IMPACT EVALUATION OF THE UPGRADE OF INFORMAL SETTLEMENTS PROGRAMME: LIMPOPO, GAUTENG AND FREE STATE

GUIDELINES FOR HOUSEHOLD INTERVIEWERS[1]

BASELINE HOUSEHOLD SURVEY

[1] This manual is based on the Water and Sanitation Program's (WSP) Impact Evaluation of Handwashing and Total Sanitation Programs Interviewer Manual, April 3, 2008. The original manual was authored by Paul Wassenich.

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1. Overview

The first part of this manual is intended to inform the survey interviewer of the design and purpose of the study. It is not necessary to memorise this information; it is provided here simply to help you understand your role as a survey interviewer, and how your work contributes to the goals of the research. The second part of this manual provides detailed guidelines for how to conduct household interviews, and detailed instructions for the questionnaire, which you may need to refer to during your field work. For this reason, it is important that you have the second part of this manual with you as reference during field work, since you may occasionally need to refer to it for points of clarification.

2. Study Objectives

The programme of evaluation has two primary objectives:

(1) Rigorously estimate the impact of the Upgrading of Informal Settlements Programme on the welfare of beneficiaries, including the effects on health and safety, employment, productive activities, childhood development and the empowerment of local communities.
(2) Test, through pilot schemes, alternative sub-interventions or modes of delivery that may yield improved results for equal or lower costs.

To the extent that the chosen sites are representative of the informal settlements within each province, these lessons can be incorporated in the UISP design and the scale-up of operations within provinces to improve UIS effectiveness over time.

3. Interviewer's Role

You have been selected as one of the interviewers for the UISP Impact Evaluation Household Survey. While this research is led by a national and international team of experts in economics, health and child development, t**he global research team depends on you to collect individual and household data diligently and accurately.**

In addition, as an interviewer on this research team it is crucial you understand **the information you collect from individuals in this survey must remain confidential to the National Department of Human Settlements, the World Bank and its affiliated researchers, and must not be divulged to any unauthorised person.**

Each interviewer is responsible for the complete administration of the household survey questionnaire to approximately 120 households over two months.

4. Survey Team Organisation

Each field team should be comprised of 1 field supervisor, 3-4 interviewers, 1 biometric data collector, and 1 field data entry operator. The interviewers report directly to their field supervisor, while field supervisors report directly to the provincial coordinator.

Field Supervisor

As an interviewer, your field work will be monitored by a field supervisor who is responsible for monitoring up to four interviewers in your team's survey areas. The field supervisor is responsible for assisting you in solving any problems that you encounter in administering the survey.

You should channel all of your questions, comments, observations, and complaints through your field supervisor. This will allow them to be dealt with in a systematic way, and allow for timely responses. This will also help the field manager respond more efficiently, since questions, etc. will come from supervisors, rather than from the many different team members.

Your field supervisor is responsible for making sure that you are able to do your work properly – that you have the correct information and tools needed for the job. In addition to providing support, he or she will check and sign off all of your completed forms, regularly sit in on some of your interview sessions with household members or return to some households after your interview in order to assess your work.

As questionnaires for households are completed, your field supervisor will work with the field data entry operator to review each questionnaire that you have completed to make sure there are no errors. He or she will return any questionnaires that are incomplete or that contain errors. In these cases, you will return to the households in order to make the corrections. **As the survey management team will assess the performance of your field supervisor primarily on the basis of the quality of the data that comes from you and the other interviewers under his or her supervision, you should expect your field supervisors to conduct rigorous examination of your questionnaires.**

Field Data Entry Operator

The data entry operator is responsible for implementing Computer Assisted Field Entry (CAFE), and is therefore responsible for entering data from questionnaires as they come out of the field for immediate inconsistency checks for interviewers prior to any follow-up visit to the household.

CAFE does not require the use of computers or hand-held devices to collect data. Interviewers will collect data using the paper questionnaire. CAFE involves a system for field data entry, where data entry operators are in the field with the survey team, and enter data into a laptop computer once data has been collected from the household using the paper questionnaire.

With CAFE, we can obtain reliable and timely databases directly from the field. The integration of computer-based quality controls to fieldwork is the best survey data management paradigm available today. It is based on the notion that all inconsistencies in the questionnaires have to be checked while the interviewers are in the field, and corrected in follow-up visits to the households. The field supervisor will have immediate feedback on the performance of the field staff since we can conduct tabulations and inconsistency reports in the field and detect problems in the field early (analyse inconsistencies by team or even by interviewer). With CAFE, we're also able to generate uniformity in quality across teams. **A questionnaire will only be considered complete when it has been successfully entered into the data entry programme.**

Biometric Data Collector

The biometric data collector will visit households with children aged 6 – 60 months, obtain informed consent from the responsible caregiver, and proceed to collect anthropometric measurements as well as blood and stool samples (in specified instances) of the youngest child in the household. As an interviewer you may be required to support the biometric data collector with transporting equipment, or helping with the anthropometric measurements if he/she visits the same household that you are currently gathering information from for the main household questionnaire.

Provincial coordinator

The field supervisors work under the supervision of the provincial coordinator. This individual is a staff member of the survey firm Vari consulting and he/she will be assigned to oversee the administration of this survey. The provincial coordinator is responsible both for the quality of the data which the interviewers and field supervisors provide and for the logistical arrangements of these staff. They are expected to make frequent visits to both the interviewers and the field supervisors whom they oversee. They will receive the data entered in the field from the field supervisors and subject the data to an additional review for consistency checks. Those questionnaires that are incomplete or erroneous will be returned to the field team for correction. The provincial coordinators are also responsible for any work related issues that the interviewers or field supervisors encounter as they do their work and will be the point of contact for World Bank, Human Settlements and Local Government officials.
*See Appendix for the list of responsibilities relating to all people involved in the survey.

5. HOUSEHOLD SAMPLING

(A) ELIGIBLE HOUSEHOLD SELECTION

The provincial coordinators are responsible for working with the World Bank statistician to draw a random sample of eligible households from the household listing for each sampling area. A certain number of eligible households will be selected in each area, plus an additional 5% of replacement households, in the event that one of the originally selected households cannot be found or is unwilling to participate in the survey. **The use of this replacement group will be used sparingly and only under the following conditions:**

(1) The household refused to sign the consent form; OR
(2) The household has moved out of their house and will not return before May 2010 AND cannot be located; OR
(3) A concerted effort to locate the house was made; however, because of incorrect location data from the listing survey, it was not possible to find the house's location; OR
(4) The household was unavailable on each of **four** attempts by the enumerator to visit the house;

Your field supervisor will be given the eligible household listing form that will indicate the randomly selected eligible households. Working with the field supervisor, you will locate these households within the sampling area and begin interviewing them as soon as possible.

(B) EXCLUSION FROM THE SURVEY

Members of the following households are **not eligible** for inclusion in the survey:

- All residents of dwellings other than private dwellings, such as prisons, hospitals, army barracks, and military bases.
- Tourists and others visiting the enumeration area for a short period of time (less than three months)
- Non-South African citizens
- Households that do not qualify for a housing subsidy

6. DEFINITION OF HOUSEHOLD AND HOUSEHOLD MEMBERS

A household may be either a person living alone or a group of people, either related or unrelated, who live together as a single unit in the sense that they have common housekeeping arrangements. A standard definition of a household is **"a group of people who live together, pool their money (resources), and eat from the same basket of food**." It is possible that individuals who are not members of the household may be residing with the household at the time of the survey. In most cases, but not all, someone who does not live with the household during the survey period is not a current member of the household.

It is important to recognise that members of a household need not necessarily be related by blood or by marriage. On the other hand, not all those who are related and are living in the same compound or dwelling are necessarily members of the same household. Two brothers who live in the same dwelling with their own wives and children may or may not form a common housekeeping arrangement. If they do not, they should be considered separate households.

One should make a distinction between family and household. Family reflects social relationships, blood descent, and marriage, while household is used here to identify an economic unit. While families and households are often the same, this is not always the case. **Your goal is to identify the household. You must be cautious and use the criteria provided on household membership to determine which individuals make up a particular household.**

In the case of polygamous men and extended family systems, household members may be distributed over two or more dwellings. If these dwelling units are in the same compound or nearby (necessarily within the same enumeration area) and they have a common housekeeping arrangement with a common household budget, the residents of these separate dwelling units should be treated as one household.

