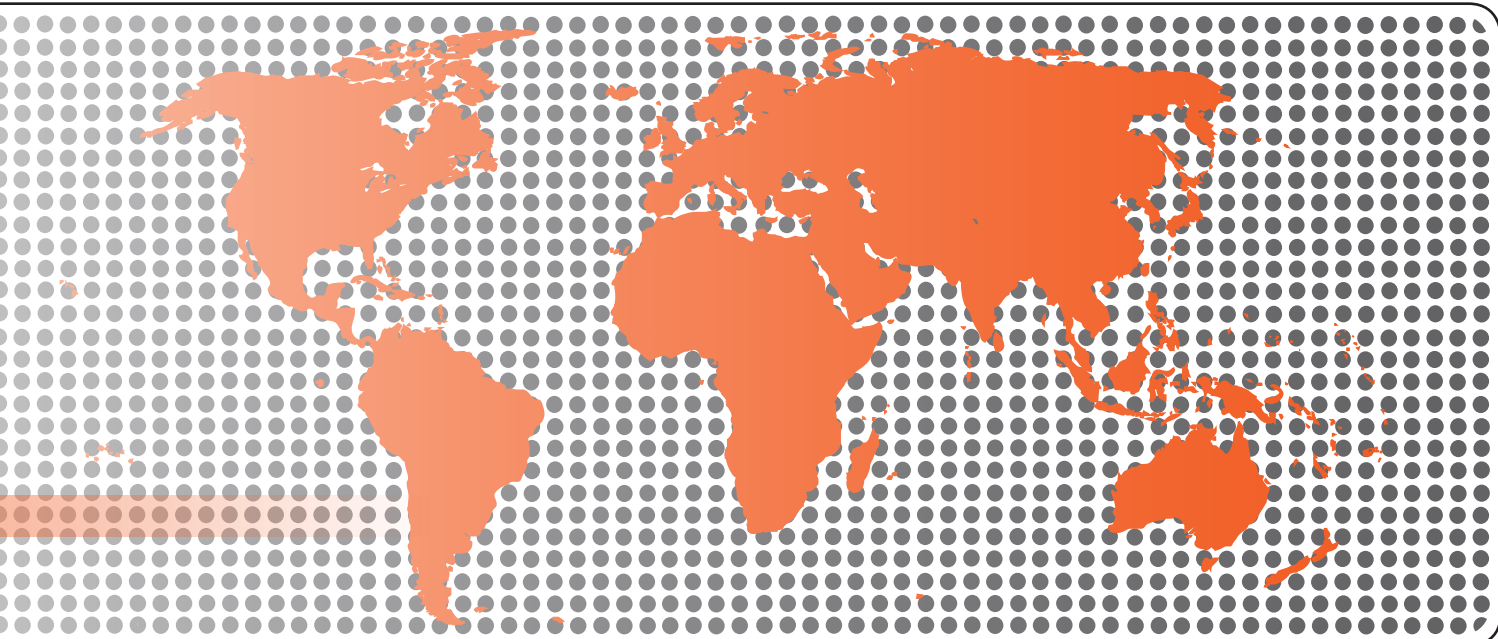


GTSS Global Adult Tobacco Survey (GATS)



Field Interviewer Manual



Ministry of Health



Kenya National Bureau of Statistics

Kenya 2014 Global Adult Tobacco Survey (GATS)

Field Interviewer Manual

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1. Introduction

Tobacco use is a major preventable cause of premature death and disease worldwide. Approximately 5.4 million people die each year due to tobacco-related illnesses – a figure expected to increase to more than 8 million a year by 2030. If current trends continue, tobacco use may kill a billion people by the end of this century. It is estimated that more than three quarters of these deaths will be in low- and middle-income countries¹. An efficient and systematic surveillance mechanism is essential to monitor and manage the epidemic.

