
- Calendar drawing sheet
- Cognitive exercise equipment
- Scales and stadiometer

3.3 Contact with respondents

3.3.1 Pre-interview contact

In line with previous face-to-face visits, all respondents were sent a pre-advance letter two months prior to fieldwork starting (November). This was sent as a tracing exercise to try and identify in advance those sample members who have moved. However, it also informed people that we would be in touch soon about the study. A copy of the letter is shown in Appendix B.

3.3.2 Making contact with respondents

When you first try to make contact at the address it should always be with the person named on the ARF address label. All advance correspondence has been addressed to this person.

Once you receive your workpack you will be asked to send an advance letter to the parents of all cohort members in your allocation. These letters will be provided with the name and address of the previous respondent mail-merged onto the top. There is a space for you to write your name in the text of the letter before you send it out as well as include your mobile number. **Please also insert a copy of the impact postcard.**

It's up to you how you choose to send these letters they should be sent out **before** you contact the respondent and ideally a few days to a week before you do so.

3.3.3 Doorstep contact versus telephone contact

The default procedure on GUS is that your initial contact at each address should be **in person**. There are however some exceptions, where first contact could be made by telephone:

- Where you conducted an interview with the family at the previous sweep and expect the family to be willing to participate.
- Where the address is particularly remote or rural (i.e. where going to the respondent's home requires a significant amount of traveling)
- Where repeat doorstep calling at the address has been unsuccessful (i.e. where you have made at least three visits at different times and days of the week-this needs to be one during an evening after 7pm and one at the weekend).
- Where a participant has specifically requested a telephone call –if so, this will be marked on the Information Sheet.

In cases where telephone contact is deemed appropriate, please follow these guidelines:

- Use your NatCen mobile (where possible) for making calls to respondents.
- Use all available numbers that are on the ARF and Information Sheet, e.g. mobile, landline, work. Try each phone number a minimum of six times.
- These six phone calls should be made at different times of the day, and on different days of the week.
- At least one phone call should be made in the evening (no later than 9pm).
- At least one phone call should be made at the weekend.
- Do not accept refusals over the phone (either if the participant phones you in response to the advance letter or when you phone the participant)-these cases should then be visited in person. Obviously, if there are specific reasons for the interview falling at a bad moment - illness or recent death/family events - then there is no need to follow this up at this sweep, and should (after discussion with the FPM) be treated as a sweep only refusal (code 425).
- If in doubt, please contact your FPM
- In the case of reaching an answering machine, only leave a message if the answerphone clearly identifies the household, if not hang-up.
- If phone contact is not successful, please make visits in-person (6 in total per case) or pursue other lines of enquiry/tracing-talking to neighbours, stable contacts, respondent's email address etc.

3.3.4 Email contact

Emails should only be used as a last resort, i.e. when both face-to-face and telephone contact hasn't worked.

When using emails to contact respondents, please:

- Do not use your personal email account. If you do not have a NatCen email account, please ask your FPM to send an email on your behalf
- Draft email templates for participants are available and will be sent to all interviewers
- Do not accept refusals via email-try other lines of enquiry where possible.

3.3.5 Text message

Text messaging can be a good way to remind respondents of your appointment. Text messages should only be used for confirmation of appointments following face-to-face or telephone contact.

When using text messages, please follow these guidelines:

- Use your NatCen mobile
- If a mobile number is not provided, please check if the respondent has a mobile when making the appointment. Remember to enter this number into the CAPI admin block for the case.
- The following message may be used (and adapted if necessary) when texting respondents:
Dear <RESPONDENT>. This is a message to confirm your GUS interview taking place on <DATE> at <TIME>.

3.3.6 Stable contacts

Please use all stable contacts that are provided on the Information Sheet (up to two per participant). You can make contact either:

- In person (where this contact is local to you).
- By telephone (please make up to six phone calls to each of the phone numbers, at different times of the day and week-one evening, one at the weekend etc).
- If there is an email address, please email using the template (from your Natcen email address) or ask your FPM to do so.
- Follow the guidelines in the project instructions when making contact with stable contacts-remember not to disclose the name of the study.
- Remember that it's possible to obtain a tracing letter from the office that you can post to the stable contact who can pass on to the participant.

3.3.7 Eligible respondents

As always, we are aiming to interview the same person interviewed at the previous sweep-but only if they still meet the criteria, that is they live with the cohort child and both still live in Scotland.

In situations where the previous respondent is not available, we would rather conduct an interview with another parent or guardian of the child than not conduct an interview at all, so you should be flexible if the previous respondent refuses, or is unavailable or away.

In some cases the child may no longer be in the care of the person interviewed at the previous sweep. In this instance you should attempt to identify who is now caring for the child and their whereabouts.

You should **not** conduct the interview with anyone else who is neither a parent nor a guardian of the sampled child, for example if you are in touch with the child's natural parent but this person does not live with the child anymore. If in doubt about who to interview, contact your Field Performance Manager.

3.3.8 Non-resident parents

You should **not** interview parents who are not resident with the child. If parents have shared care, please try to interview the parent with whom the child spends the most time. If the parents have 50:50 care, please try to interview the parent who was the previous respondent first. If you are unable to do this, please contact your FPM.

3.3.9 Interviews in interpretation

If a respondent cannot understand English sufficiently to take part in the interview but might be able to understand the questions through an interpreter, you should contact the office for further instructions. **Interpretation is available on this project.**

3.3.10 Notifying the police

You should be aware that working on GUS (a study involving children) requires you to notify the local police of your work. You therefore **must notify** the police before you start work. Notification should be done to the central Police Scotland number on 101.

Initially, when calling the non-emergency line you should make it clear to the interviewer that this is purely a 'notification' exercise and not a 'registration' one. These police contact points are not obliged to support our ways of working but *do* complement them and thus, we need to be clear in our message that we are a legitimate organisation, whom they can verify through either our switchboard and Internet site, and that we are purely seeking to let them know of our activities in the geographic area and should not demand authentication from them (e.g. demand an incident number).

If you are told that the Police cannot record your request then you should make a note of the time and date and simply ask for the name and collar number (if applicable) of the operator you speak to and thank them for their time. By recording these details you will have a note to refer back to if a challenge is made either by a respondent and/or if we are contacted by the police to verify our particulars.

If they ask for a contact number for ScotCen/NatCen Social Research please give them Brentwood's main number (01277 200600). In the event that you have a difficulty with using the non-emergency number or understanding the new policy you should speak to your Field Performance Manager in the first instance. If you are concerned that the area you are working is unsafe or presents other safety challenges you should speak with your FPM.

3.3.11 Handling babies or toddlers and contact with children

In general, handling babies or toddlers is discouraged. Never pick them up uninvited. If you have to entertain them (for example while the mother does the self-completion) do not pick them up and walk around with them. Try not to be left alone with the sample child or other children and **ensure that a parent/responsible adult is always in the household** when you are there.

3.3.12 Children at risk

As in all surveys, it is very important that you maintain the confidentiality of the information that you are gathering for the study. Respondents need to feel sure that the information they are giving to you will only be used for the survey and for no other purpose. It is important that the respondents do not have the impression that you represent any official agency nor that you are "snooping" on them. Worries of this kind may be even more pronounced in the case of children so it is important that you do as much as you can to alleviate them.

There may be an exceptional occasion when, because of various signs you observe, you become concerned about the treatment of the sample child or other children in the family. This concern may be so intense that you feel you must do something about this. We would suggest that you are very cautious about coming to any hasty conclusions or about any action you take bearing in mind that it is unlikely that you are professionally qualified to make judgements about "abuse". If, nevertheless, you feel so convinced that there is a potential or actual danger of "abuse" and that you should take some action please ring Carol Babicz in Brentwood (01277 690111). As far as possible, the issue should be discussed without compromising respondent anonymity.

4 Tracing procedures

4.1 Introduction

Keeping in touch with people is crucial for the success of any longitudinal study, so at sweep 3, the tracing of people who have previously participated in the survey and since moved will be a very important part of the fieldwork process. As explained earlier, we will attempt to trace all cohort members who have moved within Scotland. We have a number of measures in place to facilitate tracing and through some of these methods hope to cut down the amount of tracing required 'in-field'.