Having identified an economic unit that shares a common housekeeping arrangement—that is, a household—it then becomes necessary to determine who is and who is not a member of that household. Persons who live elsewhere for most of the past 12 months (more than 6 of the past 12 months) should not be considered residents, and should be dropped from the household listing. <u>However, there are two exceptions to this rule</u>:

- New spouses or babies who have recently come into the household and are now residing with the household.
- Household members residing in an institution elsewhere, but still dependent on the household. This principally includes boarding school students, or patients in long-term health care facilities outside the primary residence. However, it does not include military personnel, prisoners, or other individuals who are not primarily dependent on the household for their welfare.

It is important to highlight that non-relatives who are resident in the household for more than three months and are included in a common household keeping arrangement under the head of household are to be considered household members. However, servants, other hired workers, and lodgers (individuals who pay to reside in the dwelling of the household) <u>should not</u> be considered to be household members if they have their own household elsewhere which they head or upon which they are dependent.

Regarding both households and individuals within them, you should be very careful when dealing with this rather complex task of determining who should be included and who should not be included as a member of a survey household. The rules described above should allow you to handle the majority of household situations you encounter, but they may not cover all. If you are in doubt as to whether to include a household among the list of eligible households in an enumeration area, discuss the problem with your supervisor. Likewise, once the survey households have been selected for you to interview in an enumeration area, if you find that you remain unsure whether an individual should be included in a survey household, discuss the problem with your supervisor.

7. DEFINITION OF HEAD OF HOUSEHOLD

The head of household is the person commonly regarded by the household members as their head. The head would usually be the main income-earner and decision-maker for the household, but you should accept the decision of the household members as to who is their head. There must be one and only one head in the household. If more than one individual in a potential household claims headship or if individuals within a potential household give conflicting statements as to who is the head of household, it is possible that you are dealing with two or more households, rather than one. In such cases, it is extremely important that you apply the criteria provided above to define a single household.

Note that it is possible that the person whom other household members regard as the household head may not be residing in the dwelling at the time of the interview. He or she may be living and working, temporarily or permanently, in another part of the country or abroad. In such cases, it is necessary for household members to identify the de facto resident head of household, who is the primary decision-maker regarding the day-to-day operation of the household.

8. DATA COLLECTION

(A) GENERAL GUIDELINES

- Practice and be familiar with the questions.
- **Inform the household that the interview may require multiple visits to the household**. Each household will be visited at least twice: once by an interviewer for the main household survey questionnaire; and a second time by the team member(s) conducting anthropometric and biological data collection. You may also have to return to the household to complete the interview or correct inconsistencies discovered during data entry.
- **All questions need an answer**. The only questions left blank should be those skipped due to skip patterns in the questionnaire.
- Find a comfortable place to conduct the interview, so that you may proceed at a reasonable pace. It is well worth taking a few minutes after you have obtained informed consent to politely request that you locate yourselves where you can be seated more or less comfortably (not out in the cold, or in the rain, or under the sun, etc.) to conduct the interview, since this will allow you to conduct the interview more efficiently and let the household return to their activities sooner.
- It is extremely important that you make it clear to respondents that their participation in the survey is voluntary, and that the survey team respects their rights to privacy and confidentiality first and foremost.
- **Be aware of your surroundings**. Some of the questions require privacy in order to administer:

- because we don't want the individual's response to be influenced by someone else.
- because the information is very personal and we want to be sensitive to whether the individual is willing to discuss the topic in front of anyone else, e.g. perceived stress and maternal depression.

- If it will take time to calculate something, write down the information you need to do so, and calculate immediately after you leave the house, rather than taking time to do calculations during the interview.
- Do not take personal calls on your cell phone.

(B) Equipment and Materials

Prior to initiating a day of field work, each field team should have the following:
Enumerator

- (3-4) Household surveys, and translations
- (2) ball-point pens
- (10) consent forms
- (1) notebook to record field notes
- (1) identification badge for the study
- (1) map of the work area
- (1) letter of authorization from local authority to conduct study
- (1) Supply bag for all materials
- (1) Clipboard
- (1) GPS device
- (1) Inkpad for thumbprints
- List of households to be surveyed

Health Practitioner

- Anthropometric equipment: 1 x Weight Scale with height rod, 1 x Baby measuring mat and 1 x Head circumference measuring tape
- Anaemia/malaria test kit including: Photometer, lancets, cuvettes, gloves and alcohol swabs
- Stool sampling equipment (in Limpopo only): Spatula, container and ID sticker.
- (20) Biometric data collection and child development sheets

(C) Missing Households or Respondents

If no one is at home in a selected household, you should ask the neighbours whether the house is inhabited. If it is occupied, ask the neighbours when the household members will return. Arrange with your supervisor to go back to the dwelling when it will be occupied or at the end of the day. Do not substitute another household.

If no adult is at home in a selected household, arrange to come back at another time. Do not interview a temporary caretaker of the children, such as a babysitter; do not interview anyone who does not usually live in the household.

If an eligible caretaker of young children is not available for interview or not at home in a selected household, ask a family member or neighbour when she or he will return. Inform your supervisor, and arrange to return to interview her at that time. **Do not take responses for the modules asking about young children from anyone other than the eligible primary**

caregiver. This is often the mother, but in some cases it could be another family member or someone who lives with the family to look after the children, like a nanny.

Ask your supervisor if you are in doubt about what to do when you cannot locate a household, or you cannot complete an interview. Always keep a record on a province control sheet of the households you visited where nobody was at home. If it is not possible to interview an eligible primary caregiver of young children, record this on the questionnaire. You will need to discuss replacing the household with a replacement household if you cannot complete information in the questionnaire.

(D) INTERACTION WITH THE RESPONDENTS

Here are some general points about going through the questionnaire during the interview:

- Before you go to a selected household, you should ensure that you are ready to begin the interview—that is, you are presentable, that you know how you are going to begin the interview, that you have at least two ball point pens and at least two household questionnaire forms with you for every household that you plan to interview, and that you have the location and code numbers of the survey households with you.
- Before you start the interview, you should make sure the respondents will be in the household for at least the next 2 hours. If not, you will need to schedule multiple meetings with them in order to complete the questionnaire.
- Record answers using a pen, not a pencil, since pencil writing may smudge and become illegible between interview and data entry.
- Ask questions exactly as asked in the questionnaire.
- Ask <u>all</u> the questions, even if the respondent answers two questions at once. You can explain that you must ask each question individually, or say "Just so that I am sure…" or "Just to refresh my memory…," and then ask the question.
- Ask the respondent to clarify her/his answer if necessary. You may have misunderstood the response.
- Help your respondents to feel comfortable, but make sure you do not suggest answers to your questions. For example, do not 'help' a woman to remember symptoms of diarrhoea.
- Check for consistency between the answers a respondent gives. Try to understand and remember the responses, and if there is an inconsistency, ask for clarification from the respondent.
- Do not leave a question unanswered unless you have been instructed to skip the question. Questions left blank are difficult to deal with later. In the office it may look as though you forgot to ask the question. Always write in "0" when a respondent replies "zero."
- Pause and wait if the respondent is trying to remember difficult items. If they cannot remember, it is better to accept "I don't know" as a response and move on than to press for answer.
- If you are sure that the respondent is unable to provide you with an answer, you may record a "Don't Know" response. However, you should minimise the number of "Don't Know" responses and supervisors will review questionnaires to ensure "Don't Know" responses are not overused. This follows similarly for when the interviewee does not wish to answer the questions and you have to record a "Refused to answer" response.
- Record answers immediately. Write down any pertinent remarks made by other people present, and mention who the other people are.
- Check the whole questionnaire before you leave the household to be sure it is completed correctly.

Each household interview will be approximately 2 hours long. If necessary, you may break the interviews of household members into shorter interviews. Modules are grouped by respondent, so it is generally best to complete all the modules intended for each respondent in one sitting.

You should attempt a compromise between:

- maintaining a smooth-flowing, continuous dialogue that allows you to obtain all of the information required in the shortest possible time—that is, without testing the patience of the respondents by delaying the interview in any way—and
- allowing the respondents to ask any questions that they have about the survey so that they are convinced of its value and are cooperative. Doing so, however, will take some extra time.

In conducting an interview, if it is clear that the respondent has understood the question you have asked, you must accept whatever response the respondent provides you. Probe questions can be used to make sure the respondent understands the key element of the question being asked. However, you must never second-guess the respondent. The function of the interviewer is not to judge that the information provided is correct. The analysts of the survey data are interested in what the respondent actually says. It is always possible that the respondent will lie to you or provide inaccurate information, but you, as the interviewer, should not make judgments on the information provided.