The **Global Adult Tobacco Survey** (GATS), a component of Global Tobacco Surveillance System (GTSS), is a global standard for systematically monitoring adult tobacco use and tracking key tobacco control indicators. GATS is a nationally representative household survey of adults 15 years of age or older using a standard core questionnaire, sample design, and data collection and management procedures that were reviewed and approved by international experts. GATS is intended to enhance the capacity of countries to design, implement and evaluate tobacco control interventions.

In order to maximize the efficiency of the data collected from GATS, a series of manuals has been created. These manuals are designed to provide countries with standard requirements as well as several recommendations on the design and implementation of the survey in every step of the GATS process. They are also designed to offer guidance on how a particular country might adjust features of GATS protocol in order to maximize the utility of the data within the country. In order to maintain consistency and comparability across countries, following the standard protocol is strongly encouraged.

GATS manuals provide systematic guidance on the design and implementation of the survey.

1.1 Overview of the Global Adult Tobacco Survey

GATS is designed to produce national and sub-national estimates among adults across countries. The target population includes all non-institutionalized men and women 15 years of age or older who consider the country to be their usual place of residence. All members of the target population will be sampled from the household that is their usual place of residence.

GATS uses a geographically clustered multistage sampling methodology to identify the specific households that Field Interviewers will contact. First, a country is divided into Primary Sampling Units, segments within these Primary Sampling Units, and households within the segments. Then, a random sample of households is selected to participate in GATS.

The GATS interview is composed of two parts: *Household Questionnaire* and *Individual Questionnaire*. These questionnaires are administered using an electronic data collection device.

The GATS interview consists of two parts: the *Household Questionnaire* and the *Individual Questionnaire*. The *Household Questionnaire* (household screening) and the *Individual Questionnaire* (individual interview) will be conducted using an electronic data collection device.

¹ Mathers, C.D., and Loncar D. Projections of Global Mortality and Burden of Disease from 2002 to 2030. *PLoS Medicine*, 2006, 3(11):e442.

At each household in the sample, Field Interviewers will administer the *Household Questionnaire* to one adult who resides in the household. The purposes of the *Household Questionnaire* are to determine if the selected household meets GATS eligibility requirements and to make a list, or roster, of all eligible members of the household. Once a roster of eligible residents of the household is completed, one individual will be randomly selected to complete the *Individual Questionnaire*. The *Individual Questionnaire* asks questions about background characteristics; tobacco smoking; smokeless tobacco; cessation; secondhand smoke; economics; media; and knowledge, attitudes, and perceptions about tobacco.

1.2 Use of this Manual

This manual describes the responsibilities and tasks that Field Interviewers are expected to follow when conducting the Kenya 2014 GATS. This chapter provides background information on GATS. Next, the manual provides guidance on how to locate, contact, and screen selected households; how to obtain participation; how to administer the questionnaire; and how to ensure that high-quality data are collected. The last few chapters of the manual describe general administrative and reporting protocols that Field Interviewers are typically expected to follow, as well as protocols for keeping equipment and data secure. Adherence to prescribed procedures and duties is extremely important to the success of this survey.

1.3 Organization Conducting GATS in Kenya

The Kenya National Bureau of Statistics (KNBS) is the implementing agency of the Kenya 2014 GATS. KNBS is the principal agency of the government for collecting, analyzing and disseminating statistical data in Kenya. The Bureau is also the custodian of official statistical information, establish standards and also promote the use of best practices and methods in the production and dissemination of statistical information across the National Statistical System (NSS). The Bureau also maintains a database of all national surveys including National Population and Housing Censuses.

The Bureau creates and maintains a National Sampling Survey and Evaluation Programme (NASSEP) household master sampling frame, which provides the framework for designing household surveys to generate different forms of household based data. It has an elaborate infrastructure for data collection, which includes Statistics Offices in all the 47 Counties with trained personnel.

1.4 Definition of Key Terms

(i) Household

A household is defined as a person or a group of persons generally bound by ties of kinship) who normally reside together in the same compound under one roof or several roofs, are answerable to the same head and have the same cooking arrangement..

There are three important ways of identifying a household.