4.2 Cohort maintenance

We maintain and update a confidential database containing names, addresses and other contact information (such as phone numbers) for the cohort. This database is updated and maintained using information we obtain through a variety of methods including frequent postal mailouts.

We have a specialist tracer who is responsible for keeping addresses up to date and finding families who move. Any mail that is returned to us as 'undelivered' is traced from the office, using all methods available, in an attempt to get a new address before fieldwork. We also keep in touch with families through the study website www.growingupinScotland.co.uk and have a dedicated Freephone number and email address for the study.

4.3 Pre-advance letter and pre-field tracing

Before each sample is issued, we will have already undertaken a simple tracing exercise by sending out a 'pre-advance' letter (See appendix B for this) This helps us to determine which previous respondents have moved in advance of fieldwork and, where the letter has been forwarded to their new address, gives them an opportunity to inform us of their new details. The pre-notification letter also acts as a general reminder about their involvement in the study and gives an 'early warning' about the sweep 3 fieldwork.

If the pre-advance letter is returned to us as 'undelivered' we will attempt to obtain a new address for the respondent before the sample is issued either by contacting their stable contact or through alternative methods.

Where we have been unable to trace the respondent in these situations, the case will still be issued to field but with the old (and suspected incorrect) address details. It will be your responsibility to make a reasonable attempt to trace these cases via some of the 'in-field' methods outlined below which were not suitable for the pre-field period. These cases will be indicated on the information sheet attached to the ARF. A statement reading "Tracing required" will have been entered in the 'Comments' field underneath the current address. **Please ensure you check all information sheets for this message when you receive your workpack - these cases will require immediate action in field and should assume some priority within your workload.**

4.4 Tracing in-field

Our pre-field tracing exercise is by no means foolproof and there will be some cases which slip through the net. Therefore, if you cannot find an address or discover that the cohort member is no longer living at the address provided, please make a *reasonable* attempt to find or establish their current address. Remember that your objective is to locate the cohort member, that is, the child. Despite this you should **ALWAYS TRACE ADULTS, NEVER TRACE CHILDREN**. Always ask people if they know the whereabouts of an adult, **never ask about a child**.

In the first instance, trace the person named on the address label. Trace other adults only when you know that the named person is not eligible for interview (e.g. because they are not living with the child).

To trace people who have moved, the current occupants of the sample address and their neighbours are the obvious contacts to pursue. Even if they don't know the new address of the named adult, they might know close friends or relatives in the area who you could call on. Telephone directories and electoral registers can also be checked, though the latter is useful only if you have a good idea of the street or neighbourhood (or there is an electronic version available to search).

Remember, for reasons of confidentiality, when trying to trace the respondent named on the ARF label, you must NEVER mention to anyone else the name or content of the project for which they have been sampled.

If you establish a new address, check whether it is in your area. If you are unsure about this, your FPM will be able to advise you. If the address is in your area, seek to make contact, being fully aware that the respondent may well not have had the advance materials and so you may need to leave copies for them to consider. If the address is not in your area, simply follow the instructions to complete and return your ARF.

4.5 Stable contacts for previous respondents

At previous sweeps, all respondents were asked to provide details of up to two stable contacts. This person was described as someone who would be likely to know the whereabouts of the respondent should they move house between sweeps and that we could contact to obtain the respondent's new details. If the respondent provided a stable contact their details will be listed on the **information sheet** attached to the back of the ARF.

If the sample member has moved address you may get in touch with the stable contact to determine the respondent's whereabouts. If the stable contact lives locally you may wish to call at their address, otherwise it is acceptable to telephone them where a number has been given. When calling, do not necessarily name the project. Do not mention the child, simply say that:

- You are an interviewer working for ScotGen Social Research.
- You are trying to get contact details for respondent (mention relationship between stable contact and respondent) who is involved in a research project funded by the Scottish Government.
- The respondent completed an interview 2 years ago but you understand has moved since that time.
- Last time, the respondent gave your name to get in touch should they move.

4.6 Incomplete addresses

Although previous respondents should have given us full and accurate addresses, you may still find some addresses are wrong or incomplete. Where the address appears incomplete or inaccurate, you might check with the local council or police, post office, sorting office or in telephone directories. If the street name seems wrong, check for

roads with similar names (in the area). The nearest library or council should have street maps. You should also ask local people, perhaps by visiting local shops, especially newsagents.

4.7 Tracing checklist

IF YOU ARE GIVEN AN INCOMPLETE ADDRESS, HAVE YOU:

- checked with the post office to get a full address?
- checked in telephone directories?
- checked for roads or streets with a similar name in the local area?
- phone Brentwood who may be able to help you by accessing their postcode look-up system?

IF YOU CANNOT FIND THE ADDRESS, HAVE YOU

- used google maps or checked the internet?
- checked the telephone directory?
- looked in local streetmaps?
- consulted the post office?
- consulted the police?
- asked local shops such as a newsagent or florists?
- asked people who live in the local area?

IF THE COHORT MEMBER HAS MOVED, HAVE YOU DONE THE FOLLOWING:

- asked the present occupants for the adult respondent's whereabouts?
- asked the neighbours?
- tried any telephone numbers listed on the information sheet?
- followed up the stable contact?
- followed up any local friends/relatives you are told might be able to help?
- followed up any other useful leads?

5 Introducing the survey

5.1 Making appointments

When you first make contact, you will need to make sure all parents have seen the advance materials (either the pre-advance or advance letter) and are adequately informed about the survey – including the child’s involvement - and willing to take part again. You should normally plan to make a subsequent appointment to carry out the interview. As we need to keep the long-term co-operation of the parents and children it is important that respondents don’t feel they have to do the interview straightaway or indeed that they are under any compulsion to take part. However, if a respondent is already well-informed and happy to do the interview straightaway, that’s fine.

5.1.1 Interviewing in one or more sessions

As we are carrying out several different elements in the household - the main adult survey, child and adult height and weight measurements and child cognitive exercises - you may be unable to carry out of them in one visit. Indeed, experience from previous sweeps indicate that the families and the children are very busy with work, school, and activities so finding a time slot long enough for all elements may be difficult. Please be flexible in the way you approach this, be prepared to make a return visit if necessary and make the most efficient use of your time in the household.

The CAPI program allows you to conduct these different elements in any order so the height and weight measurements could be conducted before the main interview and vice versa. Remember that you can also use the time during the adult self-complete to assemble and organise the height and weight equipment.

5.1.2 Getting a high response rate

This survey aims to collect information about the same person over a number of years. If the family is lost from the survey in one year, it is much harder to gain their co-operation in future years, so gaining co-operation is a high priority. If a high response rate is not achieved then we run a greater risk that the findings will be biased and unrepresentative of the Scottish population. This is because people who do not take part are likely to have different characteristics to those that do.

5.1.3 Being persuasive

It is essential to persuade reluctant respondents to take part, if at all possible. Please remember that the cohort members and their families are very special people who cannot be replaced in the sample if they drop out. You will need to tailor your arguments to the particular respondent, meeting their objections or worries with reassuring and convincing points.

5.1.4 Broken appointments

If someone is out when you arrive for an appointment, it may be a way of telling you they have changed their mind about helping you. On the other hand, they may have simply forgotten all about it or had to go out on an urgent errand. You should leave a GUS call back card if any appointments are broken.

In any case, make every effort to re-contact the person and fix another appointment.

5.2 'Selling' the study

Most of the cohort member's families are aware of the importance of the study, and of the unique role each one of them plays in it. This means they are usually very keen to be involved in the study and will be prepared to give up their time to be interviewed. However, as stated above, they are busy people and in some cases may require some persuasion. Below, we have provided some answers to questions that respondents sometimes ask on the doorstep.

How long will the interview take?

The interview with the adult carer should take around 60 minutes to complete. The child cognitive exercises should take around 10-15 minutes to complete.