There are exceptions, of course. At all stages of the interviews with members of a household, you should be alert to errors. These can be accidental or deliberate. You can never force people to give answers that they do not want to give, but you can approach the true facts by diplomatic interviewing. For example, if the respondent says that the household has no animals and there are chickens pecking at your feet or goats tied up nearby, you should inquire about these animals. However, you should not probe excessively after seeking initial clarification from the respondent.

Ultimately, assessing whether the answers provided are “wrong” or “right” does not apply to you in administering the household questionnaire. The questionnaire is being administered to the survey household members because we expect that they will be able to provide the best information about their own living conditions. **Your job is to record as accurately as possible the information that they share with you.**

Disciplinary action will be taken against any interviewers who treat their respondents with condescension or a lack of respect, or who show a pattern of re-interpreting the answers provided by the respondents.

(E) GENERAL INSTRUCTIONS FOR DATA COLLECTION

I. HOUSEHOLD ID CODES

A household identification code will be based on its location: using the province codes as the base for the household identification code. Household identification codes will be assigned by the survey management team to all households randomly selected from the household listing for each sampling area. As an interviewer, you are responsible ensuring that each household questionnaire is labelled with its corresponding household identification code prior to initiating the interview.

II. INDIVIDUAL ID CODES

The questionnaire is laid out in landscape (horizontal) format. An ID code is assigned to each individual in the household in Section 1, depending on which row is used to record the presence of the individual in the household. **This same ID code should be used for that same individual in all subsequent sections.** Information on a particular individual within the household is to be recorded consistently using the same ID code in each module in which information on that person is collected. This is an extremely important instruction for you to follow in completing the questionnaire.

III. RESPONDENTS

Each section is clearly marked with the person or persons who are supposed to respond to the section at the top of the sheet, just under the module name.

Some modules (for example, Section 1: Household Roster) collect information on all individuals in the household. Others only collect information on individuals above a certain age (for example, Section 3 on education).

IV. QUESTIONNAIRE FORMAT

The household questionnaire sections are organised according to two basic formats.

Household-level Data

This format consists of the text area, the response categories and a block to record the response to each question. An example of this is found in Module 8: Housing and Tenure, where only one response is needed for information covering the entire household.

Individual-level Data

This format is used when there is information from multiple respondents in a single module. In this format, the questions are located in the columns and the responses are recorded in the rows. An example of this format is found in Module 2: Education, where the responses from different household members are recorded on individual rows for the same questions. **In these modules, you will ask all the questions in the section for one individual before moving on to the next individual**. This way, you will not miss skip patterns unique to individuals.

V. FONT TYPESTYLE

Pay close attention to the typestyles (fonts) used in the questionnaire. The table below lays out for you what you should do when you see a particular typestyle. The examples in the table below are in the typestyle noted.

Typestyle	**Meaning**	**Examples**
Lower-case font	• Questions that the interviewer is to read word-for-word to the respondent. • Question response codes that the interviewer will read to the respondent as a set of choices the respondent is to use in answering the question.	How many times has name repeated a grade in school? How often has [NAME] been extremely tired in the past 4 weeks? Often 01 Sometimes 02 Never 03

Upper-case font	• Instructions to the interviewer to guide in completing the questionnaire or in asking a particular question. • Question response codes that the interviewer will **not** read to the respondent, but which will be used to code the response provided by the respondent.	LENTER HIGHEST YEAR COMPLETED IN 'YEAR' AND EDUCATION MEASURE IN 'CODE'. Has your household been broken into in the last 12 months? YES 01 NO 02
Mixed lower- and upper-case font	• Questions that the interviewer reads word-for-word to the respondent, but that includes specific elements that the interviewer need to insert based on responses to earlier questions or other information of which the interviewer is aware. • Lower case refers to the question that needs to be asked. • Upper-case refers to the element that must be inserted.	What is [NAME]'s date of birth? Has [NAME] ever attended school? Do you or any other member in the household plan to use these savings for [OPTION] in the next 12 months?

To summarise, if the typestyle is in 'lower-case,' it is read to the respondent. If the typestyle is in 'UPPER-CASE,' it is **not** read to the respondent, but serves as an instruction or response code for the interviewer. Certain phrases in **bold** alert you to the key element of the question as you read it to your respondent.

VI. QUESTIONNAIRE ADMINISTRATION

No person except your field supervisor, provincial coordinator, or people from the survey management team should come with you when you interview. If a survey staff member does accompany you to an interview, you should always be sure to introduce the staff member to the respondent, making clear to the respondent the purpose of the presence of the staff member. In most cases, the staff will be present to monitor the quality of your own work and to support and assist you in effectively carrying out your assigned tasks. The supervisors are instructed not to interfere with your administration of the questionnaire to the survey household respondents, but will discuss any issues related to your administration of the questionnaire later with you in private.

If any other individuals are present when you begin your interviews, you must politely request they leave in order to respect the privacy of the respondent. If other persons, such as guests of the household, cannot leave at that time, you should schedule the interview for a later time or move to a more appropriate place, when or where greater privacy can be assured.

As indicated on the questionnaire, the individual sections (such as the SRQ20) should only be administered one-on-one, to maximise the privacy of the respondent, without other household members listening. You may find that other members of the household (husbands, parents (-in-law), or others) want to "help" the respondent. You should not allow this. Politely remind them that there is no right or wrong answer, and that this survey is intended to record the answers of the respondents, without any influence from other household members. You should tell them that you have explicit instructions not to administer the section if the respondent is not alone, and that you will have to schedule another interview at another time if you cannot be alone with the respondent.

As a general point, if you encounter a different or unusual case in a particular section or sections for a household and are not sure what to do, write all of the details down in the NOTES section as the end of the questionnaire. After you leave the household, check this manual for guidance. If the solution cannot be found in this manual, you should consult your field supervisor at the earliest opportunity.

VII. RECORDING RESPONSES

The responses received from the respondents should be written on the questionnaire in blue or black ink pen. Responses should NOT be written in pencil, since these can easily become smudged and difficult for the coders and data entry personnel to read and interpret. Responses should be written clearly in upper-case letters. For questions with categorical answers, response codes should be neatly recorded given the answer.

VIII. CORRECTING MISTAKES

If a mistake is made in the recording of a response (either during the interview or identified in the post-interview review), strike out the error by neatly marking it through with a line, and then write the correct response where it can be easily read. For example, if you mistakenly record someone's age as 12 and then realize that person is 15 years old, the corresponding box should appear as

~~*12*~~ *15*

When circling a response code, mark an X over the incorrectly circled response, and circle the correct response. If there is no space left in the box to write the correct answer, mark the crossed-out information with a symbol (star, cross etc.) and write the same symbol in an empty space at the edge of the page of the questionnaire and write the correct answer next to this.

IX. THE "OTHER" CATEGORY

In order to include all possible responses that may be provided, many questions include a response option of "other" to record responses that are not covered by any of the pre-coded responses. When you use this code, also write in a brief explanation of the category, preferably in the box where the response is recorded.

X. ABSENCE OF INFORMATION OR RESPONSE

All questions that are not answered **because of the skip pattern or general flow** of the questionnaire should be left **blank—**no information should be recorded.

However, there are cases where respondents will not answer an individual question, either because they do not know the answer or because they refuse to answer the question. If after asking the question a second time, you still cannot get a response, the following codes should be recorded:

Refuse to answer...-89
Do not know........ -90

However**, you should use these codes very rarely**. Your supervisor will warn you if he/she feels that you are unnecessarily or too frequently using these codes, as their excessive use may indicate a lack of effort on your part to collect the required information from the respondents.

XI. FLOWS AND SKIPS

The questionnaire is designed with a system of skips that allows you to follow the logical sequence of questions based on responses to questions already provided. If there are no additional instructions, you pass directly to the next question.

The arrow symbol "►" indicates that the interview should be continued with the question indicated. In the following example, if the respondent says "NO" you do not continue with question 3.3, but, rather, skip to 3.5. Questions 3.3and 3.4 are skipped because they are not relevant to individuals who have never attended school.