- a) Do the persons reside in the same compound?(i.e. the persons in the household reside under same roof or compound)
- b) Are they answerable to the same head? (i.e. persons in a household are answerable to the same head)
- c) Do they have same cooking arrangement?

If the answer to each of the above criteria is “YES”, then you have adequately identified a household. If the answer to one or more criteria is “NO”, then there are more than one household. Please note that domestic servants, relatives and other workers living and eating in the household are to be included as household members.

One should make a distinction between family and a household. The first reflects social relationships, blood decent, and marriage. The second is used in this survey to identify an economic unit. You must be conscious and use the criteria provided on household membership to determine which individuals make a particular household. In the case of polygamous unions and extended family systems, household members are distributed over two or more dwellings. If these dwelling units are in the same compound or nearby (but necessarily within the same EA) 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.

(ii) Household Head

A household head is a usual resident member of the household who is the key decision maker and whose authority is acknowledged by all the members of the household.

(iii) Usual Member of Household

This refers to a person who spends most of his/her time in the household. That is, within one year, the person must have spent over six months in the household.

(iv) Structure

A structure is a free – standing building that can have one or more rooms in which people live. It may be a block of flats, a house, or thatched hut.

(v) Dwelling Unit

Dwelling units are structures where people live. Within a structure, there may be one or more dwellings (or housing) units. A dwelling unit is a room or group of rooms occupied by one or more households. Note that within a dwelling unit, there may be one or more households.

(vi) Enumeration Area

An enumeration area (EA) is the smallest geographical unit created during cartographic mapping that precedes a Population and Housing Census.

(vii) Cluster

A cluster is the smallest geographical statistical unit, which is either an EA, part of an EA or a combination of EAs which has been selected to form a sampling frame for a particular survey. A cluster has the latest updated details pertaining to structures and households. A frame consists of a number of clusters. The frame to be used for the Kenya 2014 GATS is the fifth National Sample Survey and Evaluation Programme (NASSEP V).

(viii) Respondent

It is important for the Research Assistant to know who he/she is supposed to administer the questionnaire that will be used for the survey. The person who answers the survey questions listed in the questionnaire is a RESPONDENT.

(ix) Callbacks

It is important that you attempt to complete interviewing your respondent during your first visit to the household. However, you may at times need to make further visits, especially if respondent is absent or busy such that you cannot conduct the interview during that visit. In that case you need to make an appointment for a suitable time to interview the respondent. This appointment is called callback. You should never try to compel the respondent to attend to you at a time that would obviously inconvenience him/her. Try to be punctual for future appointments or callbacks in order not to inconvenience the respondents.

(x) Language of Interview

The questionnaire for GATS has been translated into only Kiswahili. The interviewer will be required to interview the respondent in the language in which he/she is most comfortable in. If the respondent can only speak a language you do not understand, then you must raise the issue with your supervisor.

2. Your Job as a Field Interviewer

2.1 Introduction

As a member of the GATS team, you, the Field Interviewer, play an extremely important role in the overall success of this survey. You are the connection to the sample members, who will provide valuable information on adult tobacco use in Kenya. You are the person who will develop rapport with sample members, assure them that their participation is vital, make them feel important, and obtain their full cooperation. This chapter discusses several issues related to the successful completion of interviews.

The best Field Interviewers are efficient and cost-effective without sacrificing response rates or high-quality data.

Many factors make a GATS Field Interviewer successful. The best Field Interviewers are efficient and cost-effective without sacrificing response rates or high-quality data. The key is to combine your knowledge of GATS protocols and procedures with courtesy, tact, polite assertiveness, and careful listening. Some general guidelines are as follows:

- Follow all procedures and instructions carefully.
- Know the survey.
- Be convinced of the importance of the survey.
- Listen and reply to respondents' needs and concerns.
- Protect the confidentiality of all respondent information, including all identifiable information (name and location), as well as all household screening and individual interview responses.
- Maintain open communication with your Field Supervisor.

Other skills crucial to success are timeliness, organization, attention to detail, and persuasiveness. This chapter outlines these and other Field Interviewer responsibilities and shows, in general, how the above factors come together for a successful interviewing experience.