How many families are still involved?

GUS (across the 3 age groups) involves around 14,000 children and their families. The families are part of one of the biggest and most valuable research studies undertaken in Scotland. Within their child's age group, there are around 5800 families still taking part in sweep 3.

Why do you keep coming back?

We come back to the same people as it helps us to understand how people's circumstances and lives change as their child grows up.

What have you done with the data so far?

The information that they have so far provided is invaluable to a range of different people such as the Scottish Government, NHS Health Scotland, local councils and charities. The information is used to better understand children and families so that they are able to improve services and support families in Scotland and help make life better.

Some examples to use:

- GUS data has been used to develop and inform the Scottish Government's Play, Talk, Read campaign
- Save the Children use it to help to inform their policy work and support programmes for families
- The NHS and Health Improvement Scotland have based some of their parenting and ante-natal education packs on the findings of Growing Up in Scotland

Also use the impact laminate and impact postcard to give examples as to how the GUS data is used.

Will the funders see my replies?

No, they will not know who said what. Your computerised questionnaire and your child's questionnaire do not have your name and address on it. Your name and address are kept quite separate from the questionnaire. Your name and address will never be revealed without your permission and no one's replies can be personally identified without these.

How much longer will the study continue for?

The Scottish Government have committed to funding GUS until 2016 and will hope to secure funding in the future. When this is confirmed we will write to all respondents about what this means for them. They are of course under no obligation to participate in 2014 and can decide then.

How can I be sure you are a genuine interviewer?

Show the respondent your identity card. If the person still has concerns, he/she can telephone the Freephone number shown in the letter.

5.3 Further information

Even though the current cohort families are aware of the survey, they may have some questions and need further explanation of some matters. Answer all the questions you can, and, if necessary, you can refer the respondent to the GUS Freephone number, 0800 652 2704². They can also contact the study team in the following ways:

In writing

Growing Up in Scotland Study
Scotiabank House
2nd Floor
6 South Charlotte Street
Edinburgh
EH2 4AW

Via the study website: www.growingupinScotland.org.uk

Via email: gus@scotcen.org.uk

² However, calls to this number from mobile phones will incur a charge.

6 Main questionnaire

6.1 Overview of topics

The main questionnaire is slightly shorter this year (45 minutes) but follows a similar structure to previous years:

- Household grid/composition
- Parenting
- Sibling relationships
- Non-resident parent (asked of all households where one of the natural parents is not resident)
- Pre-school
- Childcare
- Primary school
- Child health and development
- Self control
- Activities
- Physical activity
- Food and eating
- Employment and Education
- Income and financial management
- Housing and Accommodation (only asked of those who have moved since the last interview)
- Self-complete section

Many of the questions have been asked before but there are also some new questions.

6.1.1 Feed forward data

As in previous years, the program will feed forward data collected at a previous interview where this was provided such as the name of the child's school, employment details, details of stable contacts etc. You will then be asked to check that this information is correct and amend if necessary.

7 Conducting the child cognitive exercises

7.1 Introduction

At this sweep, we would like you to carry out two cognitive exercises with the study child. Please note that further and more detailed information and instructions, including procedures can be found in your “Child Assessment Instructions”, which you must read **before** your first interview.

The exercises are:

Naming Vocabulary

This is a verbal task that concerns knowledge of names. The child is shown a number of pictures and asked to say the name of each in turn.

Picture Similarities

This task explores the child’s reasoning ability. The child is shown a row of four pictures and is given a free-standing card with a fifth picture. The child is asked to place the free-standing card under the picture that shares an element or concept with the card.

The activities were carried out when the children were aged 3. We would like you to carry out the cognitive exercises with the child in the order they are in CAPI, i.e. start with naming vocabulary followed by picture similarities.

7.2 Gaining consent

It is important that both the child and the parent give informed consent before you undertake any exercises with the child. At this sweep, we are asking you to get their verbal consent to complete this part of the questionnaire.

7.2.1 Child activities information leaflet and consent form

Your briefing pack contains a leaflet about the child cognitive exercises for the respondent to read through. It contains additional information about what the exercises involve.

You should give the leaflet to the respondent at an appropriate point during the interview. Please explain briefly the content of the leaflet, so the respondent is fully aware of what the exercises involve. Note that we are trying to call them “exercises” and not “assessments” so respondents don’t view them as a test. Please try to use this language when speaking to the respondents.

In the leaflet, there is a sentence saying, “We would like to ask you to be present during these exercises and you are, of course, and welcome to watch if you wish”. Please note that we would like to ask you to make sure that the parents remain present throughout the exercises for everyone’s peace of mind.

Try to ensure that the parent is always present, but if they leave momentarily you need to ask whether or not you are comfortable about being alone with the child. If you are comfortable, make sure that the door to the room remains open and is never shut. If you are not comfortable, ask the child to “Go with Mummy”, or make an excuse to leave the household e.g. say you have to pop out to your car.

7.2.2 Child’s right to refuse

Please note that consent from a parent or guardian does not imply consent from the child, who retains the right to decide whether or not to take part and the right of the individual child to refuse to participate must be respected. Although a child of this age may not be able to say they do not want to take part, please be sensitive to any distress or reluctance to take part and do not proceed with the cognitive exercises in such cases.

8 Height and weight measurement

8.1 Introduction

The relationship between general build and health is of great interest to the Scottish Government, especially in relation to children. This is particularly so, as both the height and the weight of the population appear to have been changing very rapidly over the last two decades. These changes reflect the changes in children's diet and lifestyle. This survey will provide a reliable source of data on the changes that are taking place in all of these areas. We have previously measured the child's height and weight at sweep 2 of this cohort.

At sweep 3 we would like you to take both the child's and **adult** respondent's height and weight measurements. Please note that at this sweep, whoever completes the adult main interview is eligible to have their height and weight measurements taken.

8.1.1 Gaining consent

As with all elements in the study, it is vital to gain consent from all parties, including the child. Do **not force** a child to be measured if it is clear that the child is unwilling or if the child's measurements (for whatever reason) will be far from reliable. Where you think a reasonable measurement can be taken and the child consents to this, please do so.

Height and weight measurements are held in a separate parallel block to give you as much flexibility as possible as to when you conduct them. Therefore you are able to conduct the adult interview, child interview, child cognitive exercises and height and weight measurements on different visits.

GUS follows the same height and weight protocols as other studies such as the Scottish Health Survey and these are outlined in appendices D and E.