3.2
Has [NAME] ever attended school? YES 01 NO 02 ►3.5

It is essential that you follow the skip patterns very carefully and do not improvise any skips on your own. **If your supervisor finds any questions with no responses recorded in a way that is inconsistent with the skip patterns in the questionnaire, you will be sent back to the household to collect the missing information.** Failing to skip questions when you should, or skipping questions when you should not, is considered a serious error in data collection, and will not be taken lightly.

If you have any questions regarding skip patterns in the questionnaire, be sure to ask your supervisor about them. If you find certain skips confusing, other interviewers will also find them confusing. You can help the evaluation team by pointing these out, through your supervisor. If the supervisor in your team cannot answer your question to her (or his) and your satisfaction, she (or he) will relay questions back to the provincial coordinator and the Principal Investigator, who will consult with the global evaluation team to ensure that there are no errors in the questionnaire and that all the skip patterns are included as intended by the experts who designed the questionnaire.

9. CONFIDENTIALITY AGREEMENT

In order to protect the confidential information collected during the household questionnaire and biomarker data collection results, all members of the survey team, including interviewers, supervisors and data entry operators, must sign a confidentiality agreement with the local survey firm following training. At no point in time should any information collected during the survey be disclosed to parties outside the survey team.

All data collected in the field will be stripped of personal information, such as names, in order to protect the identity of respondents and maintain a high level of confidentiality between the research team and the respondents.

After introducing yourself to the household to be surveyed, the enumerator is responsible for ensuring that the informed consent form is discussed and signed by the willing participant. If the household participant is illiterate, you must read the form aloud and request a thumbprint as evidence of consent. If a household refuses to participate, you must thank them, record this on the front cover of the questionnaire and leave, making sure to inform your field supervisor of this.

The caregiver of the child in question must also sign separately allowing blood, stool and anthropometric measurement collection to be taken.

10. SECTION-SPECIFIC INSTRUCTIONS

This chapter addresses specific issues related to each section of the questionnaire. These notes should be your first reference if you encounter any problems in the field work. Please note that not all questions are discussed here. Most of the questions are designed to be self-evident and do not require additional discussion.

The interview begins with obtaining informed consent from the household. If the household does not want to participate, your visit is done, and you should meet with your supervisor and select another household from the list of replacements.

If the household agrees to be interviewed after you have read the informed consent statement to them, you should proceed to verify that information on the front page. This includes information about the location of the household and about the interview itself, including the identity of the interviewer who visited this household and when the interview was conducted.

Please remember the following general guidelines when completing this questionnaire:

- All sections in capital letters are meant as instructions for the fieldworker, and should not be read to the respondent.
- All sections in lower case must be read to the respondent. This can include possible categories/options provided as the only valid responses.
- When you find questions that include ...[NAME]..., or ...[OPTION]..., always insert the relevant name or option in this space.
- Always be aware of the time frames for certain questions. Make sure to highlight, if a question asks, for instance, what expenditures have been in the **last month**, or **last year**.
- For modules that require individual-level answers rather than household-level answers (modules 1 – 7), make sure to always move from left to right, answering each question for a single individual before starting at the beginning of the module for the next person.
- Always start with the head of the household as the first person on the list in Modules 1 -4, even if the respondent is not the head of the household.
- Always check who is required to respond to a specific module and try to make sure that this person is the one that provides answers.
- All questions should have an answer unless there is a specific skip pattern present. Supervisors and data capturers will check thoroughly to make sure that no answers have been left blank, so make sure to answer all questions unless you are instructed otherwise by a skip pattern. Remember to enter -89 if the respondent refuses to answer and -90 if the respondent does not know the answer.
- **Be very aware of ID codes**. It is a serious offence to miss out entering an individual ID code when it is requested. This applies especially to: Module 4 (Health) questions 4.10 and 4.11, Module 5 (credit and savings) questions 5.1.2 and 5.2.2, Module 6 (microenterprise) question 6.3, Module 7 (crime) question 7.6, all child development modules and the biometric data collection sheet.
- **Remember as the household fieldworker to enter the names and ID codes of every child under the age of 5 in the biometric data collection sheet before handing back to**

your supervisor. The supervisor will then give this sheet with the list of children under 5 to the biometric data collector for completion.

- Whenever you answer 'Other' as the response to a question, make sure to record what the actual response was next to the coded answer.
- Remember to fill in the front cover even if you are unable to contact the household. We still need this information!

COVERPAGE

Do not start the interview until you have obtained informed consent, as detailed above.

The HOUSEHOLD IDENTIFIER (top right corner) will have been filled in prior to the interview along with the household's location information (province code, municipal number and locality code). If this household needs to be replaced, or is replacing another household for any of the valid reasons for picking a new household from the 5% secondary sample, this should then be indicated. If the household is not replaced by another household, and is from the original list, enter '00' and move to question 8.

For "INTERVENTION", define the housing upgrade with reference to the standard housing project-linked subsidies that the Department of Human Settlements offers. If the household has received no subsidy and/or is not living in an RDP house, code "NONE". If the household has been provided with an RDP house on the very same site as their previous dwelling was located, code "*IN SITU*", indicating an on-site upgrading. Finally, where households have been required to move from their original location to a new one in order to obtain their allocated RDP house, code "RELOCATION". Also indicate the year and month in which the household actually **physically moved into their current house.** In cases where the household has been allocated an RDP house but has not moved into it yet, the answer here should be 'NONE'.

Note the question labelled: LP. This is a question about relocation and is only applicable in Limpopo. You will be provided with a diagram of Disteneng. If the respondent says that they relocated from Disteneng, you must show them the Map which has been broken up into sections A, B and C and ask them which area they used to stay in.

You are also responsible for completing all household information, including the Head of Household details and what language(s) were used for the interview and used in the home. The head of the household is the person that the household indicates to you is the designated head. The actual respondent may not be the head of the household, but answers to questions 10, 11 and 12 must be about the household head.

Remember the definition of the household and indicate how many household members there are, based on this definition. This may require some probing.

Note the date of your visit and any subsequent visits if the interview can't be completed in one sitting. If the household cannot be found after 4 visits, a replacement household should be chosen by your head supervisor. Note the result of the interview (14) at the very end, once you have completed the questionnaire, or determined that completion is not possible.

You will have a unique code linked to your name. Make sure to sign off the questionnaire and input your unique interviewer code before handing the completed questionnaire to your field supervisor for inspection.

MODULE 1: HOUSEHOLD ROSTER

You will find an identification flap, with questions *i*, *ii* and *iii* on it to record names and ages, so that you are able to refer to this list of household members throughout the interview and easily identify eligible children for relevant sections and biometric data collection. Note that the rows of the household member listing in *i* should line up with the rows to enter information in subsequent sections to facilitate recording that information quickly during the interview. **Make sure that all household members are listed in order from head of household, spouse, and children, then additional household members.** As indicated, the head of household is the person the other members generally regard as the head. When this person is not a resident of the household, it is necessary for the members to identify the de facto resident head of household, who is the person primarily responsible for making the decisions regarding the day-to-day operation of the household. When recording information, move from left to right, answering all questions for a single person and then beginning again for the next person. Once everybody in the household has been recorded you can move to module 2. Once you have completed the flap, **immediately turn the questionnaire over and re-enter the identification information on the space provided on the very back page**. This is extremely important and will act as a backup if the main identification flap gets removed from the household questionnaire.

1.1. Enter the code corresponding to how the person listed is related to the head of the household. Be particularly careful in doing this if the *respondent* is not the head of the household. **Make sure that you record the relationship of each person to the household head, not the relationship to the respondent**. For example, if the respondent is the wife of the head of the household and she says that Simon is her father, then Simon should be coded as '10' ('Parent-in-Law'), not as '09' ('Parent'), because Simon is a parent-in-law of the head of the household. Be very careful in obtaining this information correctly, since respondents tend to provide the relationship of the person to themselves, rather than to the head of the household.

1.3. Fill in each person's birth date. Use four digits for years (that is, put "1998", **not** "98"). Fill in each field (date, month, year) they know, and use "99" for fields they do not know. For instance, if someone knows that a person was born in February 1950, but does not know the day, and has no document with the date recorded, enter "99" for the day, "02" for the month, and "1950" for the year.

1.4. In addition to birth date, ask for the current age. For children under 5 years old, record the age in years and months, or just in months. For instance, if a child is one year and four months old, you can either record "1" in years and "4" in months, or leave years blank and record "16" in months. Either way is acceptable, so use the format you can record most easily based on how the respondent reports ages. Note that for persons who have passed their fifth birthday, only years of age need to be recorded.