2.2 Your Role as a Professional Field Interviewer

As a professional Field Interviewer, you are expected to be knowledgeable about the survey, including its purpose, how people are selected, and the interview process. You are also expected to be able to communicate this information effectively to respondents.

As a professional Field Interviewer, you must always maintain the highest ethical standards (see **Section 2.3**). You must collect data with objectivity and treat all of the information you observe or gather with complete confidentiality. Furthermore, you must follow all questionnaire administration procedures. By doing so, you ensure that a respondent's confidentiality is preserved and that you have obtained high-quality data, that is, a respondent's truthful responses.

2.3 Professional Ethics and Respondents' Rights

Ethics can be broadly defined as a set of moral values or principles of conduct governing an individual or group. As a GATS Field Interviewer, you are expected to show integrity, honesty, and responsibility in all aspects of your work. All GATS Field Interviewers are expected to protect the rights of survey respondents. These rights include the following:

- The *right of informed consent*, which refers to the requirement that respondents be given complete and accurate information so that they can make an informed decision about their participation in the survey.
- The *right to refuse*, which refers to an individual's right to decline to participate in the survey or to refuse to answer individual questions once an interview has begun.
- The *right to accurate representation*, which requires honesty in dealing with respondents and answering their questions about the survey. For example, you cannot tell the respondent that an interview will take only a few minutes if you know it will last considerably longer.

All staff involved in the collection, processing, and analysis of GATS survey data must be continually aware of the important responsibility to safeguard the rights of survey participants. Because Field Interviewers are in direct contact with these respondents, you must demonstrate high ethical standards in all of your contacts related to this survey.

2.4 Importance of Confidentiality

Some of the data collected during the GATS interview may be considered personal, such as how old respondents were when they first started smoking or what methods respondents have tried to stop smoking. Be aware of the sensitivity issue and of the need to treat any information you learn about respondents as confidential, whether you receive the information directly from a response or through casual observations during your visit.

All GATS project staff have a responsibility to maintain the integrity and confidentiality of the data collected.

Respondents can be assured that all identifying data, such as their name and location, will never be made available to anyone outside the GATS project team. All answers will be used for analysis and cannot be used for any other purpose. Furthermore, respondents' names and locations will never be associated with their interview responses, and all respondents' answers will be combined with those of other participants.

Data collected through GATS are confidential. It is your responsibility as a professional Field Interviewer to maintain the integrity and confidentiality of the data entrusted to you. As a GATS Field Interviewer, you will be asked to sign a Statement of Confidentiality (shown in **Exhibit 2-1**). By signing, you enter into a binding agreement stating that you will keep confidential all data you collect. It also certifies that you will carry out all survey procedures precisely as they are presented in this manual and at your training.

All GATS project staff share the commitment to protect the confidentiality of the respondents and must follow these guidelines:

- Never discuss any aspect of a particular respondent with anyone other than project staff. Also, discussions among project staff should take place only when necessary for the accurate and timely completion of work. If you need advice or support regarding a respondent, speak with your Field Supervisor.
- Do not screen or interview someone you know personally.
- Do not reveal to others why you need to visit a certain person or a particular home. If you are having trouble locating a certain house, you may ask for directions to the specific location. If asked about the nature of your visit, say that you are contacting the residents about participation in an important survey, but do not mention the specific nature or name of the survey.
- Never give survey-specific information to unauthorized persons, either in writing, by phone, or in person.
- Keep all documents safe and out of view. This guideline means that materials such as household listings, Assignment Control Forms, and Consent Forms containing respondent names, locations, or other identifiable information must be kept in a safe and secure location.
- Keep all project-related materials and equipment in a secure location at all times.

Procedures for protecting equipment and data are detailed in **Chapter 12**.

2.5 Performance Expectations

The data collection effort is vital to the success of any survey. Data collection procedures are standardized to maximize the quality of the data. We are depending on you to follow the procedures described in this manual.