9 Other information

9.1 Completing the admin block

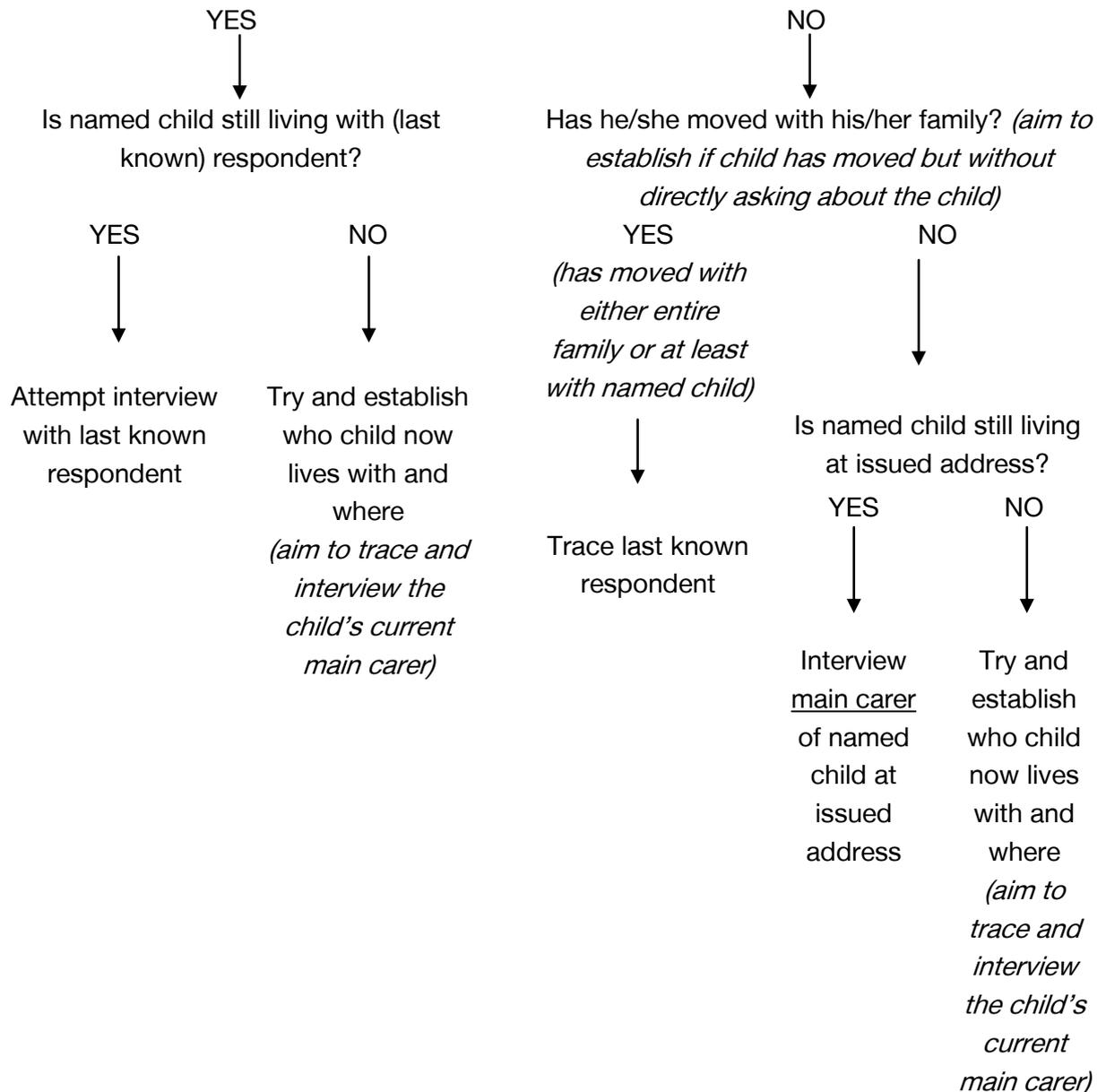
The admin block should be completed once you have reached a final outcome code. You will need to speak to your Field Performance Manager before returning a case with an unproductive outcome.

The admin block mirrors the ARF and for the most part you will simply be transferring information from the ARF. Please transfer your answers exactly as they are on the ARF, following the instructions on the screen.

You must complete an Admin block for **every** serial number, including unproductives, deadwood and office refusals.

Appendix A Tracing and eligibility diagram

Is (last known) respondent still resident at the issued address on the front of the ARF?



Appendix B Pre-advance letter

This letter is sent to the named respondent **two months** in-advance of fieldwork.



ScotCen
Social Research that works for society



Are these up to date?

<Title Fname Surname>
<Address1>
<Address2>
<Address3>
<Address4>
<Postcode>
<Email_Add>
<PhoneNu1>
<PhoneNu2>

Dear <Fname>

Thanks once again for being part of **Growing Up in Scotland (GUS)** - we're really grateful for your participation. As you know, the study helps the Scottish Government improve the lives of children and families across the country. We first spoke to you when your child was 10 months old and this year children in the study will start turning 5. We are writing to let you know about our plans for the upcoming months.



We'd like to see you again

This year one of our interviewers would like to revisit you to see how your life has changed since we last spoke to you. Your child might also be interested to hear that (with your permission and the child's agreement) we have some fun exercises for them to complete.



You're unique!

You may think you are just a typical family living in Scotland but to us you aren't. In fact, you're unique! As you've taken part in GUS before, we cannot replace you or your child with anyone else.



Please update your contact details

We want to check that your contact details are up-to-date. If they have changed, please let us know as soon as possible by calling us free on 0800 652 2704 or email gus@scotcen.org.uk.



No decisions right now

By updating your details you are not committing yourself to taking part. We'll be in touch again soon and you can decide then if you'd like to take part. If you have any questions, please contact us using the phone number or email address above. You can find out more about the study at www.growingupinScotland.org.uk.

Thanks again for being part of Growing Up in Scotland and helping us to make the study a great success.

Yours sincerely,

Paul Bradshaw
Project Director
www.growingupinScotland.org.uk

Ref: P04979.02/<Serial_Num><CL1>
<date>

ScotCen Social Research, Kings House, 101-105 Kings Road, Brentwood, Essex CM14 4LX Tel: 0800 652 397. Company limited by guarantee. Reg No. 4392415. A Charity registered in England and Wales (1091768) and in Scotland (SC038464)



Appendix C ARF Information Sheet

Serial : 2010002 K Reference : eyears2_jan_0002

	<i>Sweep 1</i>	<i>Sweep 2</i>	<i>Sweep 3</i>	<i>Sweep 4</i>	<i>Sweep 5</i>
10 Interview Date	01-02-2011				
11 Interview Day	Tuesday				
12 Interview Time	10:00				
13 Outcome	110				

This table provides a summary of the interview details and outcomes of previous sweeps.

<u>Respondent Name</u>					
No.	Received	14 Full Name	Comments		
0	12102010	Dr Jemima Allanson	none		
<u>15 Child's Name</u>					
0	12102010	Miss Ellie Allanson	none		
<u>16 Respondent Address</u>					
No.	17 Move Date	Address		Comments	
0	12102010	45 Stephen Street, Aberdeen AB4 6ZL		none	
1	27112012	78 Forestview Road, Aberdeen AB9 7FY			
<u>18 Respondent Telephone Number</u>					
No.	Received	19 Telephone Number 1	20 Telephone Number 2	Comments	
0	12102010	01224 325676	07823175774	none	If the respondent gave us a telephone number or an e-mail address these will be shown. If blank we have no number. Ideally your first contact should be in person but you can use the telephone number for difficult to contact
1	01032011				
<u>21 Respondent Email Address</u>					
No.	22 Received	23 Email Address		Comments	
0	12102010	jemima.allanson@yahoo.co.uk		none	
1	01032011				

This is the name and address information that appears on the address label on the front of the ARF

If we suspect that the respondent is no longer at the issued address 'Tracing required' will be entered here.

<u>24 Stable Contact</u>					
25 Name, Relationship & Address			26 Telephone Numbers		
0	12102010	none	0	12102010	none
1	01032011	Hazel Allanson, Mother In Law Wellview, Ballytree Avenue, Aboyne, Aberdeenshire	1	01032011	01339 866888
<u>27 Email</u>					
0	12102010				none

At the end of the interview we ask respondents if there is someone we can contact who would know their whereabouts. This is the stable address information provided here. If it is blank we have no stable address details. You may find this info helpful in tracing movers.

Appendix D Protocol: Height measurement

Measuring the child's height

The protocol for measuring children differs slightly to that for adults (which you may have done in previous GUS sweeps or on other surveys). You must get the co-operation of an adult household member. You will need their assistance in order to carry out the protocol, and children are much more likely to be co-operative themselves if another household member is involved in the measurement. Please note that the adult should only help by lowering the headplate and should not do any of the stretching (described below).

Children's bodies are much more elastic than those of adults. Unlike adults they will need your help in order to stretch to their fullest height. This is done by stretching them. This is essential in order to get an accurate measurement. It causes no pain and simply helps support the child while they stretch to their tallest height.