1.6. Try to obtain cell phone numbers for as many people as possible in the household. Where a household member does not have their own cell phone, enter '00'. Where the cell phone is shared by multiple family members, you need only record the number for one family member and enter '00' for the others.

1.7 (skip pattern present) Make sure to distinguish between home and settlement here. Make sure to define what is indicated by the settlement if there is confusion. You are asking whether the person has remained within the informal (or formalised) settlement as defined by the locality code on the cover page for their whole life. Settlements in this study will include Bloemside or Grasslands (Free State), Disteneng or Pietersburg Extensions (Limpopo) or Tembisa, Tswelopele or Esellen Park (Gauteng). If the person was born in the settlement, you may skip the rest of the questions and move to the next person.

MODULE 2: EDUCATION

Only record information here for people aged 5 years and older. No children below the age of 5 should be recorded in this section. Make sure to keep individuals lined up in order as they were in module 1 and the identification flap, drawing a line through the rows for children under 5.

2.2 (skip pattern present)

2.3 Make sure to clarify whether they are reporting in grades or standards. Since some people may remember having completed Standard 8, while others completed Grade 10 (depending on when they went through the schooling system) you must capture both the year, "8" and the education code that is being reported, "02" for Standard or "01" if grade was reported. Similar coding must be completed for ABET, university or post-school certificates.
Also, clarify that the question asks for the highest grade **successfully completed**, not the highest grade attended, or years of schooling. For example, say a child repeated Grade 3 twice, and just finished Grade 4, but must repeat the Grade 4 year next year. The correct response to this question is CODE = "01" (Grade) and Year = "3". (**Not** "4" since this was not successfully completed, and **not** "5," even though this child has spent 5 years in school so far.) If the respondent answers "None," (if they are in Grade 1, say) then enter "00" for both grade and year.

2.4 (skip pattern present)

2.6 (skip pattern present) If answer is "NO" to being currently enrolled in school, skip forward to the last question (2.13). If the person in question is currently enrolled in any form of schooling at the moment, answer 'YES' and continue with the questions in order

2.7 – 2.9 Be aware of timeframe. Consider the past 7 days from, and including, the day of interview.

2.10 (skip pattern present) Read out all the response options to the respondent here. Make sure to skip the next question if the response is 'in this settlement'.

2.11 You may give up to 2 reasons for why the person in question attends school outside of the settlement in which he/she lives.

2.12 (skip pattern present) If it takes longer to travel one way rather than another, indicate the time it takes to go from home to school during the usual hours that the person would do this trip. Remember that we only want a one-way time, considering the usual method that the person uses to get to the school. If you are answer this question, do not continue with Q 2.13, but rather on move to the next person.

<u>2.13</u> There may be many reasons for why the person in question never attended, or stopped attending school, but it is the fieldworker's responsibility to find out what would have been the *main* reason for not attending.

Module 3: Economic Activity

Only record information here for people aged 5 years and older. No children below the age of 5 should be recorded in this section. Make sure to keep individuals lined up in order as they were in module 1 and the identification flap, leaving empty spaces for children under 5.

<u>3.1</u> Probe for the *major* activity that the individual participated in over the **last 7 days,** keeping in mind the timeframe specified. In the case where multiple activities were performed, make sure to record the defining activity, or activity that took up the most time for the individual.

<u>3.2</u> Work does not have to be defined as a formal job. This can include any activities that the individual has undertaken and been compensated for. This could include selling goods as an informal business, piece jobs etc. as well as more formal working arrangements.

<u>3.3</u> (skip pattern present)

<u>3.5</u> (skip pattern present) Read out all possible responses by inserting the options in the question at …[OPTION]. If the person is employed by government, skip the next question.

<u>3.6</u> This question is seeking to determine whether or not or not the person's work falls within the formal or informal economy. You can probe if it is still unclear. Generally, the informal sector consists of work that is neither taxed nor monitored/regulated by government and is not included in the Gross National Product. A makeshift shop selling sweets for instance is likely to be part of the informal economy, whereas a business that the person runs that is registered and has a tax number would fall under the formal economy, for instance.

<u>3.7</u> Take note of the timeframe (**last week)**. If the person is unsure, try to probe and find out how many days they worked, and if they worked weekends as well. You can calculate the amount if they can tell you the number of days worked and the average number of hours worked per day by multiplying. A standard work week for a full-time employee, for instance, usually consists of an 8 hour day from Monday to Friday = 40 hours (8 hours x 5 days). Do not include commuting time. Always be wary of obviously incorrect answers. For instance, it is highly unlikely that somebody worked for more than 100 hours in a week. Double-check your answer if you get a suspicious value.

<u>3.8</u>This question probes into any income-generation for each and every member of the household. Do not repeat amounts if the money was provided to more than one household member. Rather probe to find out who was the main recipient, and allocate the income to this person. Government grants must be recorded on the person who actually receives the grant, rather than the person who generates the grant. For instance, a foster child will result in the household receiving a foster child grant, but this money is not given to the child, but rather to the head of household or caregiver. In this case, the grant money should be recorded as the caregiver's. Try to answer this question as a natural flow of a conversation. As such, you do not have to stick to the specific wording for each option. Remember not to fill in answers for children under the age of 5. Fill in answers to the nearest Rand, and do not include any cents or decimal values. For example, write R1100 rather than R1100-00 or R1100,00 etc. Adding these extra 0's can be problematic during data entry.

3.9 Make sure to ask this question about the **household**. We are not just asking whether or not the household head, or respondent has these assets, but rather if anybody in the household owns an example of the asset.

3.10 Be aware of the timeframe of this question. We are asking about expenses in the **last month**. Also note that we are not asking what the household head or respondent spent, but what the **household as a whole** spent last month. Respondents will often be unable to give you an exact response to how much they spent on various categories such as food, transport etc. When a respondent says they do not know how much they spent, don't automatically assume this is the case. You will need to probe for answers in most cases. They may know how regularly they pay for transport – catch taxis every day to work at a cost of R20 and go to town once every weekend at a cost of R30. It is your responsibility to probe for these answers and help calculate what this would mean for monthly expenditures. In this case, if the person works full time, they will generally work about 20 days a month and go to town about 4 times a month. So total transport costs for the month would be R20 x 20 days (=R400) + R30 x 4 days (= 120). So the total would be about R520 a month. Also make sure to include any other person's transport expenditure in this total if they are part of the household. This can get quite tricky. Use your cell phone to help with calculations, or request for a calculator and/or support from your supervisor if you are uncomfortable with this.

3.11 Try to get the approximate average household income per month. If this amount seems to be much higher/lower than what was indicated in question 3.8 (income sources) and 3.10 (expenditures) you may probe and ask to clarify the discrepancy. Do not, however, simply add up all income in 3.8 and use this as your response. Try to get the direct response from the respondent. Also remember to write the answer without cents or decimals as in question 3.8.

MODULE 4: HEALTH

The respondent here should be the caregiver/mother of the household where possible.
Be aware of the timeframes in this section. We are generally asking for what health problems have occurred in the last 4 weeks. Make sure to make this timeframe clear with the respondent for each question

4.1 (skip pattern present) Take note of the timeframe (4 weeks) and the skip pattern. Make sure to enter 02 if the answer is 'NO' and do not leave this blank. This question must be answered for all household members by the time you finish the module.

4.2 If the person has suffered from multiple injuries and illnesses, record the most prominent problem over the past 4 weeks. This will be either in terms of intensity (the problem that was most serious) or duration. The main aim is to identify the illness or injury that has had the biggest impact on the person's life over the past 4 weeks. Become familiar with all of the options provided to increase speed when coding responses here. Do not go through the whole list of options with the respondent, but you should probe and prompt the respondent if they seem unsure. You can ask more generally if they have had flu/cold, an accident that has resulted in an injury, a major long-term health problem such as high blood pressure, cancer etc., but be careful not to lead them to an answer. The purpose of the probing is to jog their memory.

4.3 As with 4.2, find out about the second most prominent illness or injury over the past 4 weeks. If there has only been one illness (recorded in 4.2), then enter '00'.

4.4 – 4.9 Take note of the timeframes (4 weeks) indicated in these questions.

4.6 If the respondent cannot tell you the total, cost, ask for a breakdown of all costs and sum these. You can use the open space between the question and the response block to do this. You can also probe into how much medicine or hospital/clinic costs were.