1. In addition to removing their shoes, children should remove their socks as well. This is not because the socks affect the measurement but so that you can make sure that the child doesn't lift their heels off of the base plate. (See 3 below).
2. Assemble the stadiometer and raise the head plate to allow sufficient room for the child to stand underneath it.
3. The child should stand with their feet flat on the centre of the base plate, feet together and heels against the rod. The child's back should be as straight as possible, preferably against the rod, and their arms hanging loosely by their sides. They should be facing forwards.
4. Place the measuring arm just above the child's head.
5. Move the child's head so that the Frankfort Plane is in a horizontal position (see diagram). This position is as important when measuring children as it is when measuring adults if the measurements are to be accurate. To make sure that the Frankfort Plane is horizontal, you can use the Frankfort Plane Card to line up the bottom of the eye socket with the flap of skin on the ear. The Frankfort Plane is horizontal when the card is parallel to the stadiometer arm.
6. Cup the child's head in your hands, placing the heels of your palms either side of the chin, with your thumbs just in front of the ears, and your fingers going round towards the back of the neck. (See diagram).
7. Firmly but gently, apply upward pressure lifting the child's head upwards towards the stadiometer headplate and thus stretching the child to their maximum height. Avoid jerky movements, perform the procedure smoothly and take care not to tilt the head at an angle: you must keep it in the Frankfort plane. Explain what you are doing and tell the child that you want them to stand up straight and tall but not to move their head or stand on their tip-toes.
8. Ask the household member who is helping you to lower the headplate down gently onto the child's head. Make sure that the plate touches the skull and that it is not pressing down too hard.
9. Still holding the child's head, relieve traction and allow the child to stand relaxed. If the measurement has been done properly the child should be able to step off the

stadiometer without ducking their head. Make sure that the child does not knock the head plate as they step off.

10. Read the height value in metric units to the nearest millimetre and enter the reading into the computer at the question "Height." Please then write the child's height onto their measurement card. At that point the computer will display the recorded height in both centimetres and in feet and inches.

Push the head plate high enough to avoid any member of the household hitting their head against it when getting ready to be measured.

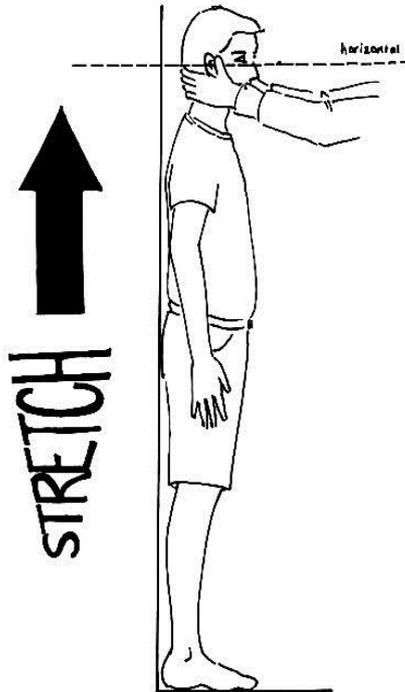
Recording height measurements

Height measurements should be recorded accurate to one decimal place. If a child's height falls in between millimetres, then it should be rounded up or down to the nearest **even** millimetre.

E.g. Height measured:	120.4 cm	Height recorded:	120.4 cm
Height measured:	120.85 cm	Height recorded:	120.8 cm
Height measured:	120.15 cm	Height recorded:	120.2 cm

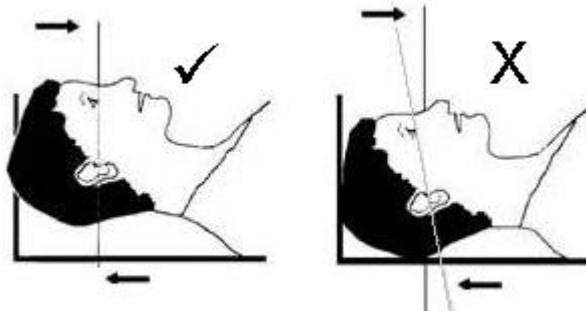
Additional points

1. If the respondent cannot stand upright with their back against the stadiometer and have their heels against the rod (e.g. those with protruding bottoms) then give priority to standing upright.
2. If the respondent has a hair style which stands well above the top of their head, (or is wearing a religious head dress), bring the headplate down until it touches the hair/head dress. With some hairstyles you can compress the hair to touch the head. If you cannot lower the headplate to touch the head, and think that this will lead to an unreliable measure, record this at question *RelHite*. If it is a hairstyle that can be altered, e.g. a bun, if possible ask the respondent to change/undo it.
3. If the respondent is tall, it can be difficult to line up the Frankfort Plane in the way described. When you think that the plane is horizontal, take one step back to check from a short distance that this is the case.
4. You may need to tip the stadiometer to read the height of tall respondents



PROTOCOL

- SHOES OFF
- SOCKS OFF
- FEET TO THE BACK
- BACK STRAIGHT
- HANDS BY THE SIDE
- FRANKFORT PLANE
- LOOK AT A FIXED POINT
- STRETCH & BREATHE IN
- LOWER HEADPLATE
- BREATHE OUT
- STEP OFF
- READ MEASUREMENT



Appendix E Protocol: Weight measurement

1. Place the scales on a hard and even surface if possible. Carpets may affect measurements. Ask the respondent to remove shoes, heavy outer garments such as jackets and cardigans, heavy jewellery, and to empty their pockets of all items.
2. Turn the display on by using the appropriate method for the scales.
3. Ask the respondent to stand with their feet together in the centre and their heels against the back edge of the scales. Arms should be hanging loosely at their sides and head facing forward. Ensure that they keep looking ahead - it may be tempting for the respondent to look down at their weight reading. Ask them not to do this and assure them that you will tell them their weight afterwards if they want to know.

The posture of the respondent is important. If they stand to one side, look down, or do not otherwise have their weight evenly spread, it can affect the reading.

5. The scales will take a short while to stabilise and will read 'C' until they have done so. If the respondent moves excessively while the scales are stabilising you may get a false reading. If you think this is the case reweigh, but first ensure that you have erased the memory.
6. The scales have been calibrated in kilograms and 100 gram units (0.1 kg). Record the reading into the computer at the question *RespWts* before the respondent steps off the scales. The computer will then display the measured weight in both kilos and in stones and pounds.

WARNING

The maximum weight registering accurately on the scales is 130 kg (20 ½ stone). (The SECA 870 can weight up to a maximum of 150 kg (23 ½ stone). If you think the respondent exceeds this limit code them as “Weight not attempted” at *RespWts*. The computer will display a question asking them for an estimate. Do not attempt to weight them.

Appendix F Interviewer check list: Contacting GUS respondents

Before returning a case, have you...	
Face-to-face	Attempted face-to-face contact with the respondent by going to their home six times ?
	Made these visits on different days of the week, e.g. both weekdays and at weekends?
	Visited at different times of the day, e.g. both daytime and evening incl. after 7pm and at the weekend?
Telephone	Called the respondent on all telephone the numbers provided? Six times to each number we have on file.
	Made at least one evening call (no later than 9pm) and one call at the weekend?
Email	Sent the respondent an email? (or, if you do not have a NatCen email address, asked your FPM to send an email on your behalf?)
Stable contacts	<p>Tried to contact the stable contact in all the different ways available to you?</p> <p>-In person (if local to you) Following correct calling pattern – days, evenings after 7pm and weekends,</p> <p>-By telephone (six times to each number we have on file on different days and at different times of the day)</p>
Other tracing	Followed the tracing checklist and ideas in the interviewer instructions? E.g. asking neighbours, leaving a tracing letter etc.



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Social Research

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Growing Up in Scotland

Birth Cohort 2

Sweep 3 - 2014

Child Assessment Instructions

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1 Introduction and background to cognitive assessments

The assessment of cohort children's cognitive function is a key part of the BC2 age 5 (sweep 3) survey of Growing Up in Scotland. By cognitive function we mean the child's thought processes. This covers their powers of reasoning, their ability to learn and their mastery of language. The cohort children are the central focus of the study and their cognitive development is a key aspect of their progress. It is very important to measure this at the current time when the children in BC2 are just about to start school as their development at this age will affect their experiences in later childhood, adolescence and adulthood.

These instructions form one element of the training needed to conduct the assessments of study children's cognitive function. They are intended to reinforce and supplement the briefing sessions that interviewers assigned to this project will be given. Before beginning main stage fieldwork for this project, interviewers should attend a full briefing and also read the general instructions provided for BC2 age 5.

The two cognitive assessments we are using for BC2 age 5 are taken from the 'British Ability Scales Third Edition' (BAS III). (Note – these are updated versions from previous sweeps of GUS or other projects you may have used them on). They are educational assessment tools that are well respected and widely used. They are used to examine cognitive development and educational attainment and are normally employed by educational psychologists in a classroom or clinical setting. Both of the assessments have been adapted for use in a survey setting, and modified to be administered with the help of a CAPI programme so that you do not need to memorise a complex set of rules for routing children through each assessment. The purpose of each assessment is described in the table below.

Table 1 GUS BC2 Age 3: Child assessments in brief

Assessment name	Assesses	Method	Max no of items	Start item
BAS-Naming Vocabulary	A verbal task which concerns knowledge of names	Child is shown a picture and asked to say its name.	36	11
BAS – Picture Similarities	Non-verbal reasoning	Child is shown a row of 4 pictures and is given a card with a 5th picture. The child places the card under the picture which shares an element or concept with the card.	35	12

The data that is collected will be used to estimate an approximate score for each child. This will not, however, be made available to the interviewer, child or family as the assessments have been adapted to be suitable for research purposes only and cannot give an accurate clinical

assessment of each child’s cognitive ability or performance. In this research setting, the assessment is only designed to provide an accurate picture of the range of skills across the population.

The Naming Vocabulary assessment is presented first in the CAPI followed by the Picture Similarities. Because we would like the assessments to be delivered in a similar way to every child we would like you to **complete them in this order**. It is possible to override the CAPI in order to do the assessments in a different order but this should only be done in exceptional circumstances.

1.1 Equipment required for the assessments

In addition to these guidance notes, the materials you will need for administering the assessments are presented in Table 2. Before going out on each visit you must check that you have all the necessary equipment. You will also need the child assessment information leaflet. The leaflet will provide parents with information about the assessments and you will need to get verbal consent from the main carer to administer the assessments.

Table 2 Equipment needed for cognitive assessments

Assessment name	Equipment
BAS – Naming Vocabulary	Small orange BAS Easel
BAS – Picture Similarities	Large orange BAS Easel Picture Similarities Response Cards (35 cards in a designated order that must be checked before each visit)

1.2 Looking after and carrying the equipment

The cognitive equipment belongs to NatCen Social Research, and you will have to return it at the end of fieldwork so that it can be used on other studies (including future sweeps of GUS). Please be aware that this equipment is expensive and whilst we can replace equipment if necessary, you will not be able to interview while you are waiting for your replacement equipment to arrive.

The nature of the assessments means that children will sometimes touch the equipment. This is fine, but you should make sure that children have clean hands (beware sticky fingers!) before you start the assessment.

You should carry the equipment in the packaging provided. You can clean the equipment using a damp cloth. However, if you do this please be careful not to tear the pages of the BAS easels.

2 General points about carrying out assessments

Although each assessment has its own content and protocols, there are 3 principles that are common to all of them. The assessments should be administered:

- safely and in appropriate circumstances,
- in a manner which is consistent, and
- which elicits optimal performance from the child.

These principles should be borne in mind at all times.

2.1 Safety and appropriateness

Only assess the child if you have written consent from the responsible adult and assent from the child¹.

Do not administer the assessments if the child:

- has a learning disability or serious behavioural problem (e.g. severe ADHD) - if in doubt check with the parent
- is unable to respond to the stimuli in a typical fashion (the assessments require children to look at pictures and tell you their answer or use cards)
- is not proficient in English (this is more likely in the new birth cohort as we have a higher proportion of parents whose first language is not English).

You must follow all the standard rules for interviewing and working with children². The child's parent should always be present while you are assessing the child. If the child is distressed provide verbal reassurance and ask the child's parent for assistance. Unless you are doing the physical measurements, be careful to avoid physical contact with any child.

2.2 Consistency

The assessments derive from standard instruments, so the protocols and wording cannot be varied. You must follow the assessment procedures **exactly as specified** in the briefing, written instructions and CAPI (and if you need further assistance press the <help F9> button). This is to ensure all interviewers administer the assessment systematically and consistently, with no variation between different interviewers or across different interviews. This means we will be able to compare the results from different interviewers, different children and with different studies which have done these assessments.

At the same time, it is important that the assessments are not administered in a rigid or unnatural manner.

¹ Please consult the main interviewer instructions for further information on the consent form.

² These can be found in the NatCen document *Interviewing Respondents with disabilities, the elderly and vulnerable; children and young people*.

2.3 Optimal performance

Make sure the child understands the task; we do not want their performance to reflect the fact that they misunderstood what they needed to do.

Keep in mind the influences on each child's performance. These include:

- the environment in which the assessment takes place
- the rapport you establish with the child
- the reinforcement and encouragement you give
- the appropriateness and timing of breaks during the assessment.

Each of these is considered in turn below.

2.3.1 Environment

Ideally, the assessment should be administered in a quiet, well-lit, and properly ventilated room, away from distractions and disruptions. It may help to explain that the child will need a quiet environment to do his or her best.

You need enough space to be able to control all of the equipment and record responses while keeping the laptop screen out of the child's sight.

Given the age of the children you will be assessing, you will need to be flexible in arranging the assessment environment. However, given the nature of the assessments, it is strongly recommended that you use a table if available.

If a table is available at which you and the child can sit comfortably and safely, try to arrange it so that the child and you can sit at right angles across the corner of the table.

If a table is not available, or if the child prefers to be seated on the floor, or in the arms of a parent or caregiver, try to ensure that a firm surface, such as your clipboard, a coffee table or firm carpet is available.

A parent should be present in the room when you administer the assessment. Explain to them before you start the assessment that they should not prompt the child during the assessment administration or offer the children any encouraging (or discouraging) remarks. Nor should they reword or explain the instructions to the child, or give hints, or help in any other way. Explain that you want to make sure that the response you record is the child's and that in fairness to all children the assessment always has to be done in the same way.

Where possible, try to ensure that other family members – particularly brothers and sisters – are not present during the assessment.

Where possible, try to ensure that the child is not distracted from the assessment or eased by extraneous materials in their direct view (e.g. toys, your pencil, your laptop, etc) and that any televisions etc in the room are turned off.

2.3.2 Rapport

Before administering the assessment, take some time to establish rapport with the child. This is especially important because these are young children who will have had little experience with formal educational assessments. It will help if you are introduced to the child by the parent or caregiver or if you introduce yourself to the child. Talking to the child before you start may also help to set them at ease. Some hints are to ask them about what they did that day, the name of their sibling(s) or refer to anything else that seems relevant such as toys, pets, football teams, television programs etc.

2.3.3 Reinforcement and encouragement

The general rule you must follow is to be reassuring and encouraging but not to give any clues about how the child is performing (except on Teaching Items as discussed later). During the assessment, you cannot tell the child whether their answers are right or wrong, or how well they have done.

Rewarding effort and co-operation with strong but neutral encouragement throughout will do a lot to help you maintain rapport and motivation and may distract attention from failure.

When administering the assessment you should try to be aware of, and sensitive to, the child's mood. As the child progresses from easy to difficult items, be prepared to comment emphatically on how difficult the assessment is becoming, and express genuine encouragement to allay the child's frustration and any negative reaction to failure.

Be careful not to reinforce or focus attention only on a child's correct responses. When incorrect responses are met by silence, the child becomes acutely aware of failure. Examples of appropriate 'neutrally encouraging' statements are sincerely expressed phrases such as:

'Thank you'

'OK'

'You are doing a good job'

'We are almost finished'

Be aware of non-verbal communication and make sure that you do not give the child any clues about their performance through your body language and facial expressions.

At the end of the assessment, you should thank the child for taking part and praise the child by telling them how well they have done and/or how hard they have tried.

2.3.4 Breaks

Before you begin the assessment try to make sure that the child is not hungry, thirsty or tired. Most of the children with whom you will be working will be able to complete the assessments without a break. However, you should be especially sensitive to behaviours that suggest the need for a bathroom or rest break (i.e. squirming, rubbing eyes, yawning). If the child does need a break, try to make sure that this is between different assessments, rather than in the middle of one section.