4.10 – 4.11 These sections are asking for all incidents of diarrhoea and breathing/chest infections over the **past month**. If an individual has experienced multiple incidents, make sure to record each one on a new line. Be very careful to make sure that the ID code is the exact same ID code as that linked to the individual in question based on modules 1 -4 and the identification flap.

MODULE 5: LOANS, CREDIT AND SAVINGS

5.1.1 (skip pattern present) Loans can include any material objects that have monetary worth and which the lender is required to return or pay back. Thus, loans may not just refer to money, but in-kind transfers, such as borrowing a TV/couch with the expectation of returning it, or something of equal value. Make sure to fill this answer in for every household – ie. If the answer is 'NO', do not just skip the section, but make sure to enter 02 so it is clear that you have asked the question.

5.1.2 It is vital that you remember to fill this question in. Remember, the ID code of the individual must correspond exactly to the ID code assigned to the individual in the identification flap.

5.1.4. Probe to try and find out the monetary value of a loan if it was in kind. Do this by comparing how much you could sell it in a shop/market, or how much you would be willing to buy it for.

5.1.6 (skip pattern present) Loans generally require some form of collateral/guarantee. This question is asking what the lender would take from the borrower if the borrower was unable to repay the loan, to provide a guarantee the money would be repaid.

5.2.1 (skip pattern present) Make sure to fill this answer in for every household – ie. If the answer is 'NO', do not just skip the section, but make sure to enter 02 so it is clear that you have asked the question.

5.2.2 It is vital that you remember to fill this question in. Remember, the ID code of the individual must correspond exactly to the ID code assigned to the individual in the identification flap.

5.2.4 This is a sensitive question and you might find people are reluctant to give you an answer. You can indicate clearly to them that you only wish to ask if their savings lies within the ranges provided. This can give them more confidentiality.

MODULE 6: MICROENTERPRISE

6.1 (skip pattern present) Make sure to answer this question, even if the response is 'NO' (code 02). Remember, this doesn't have to be a formalised enterprise. It can refer to any incomegenerating activity that is self-created, from selling sweets to shoe repair, to running a shebeen etc.

6.2 If the option is unavailable, code "OTHER" and provide as succinct a description of the enterprise as possible. Record all of the microenterprises run by members of the household.

6.4. Make sure to discuss details of the microenterprise (6.5 – 6.10) with the owner or most knowledgeable person about the enterprise. If this person is not available try to arrange a time to meet him/her. If this is not possible, ask the main respondent/head of household to furnish details.

6.6. If the business is operated partially from home and partially elsewhere, still record "YES". The key word here is 'operated'. If the household only uses their home to store equipment for the business, the answer should be 'NO'.

6.8 Do not include the owner of the enterprise, and remember to stipulate the timeframe of the **last 4 weeks.** People, such as family members may not be directly compensated for their work, but we will define a person as being employed by the business as having worked (not necessarily for payment) for an average of 4 hours or more per day over the past 4 weeks.

6.9 Most businesses experience seasonal fluctuations in sales, especially if they are related to food products, and also when considering festive seasons. As such, you want to get an indication of the sales in an *average* month where possible. This could be done by looking at the total sales in a year and dividing by 12, if this information is available. This will also refer to **6.10**. In these 2 questions, we want to find out about **average sales** and **average costs** since this will give us a good indication of profits. However, be aware that neither question asks specifically for profits. We want total sales and total costs. For instance, a person selling sweets may sell R500 worth of sweets in a month, so 6.9 will be R500 (average sales). However, they also spent R200 to buy the sweets in the first place. This counts as total costs, so 6.10 would be R200 – total costs.

MODULE 7: CRIME AND VIOLENCE

7.1 - 7.4, 7.8 – 7.9 Pay close attention to the spatial definition in these questions. Questions 7.1 and 7.2 clearly refer to crime in the actual home that the household lives in, whereas 7.3, 7.4, 7.8 and 7.9 are specifically asking for the settlement as the spatial reference. Remember to define the settlement as the informal or formalised settlement, and see notes on question **1.7**

7.6 Make sure to remember the ID code of the person who was affected by the crime as it corresponds to the identification flap.

MODULE 8: HOUSING AND TENURE

8.1 If the household has been provided with a new house on the same plot, indicate the time they have lived in the new house. The question is asking about the actual structure in which they live and not the location. This will apply to all dwellings (RDP houses and shacks alike).

8.2-8.5. Remember the spatial reference of the settlement. Use notes on question **1.7** for more details on this.

8.6 (skip patterns present) Be very careful with the skip patterns here. If the household is renting, move to Q 8.10. If the household is not renting or owning the structure/land, you can skip to Q 8.12

8.7 If multiple owners are said to share the land and/or structure make sure to include all owners (up to a maximum of 3).

8.8 (skip pattern present) Request to see the documentation if possible

8.9 (skip pattern present)

8.12 (skip pattern present) This must identify people that rent an area on the plot where the respondent is the owner, or where the respondent is a tenant him/herself and sublets part of his/her space.

8.13 Include all people staying on the land that are not part of the household and pay rent to the household that is being interviewed.

8.15 (skip pattern present) Make sure that the respondent only answers 'YES' if it is an improvement they have financed or conducted themselves. This question does not apply to cases where the government has provided the housing subsidy or installed services. It only applies to where the household itself has made the investment in time or money.

8.17 – 8.18. If the respondent is unsure or reluctant to give an answer, probe by asking how much similar dwellings have been sold/rented for in the area and how good of an estimate that would be for their home. If the respondent says that they are not in a position to sell or rent (ie. They do not own the property or have community/legal rights to do so, enter '0').

MODULE 9: INFRASTRUCTURE AND SERVICE DELIVERY

9.1 If the respondent answers in hours, make sure to use the conversion 60 minutes = 1 hour and answer in minutes. If the service in question is located inside the house, enter '0'. If the respondent is unsure, try to probe by asking how long it takes to walk similar distances and where in the settlement the closest one might be located. Remember we want the **number of minutes it takes to walk** to the item of interest**.**

9.3 (skip pattern present)

9.5 If the household has multiple sources of water, make sure to record the source that is most commonly used.

9.6 Record the code corresponding to the response for each season. The household may be using a method that you know does not make water safer to drink. Do not use your own judgement, just record the response. Fill in the method that the household itself uses, not what may be done to the water before the household obtains it. Definitions of options are as follows:

- Boil refers to boiling or heating water with fuel
- Sedimentation follows when a household collects water and leaves it to stand while all impurities sink to the bottom (or rise to the top) after which the cleaner water is used

- Chemical refers to chlorine, iodine or another form of treatment using a known purifying chemical
- Filtering is when the household uses some form of equipment to filter water through to remove impurities before drinking.

9.8 (skip pattern present) Only answer ‘yes’ if the household has direct access to electricity in their dwelling or plot. The answer should also be ‘yes’ if the household has an electricity box, but it is not currently in use because they do not have credit to use it, or it is not currently in working order. The answer should be ‘no’ if they have to leave their house to access electricity and/or if they have an electricity connection but this has been permanently broken or disconnected. Note that you should skip to 9.12 if the dwelling/plot does not have electricity.

9.9 Answer must lie between 0 and 24 and represent a usual day. Ask what electricity availability is like *on average* if the respondent says that it varies from day to day. If they have an electricity connection but it is not working at all, then the answer should be ‘0’. This is not how many hours a day the household actually uses the electricity, but rather how many hours a day the household could use the electricity if they wanted to, without considering the cost of this electricity.

9.10 This is asking for the average number of blackouts (times when electricity is not available such as during load-shedding etc.) in a usual week. You are not required to know the length of the blackouts, but just how regularly electricity supply is interrupted.

9.12-9.13 If there are multiple sources of lighting and fuel for cooking, make sure to record only the most commonly used source.

MODULE 10: SOCIAL CAPITAL AND COMMUNITY PARTICIPATION

10.1 (skip pattern present) Find out whether or not the described group/activity is known to exist in the settlement, regardless of whether or not somebody participates. If the answer is ‘no’ move on to the next group/activity and do not ask questions 10.2 or 10.3 for the particular group/activity. So work from left to right (10.1 – 10.3), making use of skip patterns where necessary before moving to the next group/activity on the list.

10.2 (skip pattern present) Only ask this question if you have established the activity/group is active in the settlement. If nobody participates, enter ‘00’ and do not ask 10.3, but rather move on to the next group or activity. If multiple people participate, record only the person that participates most often. If two or more people participate equally, ask the respondent to choose one person.