3 General points about BAS

3.1 Start and finish points

In the BAS assessments, the rule is generally that the older the child, the further into the assessment they will start. As all the children in this study are approximately the same age, they will all start the assessments at the same point. However, this means that some children will find themselves beginning with a set of questions that are too difficult for them. If this is the case, the CAPI will automatically route them back to an earlier set of questions which are a bit easier.

The assessment will then continue until the child's best performance can be established. This means the assessment will stop when the child fails a number of questions.

In essence, the CAPI program will continue until it has collected enough information to build up a good estimate of the child's cognitive development.

There are a number of implications:

- You need to enter the answer the child gives for each individual question into the CAPI as soon as the child responds to the question. Otherwise, the child may be asked questions of an inappropriate level of difficulty.
- You need to pay close attention to the CAPI screen as this will tell you which question to administer next.
- You should not show surprise if a child needs to move to an earlier set of questions or draw attention to this as it may result in the child feeling a sense of failure.
- You should not show surprise that the assessments finish at different places for some children.

The assessments will finish when the child begins to answer a lot of questions incorrectly and this can be disheartening. This does not mean that they have failed, just that their maximum performance or ceiling has been reached. You should reassure the child that they have done well to get so far through the assessment.

3.2 Stopping assessments

You should only stop an assessment (before the CAPI stops), and move to the next one, if a child has become extremely distressed and it is impossible to continue the assessment.

If you want to stop:

- **before you have completed half of the assessment**, you should press 'page up' and move to the beginning of the assessment (variables AnwB, AnwC, AnwD as appropriate) and code 3 'Terminate assessment'
- **half-way through the assessment**, CAPI will ask you to confirm that you want to continue with the assessment (variables SStp, NStp, Pstp). Follow the CAPI instructions if you want to stop the assessment

- **more than half-way through the assessment**, press 'page up' and move to the half way point (mentioned previously) and follow the CAPI instructions to stop the assessment.

3.3 Teaching

In all of the BAS assessments, teaching is provided on the first few items in the assessment in order to ensure that the child understands what they are supposed to do. The main purpose of teaching is to provide additional instructions if the child fails one of the initial items of the assessment in order to help the child do as well as he/she can on the later items. As the first questions are easier, failure on one of them may simply reflect a misunderstanding of the instructions. Teaching involves pointing out the error and showing the child the correct response.

As children who fail a question designated as a teaching item receive feedback on their performance, those children who pass such an item should also receive feedback so they will be reassured that their understanding of the task is correct. If the child answers a teaching item correctly, the response should be acknowledged as correct by saying: "That's right, now let's try another one".

The precise wording which you should use when a child passes or fails a teaching item will be provided in CAPI and you must follow this exactly. Teaching should be given only when prompted by CAPI and should always be given when prompted. Specific feedback must not be given on any other items. As discussed above, use neutral praise instead.

4 BAS assessments - Naming Vocabulary

4.1 General information

In this scale, children are shown pictures in the BAS easel (which provides the stimuli) and are asked to name the object pictured.

There are a total of 36 items in the assessment and all the children in the study will begin the assessment at **Item 11**.

The aim of the assessment is to measure knowledge of the English language, so answers in other languages are not permitted. If the child is bilingual you should note this in a CAPI memo before beginning the assessment. If the child responds in a language other than English, ask the child if they can say the name of the object in English. If the child continues to respond in another language, you must code 'INCORRECT other' and then record that the child responded in another language. Do not accept translations from other household members.

4.2 Materials

Small orange BAS easel

4.3 Procedure

1. Before you begin the assessment find the Naming Vocabulary section in the Easel and turn to **tab 11**. Fold the easel in half.

2. Introduce each picture by saying: “What is this?” Press <help F9> if you need further guidance.
3. If the child does not respond, encourage the child once by saying: “What is it called?” or “Tell me what this thing is?” Further information about this is provided in the next section, ‘Probing’.
4. Code the child’s response. Common correct and incorrect answers are given on the screen. In addition to the words given, any appropriate names can be accepted as correct, provided it is not too general. Overly specific names can be accepted as correct and a separate code is usually provided for such names. Any other answers that are appropriate names for the item shown should be coded as ‘CORRECT Other’. In addition, extensions of names which include one of the words listed as correct can be accepted as correct. For example, ‘door chain’ is acceptable for ‘chain’ (Item 27) and should be coded as ‘CORRECT – chain’ and ‘pair of scissors’ is acceptable for ‘scissors’ (Item 11) and should be coded as ‘CORRECT – scissors’.
5. If the child gives an answer that you code as either ‘CORRECT name of any specific type of (name of item)’, ‘CORRECT Other’ or ‘INCORRECT Other’, you will be directed to enter the child’s answer verbatim.
6. NB in previous surveys using this assessment some interviewers found that typing in verbatim responses interrupted the flow of the assessment. It was found to be useful to direct attention away from verbatim response entry by using phrases such as “You’re going too fast for me” or “I’ve done something wrong”
7. Please note that CAPI will not allow you to code don’t know as CTRL+ K or refusal as CTRL + R. So, if the child does not respond or says ‘don’t know’ or refuses to respond you should code 88 ‘Don’t know / refusal / no response’.
8. If the child spontaneously changes their response or gives a string of responses, code their best response.
9. You may repeat the general directions when the child asks for a repetition or does not seem to understand the instruction.
10. Like general directions, specific questions may be repeated, but do not probe for each picture more than once.

4.4 Probing

For each picture, the CAPI screen will provide examples of correct and incorrect responses. Typical responses a child may give appear on the CAPI screen and are labelled as being either “CORRECT” or “INCORRECT”.

For some of the “INCORRECT” responses the CAPI will direct you to a new question. You should question the child gently in an effort to encourage a more accurate response from them. You should gently question the child once and then code the best response the child gave.

Your probe should help the child name the object in the picture, for example:

“Yes, but what is it called?”

“Can you think of its name?”

“What else would you call such a thing?”

The table below indicates how to use these probes:

Child says:	You probe:
Describes function, materials or parts of the object e.g. "Thing you sit on, it tells the time, tap"	"Yes, but what is it called?" or "Tell me its name"
Over general response e.g. "It's a shape"	"Yes, but what kind of (item name)?"
Names a related object, e.g. "clock" for watch	"What else could you call it?"

Remember: you must not probe more than once for each item.

Figure 1 Example of the Naming Vocabulary probe screen

INTERVIEWER: GENTLY PROBE TO CLARIFY OR EXPAND ANSWER

IF THE RESPONSE IS **PAINT** (OR DESCRIBES THE FUNCTION, MATERIALS OR PARTS OF THE OBJECT), SAY: **Yes, but what is it called** OR **Tell me its name.**

IF THE RESPONSE IS OVER GENERAL (E.G. IT'S A SHAPE), SAY: **Yes, but what kind of ...?**

IF THE CHILD NAMES A RELATED OBJECT, SAY: **What else could you call it?**

1. CORRECT - Brush
 2. CORRECT - Paintbrush
 3. CORRECT - Other
 4. INCORRECT - Paint
 5. INCORRECT - Draw
 6. INCORRECT - Other
 88. Don't know / refusal / no response

N15V	<input type="text" value="1"/>	Correct	N16X	
N15P			N17V	<input type="text"/>
N15X			N17P	
N16V	<input type="text" value="4"/>	Wrong1	N17X	
N16P	<input type="text"/>		N18V	<input type="text"/>

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4.5 Additional information

Sometimes you may be unsure if the child has given a correct response because they have a speech impediment or poor pronunciation. Ask them to repeat the name if necessary. You should use your judgement and if you think the child has given a correct answer, code 'CORRECT – other' and write in what they said and also record that the child mispronounced the word.

Names that are common to a particular region may sometimes be given. Regional names that are appropriate for the object in the picture are acceptable, provided that they are not overly general.

You should code 'CORRECT – other', write in what they said and also record that this is a regional word. However, words that are commonly known by only one ethnic or language group are not acceptable and should be coded as 'INCORRECT – other' and write in what they said.

4.6 Scoring

Each item is coded as 'correct' or 'incorrect'. The child scores 1 point for every correct response and 0 points for every incorrect response. Correct responses that are given after probing also score 1 point. All items (including teaching items) are scored.

4.7 Teaching

The first two questions you administer to each child (**Items 11 and 12**) are Teaching Items, so that the child understands what they are supposed to do. Follow the teaching instructions as they appear in the CAPI.

If the child passes a designated teaching Item, the response should be acknowledged as correct by saying: "That's right, now let's try another one". This kind of explicit acknowledgement of a correct response should be given when CAPI prompts you to do so.

You should follow the on screen instructions – if prompted, provide the correct response, and ask the child to repeat it.

4.8 Discontinuation

All children start at **Item 11**. The CAPI will stop the assessment automatically when the child has reached the last picture (Item 36). CAPI may also stop automatically after Item 24 or after Item 31 if the child has made 3 or more errors in all of the items administered up to that point. CAPI will also stop the assessment at any point if the child has made 5 incorrect responses in consecutive items. You should also stop if the child becomes distressed.

If a child finds the assessment particularly difficult, it is possible that the CAPI will direct you to the easier (earlier) items, which start at Item 1. This will happen if the child has made 5 consecutive errors and has less than 3 correct answers. You will need to pay attention to the CAPI instructions, to ensure that the child is always referring to the correct page. If the CAPI directs you to Item 1, find the appropriate page on the easel and follow the CAPI instructions.

4.9 Problem images

There may be some images that are distracting for children or have specific difficulties. However all children face the same difficulties and no allowances should be made for the materials. If this rule is consistently applied all children will have an equal chance of success.

Item	Problem	Suggested solution
14	Ear	The image is of the ear alone (not attached to a head). It has been improved with the addition of some hair though! Some children may comment, others may not immediately recognise the image as that of an ear.
		Be ready for comments. Give encouragement, rephrasing the question if necessary (e.g. "What does it look like?"). Do not use the word "ear" before or after the child has given their final answer.

15	Rainbow	After a series of images of single objects, this item presents the child with a view of a landscape including fields, sky and a rainbow. This has been improved but still the child may not be sure what they are supposed to name.	When showing any child this image, make sure that you trace the curve of the rainbow with your finger or a pen while asking “What is this?”
22	Sink	This image has been updated but it still includes the taps. Again, the child may not be sure what they are supposed to name.	When showing any child this image, make sure that you trace around the whole image with your finger or pen while asking “What is this?”
23	Hippo	This is a new item and shows a hippo in a swamp with trees around it. The child may not be sure what to name.	When showing any child this image, make sure that you trace around the hippo with your finger or pen while asking “What is this?” Also, be prepared to make appropriate comments or encouragement but do not use the word hippo until the child has given their final answer.

5 BAS assessment - Picture Similarities

5.1 General information

In this assessment children are shown a row of four pictures in the BAS easel. They are asked to place a free-standing card with a fifth picture underneath the picture with which the card shares a similar element or concept.

There are a total of 35 items in the assessment and all the children in the study will begin the assessment at **Item 12**.

5.2 Materials

You will need:

Large orange BAS easel (Picture Similarities easel)
The Picture Similarities Response Cards (35 cards).

It is very important that you make sure the cards are in the correct order before you go to the household.

5.3 Procedure

1. Before you begin the assessment find the ‘Picture Similarities’ section in the BAS easel and turn to tab 12. Fold the easel in half.

2. Now get the picture response cards. You should hold the cards in your hands at all times and keep them face down i.e. the card number should be facing towards you. Please note that you should keep the picture response cards face down, until the relevant item has been administered.
3. All children will start at **item 12**. Find card 12, and keep this at the top of the pack of cards.
4. For each item turn to the appropriate page in the easel (as displayed in the CAPI). Starting at the child's left, point across the row of pictures and at the same time say 'Here is a row of pictures.'
5. Then turn over the corresponding picture card, and hand it to the child and say 'Which picture does this one go with? Please put it under the picture it goes with.'
6. You should always present the card so that it is facing the child correctly i.e. correct orientation and picture facing towards the child.
7. Code whether the child gave the correct response as displayed in the CAPI. Press <help F9> if you need further guidance.
8. Please note that CAPI will not allow you to code don't know (CTRL+ K) or refusal responses (CTRL + R). So, if the child does not respond / says 'don't know' / refuses to respond code this as 'No'.
9. If the child spontaneously changes their response, code their final response.
10. You may repeat the general directions when the child asks for a repetition or does not seem to understand the instruction.

Like general directions, specific questions may be repeated.
 Figure 2 Example of a Picture Similarities CAPI screen

Growing Up in Scotland BE2 Sweep 2
 Forms Answer Navigate Options Help

PAGE 3
 (POINT ACROSS THE ROW OF PICTURES AND SAY: **Here is a row of pictures**).
 (TURN OVER PICTURE **CARD 3**).

HAND THE CARD TO THE CHILD AND SAY: **Which picture does this one go with? Please put it under the picture it goes with.**

(SEE HELP <F9> FOR PROBES)

INTERVIEWER: DID THE CHILD PUT THE CARD **UNDER PICTURE 2?**

1. Yes (PUT CARD **UNDER PICTURE 2**)
 2. No

P03S

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5.4 Probing

If the picture card is not placed directly under one of the pictures e.g. if the child places it on one of the vertical lines which separates the row of pictures, say: “Which picture do you mean?”

5.5 Additional information

If the child is attempting to respond and appears concerned about the orientation of the card, say “It doesn’t matter which way the card is turned. Just put it under the picture it goes with”.

You may find that the child places the card immediately on top of the picture or tries to place it underneath the page. If so you should point to below the row of pictures and say “Put your card down here under the picture it goes with”.

After a while, you may find that the child has become familiar with the requirements of the assessment and you do not need to say the instruction to the child. So if you present the next item and the child almost immediately provides a response, you should accept and code the child’s response.

5.6 Controlling the pace of the assessment

You may find it necessary to actively manage the pace of the assessment. Do this by keeping control of the cards, and only handing the relevant card to the child when you are ready. When the child has answered, tell them when they can remove the card from the easel, by using a cue word such as ‘Thank you’. It can be useful to encourage the child to make a pile of the used cards, and to turn the pages of the easel themselves.

5.7 Scoring

Each item is coded as ‘Yes’ (correct) or ‘No’ (incorrect). The child scores 1 point for every correct response and 0 points for every incorrect response. All items (including teaching items) are scored.

The correct response is given in the CAPI and corresponds to the row of 4 pictures, starting from the child’s left.

5.8 Teaching

The first two questions you administer to each child (Items 11 and 12) are Teaching Items designed to ensure the child understands what they are supposed to do.

Teaching is carried out if the child fails Item 11 and / or 12 *only*, and you should follow the on screen teaching instructions, i.e. put the card under the relevant picture and say ‘**The card goes here because ...**’

If the child answers a teaching item correctly, the response should be acknowledged as correct by saying: “**That’s right, now let’s try another one**”. This explicit acknowledgement of a correct response should *only* be given if the child correctly answers Item 11 and / or 12.

If the CAPI routes you to an easier (earlier) point in the assessment, you will be directed to provide teaching on Items 1 to 5 as well. Follow the teaching instructions as they appear in the CAPI.

5.9 Discontinuation

All children start at Item 12. If a child finds the assessment particularly difficult, it is possible that the CAPI will direct you to the easier (earlier) items, which start at Item 1. CAPI will go back to Item 1 if there are 6 incorrect responses across 8 consecutive items, and less than 3 correct answers. You will need to pay attention to the CAPI instructions, to ensure that the child is always referring to the correct page.

The CAPI will stop the assessment automatically when either the child has made several incorrect responses or they have reached the last picture (Item 35). Therefore, the stopping point varies from child to child, so you should not expect the CAPI to stop at the same item for all children. You should also stop if the child becomes distressed.