10.3 You should only be asking this question for a group/activity that is present in the settlement and is attended by somebody from the household.

10.4 Take note of the timeframe of **3 years**. Even if only one member of the household has undertaken the described activity, the answer should be ‘yes’.

10.5 As with 10.4, even if only one person relies on neighbours for any of the options, the answer should be ‘yes’.

MODULE 11: SATISFACTION

11.1 Take note of the scale here, from 01 (dissatisfied) to 05 (satisfied). If the question is not applicable to the household (such as 'electricity charges' when the household does not have electricity) then you must enter 06 (not applicable). Thus, all sections must be filled in. The question is asking the respondent to choose between the five options ranging from dissatisfied to satisfied. As the interviewer, you should not make judgements or assumptions about their satisfaction levels, but rather make sure that you record only what the respondent answers.

11.2 – 11.3 Take not that 11.2 is asking about *local community leaders* while 11.3 is asking about the *municipality*.

MODULE 12: RETROSPECTIVE INFORMATION

12.1. **(skip pattern present)** If the household has never lived in another *dwelling*, then answer 'no'. Take note that this is not asking about another plot/location, but specifically a different dwelling. In the case where the household has stayed on the plot, originally in a shack, and then provided with an *in situ* upgrading, this will count as having moved into a new dwelling, and the answer to this question should be 'yes'. Where the answer is 'yes', the questions 12.2 – 12.6 will ask about the conditions of the dwelling that was lived in immediately prior to the current dwelling that the household lives.

12.2 We want to know how long the household resided in the dwelling that was lived in immediately prior to the current dwelling. Give your answer to the nearest month where possible. Note that this is asking for the amount of time lived in the dwelling, not the date in which the respondent lived there.

12.4 Be aware of the timeframe of **12 months**. If the respondent is having difficulty answering this, consider the date in which the household moved into the new dwelling, subtract one year and ask for an answer relating to the time interval. For instance, if they moved into the new house on April 4 2008. Ask, between April 4 2007 and April 4 2008, was your house ever robbed? Try to consider other major events that happened during this time (local elections, major sporting events etc.) that may place more context to the time period. If they lived in the previous dwelling for less than 12 months, they should answer 'yes' if they were ever robbed while they were staying in this dwelling, and 'no' otherwise.

12.4.1 Any activity that generates income can be considered. Generally this will take the form of a microenterprise such as a shoe repair or spaza shop, but could include anything from selling sweets in the backyard to running a construction company from home, for instance. Remember, the main questions we want answered are: Did the household conduct an activity that generated income in any way, and was this conducted from home?

12.5 **(skip pattern present)** Find out about the household size in the previous dwelling. This is not necessarily the number of people who lived there, but the number of people that were part of the household. Beware of the difference in definition. If the answer to this is *different* to the number of people included in the identification flap (or Q13 from the cover sheet), continue with Q 12.6. Otherwise move straight to Q 12.7.

12.6 Consider the answer given to Q 13 from the cover page on how many people are members of the household. If there is no difference, skip to the next question. If this is different from the number stated in 12.5, we want to know why this is different. Probe to find out the reasons for this change in household size and record these. All options should be recorded as 'yes' or 'no'. There may be multiple reasons for the change in household size and we would like to know all of these. No option here should be left blank unless the entire question has been skipped. Answer 'yes' or 'no' to every question.

12.7 - 12.8 **(skip pattern present)** Has the family applied to the Department of Human Settlements for a housing subsidy through the standard procedure and if so, when?

12.9 – 12.15 This set of questions is asking for the household characteristics 5 years ago, in 2005. It is likely that many respondents will be unsure of what their situation was 5 years ago, so it is up to you to probe the respondent, and help jog their memory by referring to other major events that may have happened in the settlement, surrounding area, country or world that can help place context to the time period. Once you feel as though they have a good feel for the time period in question, proceed with the questions.

RECONTACT

R.3. Make sure to obtain details of the most reliable sources of people that are not part of the household. Other family members and people that can be easily contacted (ie have a cell phone number and a physical address) will be best.

ENUMERATOR OBSERVATIONS

Make sure to answer all these questions by direct observation of your surroundings. You can do this as you prepare to pack up and leave. If something is unclear (eg. What material is used for the walls, or how many rooms are used solely for sleeping) you can ask the respondent to clarify.

Once you have finished this questionnaire, go back to the start of the questionnaire and page through to make sure you have not left anything out. Then fill in Q14 from the front cover on 'Result of the Interview'. Finally, with great care, fill in the names and ID codes of all children aged 6 – 60 months in the Biometric Data Collection Sheet and hand both the household questionnaire and biometric sheet to your supervisor.

BIOMETRIC DATA COLLECTOR:

The biometric data collector must first receive the biometric data collection sheet from the supervisor. Make sure that the names and ID codes of all the children are filled in so that it is easy to identify these children when you go to the household.
The biometric data collector is responsible for collecting anthropometry (height, weight and head circumference) measurements, anaemia blood test results and stool samples (only in Limpopo) as well as information on child development and caregiver depression/anxiety from 3 different modules: (1) Child motor and language development, (2) Profile of social and emotional development (PSED) and (3) SRQ 20 (caregiver anxiety/stress). **It is critical that the data collector considers the household and individual ID codes with great care.** Children under the age of 5 will have been identified by the household data collector. It is the responsibility of the biometric data collector (with the support of the supervisor) to ensure that the household ID code and individual ID codes used in the biometric data collection are exactly the same as those used in the household questionnaire. **The presence of incorrect or missing ID codes will be considered a serious offence.**

The biometric data collector will begin by identifying the mother/caregiver and the child in question (possibly more than one child in some households, and possibly different caregivers). He/she will conduct the anthropometry measurements and anaemia blood test on the child and request for a stool sample to be provided for collection the following morning if not readily available (in Limpopo only). Once the measurements have been taken, the data collector will continue with the child development questionnaires (motor/language development and PSED) before finishing the interview with the SRQ 20.

BIOMETRIC DATA COLLECTION SHEET

- When collecting biometric data, make sure to record all of the information in the biometric data collection sheet.
- Make sure to fill in the front cover before doing anything else, ensuring that the household ID number in the top right corner is correct.
- Once the cover sheet is completed check that the children whose names you have recorded from the household identification flap (those aged 6 months to 5 years) are available and each has a unique ID number filled in that corresponds exactly to the household identification flap.
- Fill in the child's age in months, and not years. Remember 1 year = 12 months. So, if a child is 3 years and 2 months old, this will be 3 x 12 (months) + 2 = 38. Use empty space to do your calculations and make sure to use your cell phone or calculator to help.
- After your reading for Anaemia on the Hemocue machine, fill in this result, or give a reason for why this information was not collected.
- In Limpopo, enter the time and date of when the stool was collected **by the mother/caregiver** (ie when the stool was passed, not when you collected it. Leave this question blank if you are not required to collect a stool sample.
- Make sure to take 2 measurements of height, weight and head circumference of the child. For the height you must indicate whether you measured the child lying down, or standing up.
- See notes in appendix on how to make sure that you collect the information correctly. You will also be provided with a laminated page of instructions for quick reference.

CHILD DEVELOPMENT

CHILD MOTOR AND LANGUAGE DEVELOPMENT

Make sure that the household, caregiver and child ID codes have been entered (based on the ID code allocated in the identification flap of the household questionnaire). It is imperative that you are consistent with these codes.

Only record information if the child is between 6 and 36 months old for motor development and between 6 and 48 months for language development. The first 29 questions all refer to motor development. When requested in the question, make sure to get the child to perform the activity in question to provide evidence for the information that the mother/caregiver provides.

To make sure that you do not ask unnecessary questions (can your child pull to sit, when he/she is already walking), take careful note of the instructions at the beginning of each section. These will tell you which questions to ask and which questions you can fill out without actually asking the mother/caregiver.

PROFILE OF SOCIAL AND EMOTIONAL DEVELOPMENT

Make sure that the household, caregiver and child ID codes have been entered (based on the ID code allocated in the identification flap of the household questionnaire). It is imperative that you are consistent with these codes. Complete the questionnaire for the identified child aged between 6 and 60 months in the household by asking the mother/caregiver to elaborate on behaviours of the child. Record all relevant responses, providing appropriate prompts to obtain enough information to provide a code of 0, 1 or 2. Remember, your prompts should be finding out (1) What is the nature of the problem, (2) How regular is it and (3) How disruptive is this behaviour to the family? Only try to code the answer once you have a good understanding of all three of these concerns for each question.

Make sure to always fill in the mother/caregiver's responses and probe until you are satisfied with being able to provide an accurate code. If there are multiple children to assess, use one questionnaire per child.

SELF-REPORTING QUESTIONNAIRE 20

Take careful note of the required respondent. Only ask the legitimate mother/caregiver/guardian of the youngest child in the household (older than 6 months). Make sure to allow privacy due to the sensitive nature of the questions in this module. This section must be handled with care and has been left as the last section because of the sensitivity of the questions. Make the mother/caregiver feel as comfortable as possible. Do not cast any of your own judgements based on the answers you receive. Your job is to record what the mother/caregiver says as accurately as possible while maintaining confidentiality. Make sure to thank the respondent for their time and help with the study at the end of the module and reiterate that the responses will be kept confidential before you leave the household.

11.APPENDIX 1: ANTHROPOMETRY GUIDELINES

Take note of the following:

- The main goal is ACCURACY
- Equipment must be checked regularly to make sure scales are recharged(check every night, in preparation for the following day)
- Only tared scales will be used for this project
- For children who cannot stand, use tared weighing
- Look for flat, hard and even surfaces for taking both weight and length
- All excess clothing and shoes should be taken off including wet nappies
- The child/caregiver must be still when measurements are being taken
- Request caregiver for assistance where necessary
- Refer to the attached STEP by STEP guide for taking length, height and weight

- Take two readings (for each reading, take the weight; height and head circumference and then go back and take them again in that order)
- Always have assistance with the recording form and pen ready
- The scale should be calibrated to zero after each weight measurement
- The tape for taking head circumference should be prepared beforehand and placed in the exact position it will be used

TAKING HEAD CIRCUMFERENCE

- Measure the greatest circumference
- Place tape firmly round the frontal bones just above the eyes, passing it round the head at the same level on each side
- Lay it over the maximum point at the back
- Measurements should be made to the nearest 0.1 cm

STEP BY STEP GUIDE FOR TAKING MEASUREMENTS IN CHILDREN LESS THAN 2 YEARS

1. Measuring Weight

- To turn on the scale, press the ON/OFF button. When the number 0.0 appears, the scale is ready
- Check to see that the mother has removed her shoes and is lightly dressed.Someone else should hold the naked baby wrapped in a blanket
- Ask the mother to stand in the middle of the scale, feet slightly apart, andremain still. The mother’s clothing must not cover the display panel. Remind her to stay on the scale even after her weight appears, until the baby has been weighed in her arms
- With the mother still on the scale and her weight displayed, tare the scale. The scale is tared when it displays the number 0.0, with the mother still on
- Gently hand the naked baby to the mother and ask her to remain still
- The baby’s weight will appear on the display. Record this weight to the nearest 0.1kg
- Be careful to read the numbers in the correct order (as though you were viewing while standing on the scale rather than upside-down)
- Move on to take the length

2. Measuring Length

- Make use of a Baby Mat. If the child less than 2 years cannot lie down on the mat, use the stadiometer and indicate on the form
- Crown of head touching head board, Child must face up
- Shoulder and buttocks touching back board
- Long axis of body in line with center of back board, Heels against footboard
- Record to the nearest 0.1 cm
- Move on to take the head circumference

- Once the first reading of the head circumference is taken, go back to the scale to take the second reading of the weight, then the length and the head circumference

STEP BY STEP GUIDE FOR TAKING MEASUREMENTS IN
CHILDREN 2 YEARS AND OLDER

1. Measuring Weight

- Zero the scale by pressing zero on the scale
- Check to see that the child has removed her shoes and excess clothing
- Ask the child to stand in the middle of the scale, feet slightly apart, face forward and remain still
- The child's weight will appear on the display. Record this weight to the nearest 0.1kg
- If the child cannot stand still, use tared weighing
- Be careful to read the numbers in the correct order (as though you were viewing while standing on the scale rather than upside-down)
- Move on to take the height

2. Measuring Height

- Use the stadiometer on attached to the scale
- Head board flat against wall and resting on the crown of head. Adjust accordingly according to height
- Child must look directly forward – not up
- Head, shoulders and buttocks against wall
- Shoulders relaxed, arms at side
- Feet bare, flat on floor, heels together against the wall
- Take the reading directly below the head board (There is an arrow that indicates the reading)
- Record to the nearest 0.1cm
- If a child aged 2 years or older cannot stand, use the bay mat and indicate on the form
- Move on to take the head circumference
- Once the first reading of the head circumference is taken, go back to the scale to take the second reading of the weight, then the height and the head circumference.

12. APPENDIX 2: SUPERVISION ROLES

Field Supervisor:

1. Responsible for 3 – 4 fieldworkers and 1 biometric specialist

2. Check fieldworker/biometric specialist packs and equipment are in order. Report back any problems with equipment to Provincial coordinator and record this in a supervisor log including which households may have been affected by faulty equipment.
3. Use sampling list provided by the provincial coordinator to allocate households to each fieldworker and ensure that everybody has a clear understanding of which households are to be visited each day.
4. Provide on-the-ground support for any problems that may arise – report all problems to the Provincial coordinator.
5. Visit a randomly selected number of households to monitor the interviews conducted by fieldworkers, especially during the first 5 – 10 questionnaires administered by each fieldworker. Do not interfere with the interview, but give the fieldworker feedback afterwards in order to correct mistakes. If these problems are not rectified and the fieldworker makes repeated errors, report this to the Provincial coordinator.
6. Conduct random spot checks of completed households to verify that (A) The household was indeed visited by the fieldworker and (B) Questions were completed accurately. The intention is not to go over the entire questionnaire, but rather check up on a few key questions to make sure everything is in order. For greatest efficiency in monitoring, a random sample of 10% of households completed by the fieldworkers in your team should be checked, in which a random sample of 10% of questions in the questionnaire should be checked. The list of households and questions to be asked will be provided by the Provincial coordinator. All discrepancies should be brought up directly with the fieldworker and if not resolved immediately should be taken to the Provincial coordinator. Gross discrepancies should result in a warning to the fieldworker and possible disciplinary action.
7. Go over completed questionnaires at the end of each day. If satisfied with the quality of the work, sign the questionnaire off and include your supervisor code at the bottom of the front cover.
8. Deliver all completed and signed questionnaires to the Provincial Coordinator at the end of each day.

Data Entry Supervisor:

1. Allocate questionnaires to data capturers
2. Coordinate equipment (laptop use, scanners etc.)
3. Ensure all confidentiality measures as stipulated in the research protocol are implemented. Make sure storage of original questionnaires allows for confidentiality but that these questionnaires can easily be traced and collected for inspection by the Provincial coordinator.
4. Monitor performance of data capturers by conducting random checks and comparing original questionnaires with data that have been entered.
5. Return all problematic questionnaires (ie. Missing answers etc.) to the Provincial Coordinator, identifying all areas that need to be fixed before data capturing can be completed. Repeat offenders must be identified and a log of problems encountered and fieldworkers responsible should be kept to be provided to the Provincial coordinator.
6. Highlight and fix any problems occurring on the data entry template.

7. Send bi-weekly updates to selected Vari, Human Settlements and World Bank representatives including a brief report on any problems faced and the most recent dataset collected.

Provincial coordinator:

1. Act as point of reference for World Bank, Human Settlements, Field Supervisors, Data Entry Supervisor and local officials/councillors.
2. Preparation of all logistics in the field: oversee provincial training, identify Field Supervisors, organise transport, food, accommodation etc. where necessary.
3. Prepare fieldworker packs, check equipment and distribute to Field Supervisors
4. Use maps and other resources to clearly demarcate study areas for which each Field Supervisor will be in charge of and prepare sampling lists for each Field Supervisor.
5. Develop a list with associated codes for each fieldworker, biometric specialist and data entry operator.
6. Conduct random checks and call backs on 10% of the households in which Field Supervisors have conducted checks. Also, conduct random checks of questionnaires to ensure reliability.
7. Produce bi-weekly reports to Vari, Human Settlements and World Bank, highlighting achievements, obstacles and a comprehensive overview of how many questionnaires have been completed and in which areas this has been done, an indication of the non-response rate and a breakdown of reasons for non-response by percentage.