Exhibit 2-1. Example GATS Statement of Confidentiality

I, _____ (print name), acting in the capacity of a Field Interviewer for the Global Adult Tobacco Survey (GATS) implemented by Kenya National Bureau of Statistics(KNBS) and the Ministry of Health (MOH), agree to work on GATS in accordance with the guidelines and restrictions specified below. I understand that compliance with the terms of this agreement is a condition of my employment agreement with the KNBS and that failure to comply with these terms may result in termination of the employment agreement between me and the Bureau.

- a. I agree to treat as confidential all household-specific information obtained while working on this survey and related matters. I further agree that this covenant of confidentiality shall survive the termination of this agreement.
- b. To fulfill confidentiality obligations, I will:
 1. Discuss confidential survey information only with authorized GATS staff.
 2. Store equipment and confidential survey information as specified by survey protocols.
 3. Safeguard equipment, combinations, keys, and rooms that secure confidential survey information.
 4. Safeguard equipment and confidential survey information when in actual use.
 5. Immediately report any alleged violations of the security procedures to my Field Supervisor.
 6. Not photocopy or record by any other means any confidential survey information unless authorized by survey leaders or my Field Supervisor.
 7. Not in any way compromise the confidentiality of survey participants.
 8. Not allow access to any confidential survey information to unauthorized persons.
 9. Report any lost or misplaced equipment and/or confidential survey information to my Field Supervisor immediately.

FIELD INTERVIEWER SIGNATURE

_____/_____/_____
DATE

Performance expectations for Field Interviewers encompass much more than conducting interviews. For example, your Field Supervisor will expect you to do the following:

- Complete a mutually agreed-upon number of household screenings and individual interviews in a given week. These numbers will depend on the number of households in your assignment. You and your Field Supervisor will work together to determine realistic goals.
- Act as a professional Field Interviewer at all times. You are expected to follow all survey procedures. Doing so will ensure the data you collect are of the highest quality. By providing high-quality data to the analysts, you and the analysis team will know that the conclusions drawn from the data are accurate.
- Be an efficient Field Interviewer by carefully planning your activities. Be prepared, have the necessary materials, and be organized. If you are thoroughly familiar with the survey and procedures, you can complete assignment activities quickly without sacrificing accuracy.
- Be available to work as needed to complete your specific assignments.
- Be available to talk with your Field Supervisor at your regularly scheduled meetings. During these meetings, you will need to be prompt and accurate in reporting progress and problems.

3. Contacting the Sampled Dwelling Units

3.1 Introduction

Being well prepared before making initial contact with the residents of a sampled dwelling units is important. You must know the purpose of GATS and be familiar with the screening and interviewing procedures, as well as with all the survey materials. You must also be organized, which means you must have all of the materials needed to screen and conduct interviews at each sample dwelling unit. This chapter contains detailed instructions on how to contact a sample dwelling unit and how to obtain cooperation.

3.2 Reviewing Household Assignment Information

After you successfully complete training, you will receive Assignment Control Forms and an iPAQ¹ loaded with the corresponding *Household* and *Individual Questionnaires* for each household in your assignment. As soon as you receive your paper Assignment Control Form and your loaded iPAQ, you must verify that both the Assignment Control Form and the iPAQ contain all the households in your assignment. To do so, compare the case IDs on your iPAQ with your Assignment Control Form (see **Chapter 11, Exhibit 11-1**). Report any discrepancies to your Field Supervisor immediately. Do *not* visit any of the dwelling units until the discrepancy is resolved.

The households on your Assignment Control Form represent your initial assignment. If there are any changes to your assignment, you must update the information on your Assignment Control Form as appropriate.

3.3 Scheduling Fieldwork and Planning Your Route

You must plan fieldwork carefully to maximize the effectiveness of your time. Your Field Supervisor may work with you to plan your schedule. The following are general rules for planning your schedule:

- Plan your itinerary so that you can visit as many sample households as possible.
- If you have only a little work left in one neighborhood, combine it with a trip to a nearby area, if possible.
- Make a minimum of *four* attempts to complete each screening. Visit the dwelling units at different times of the day and different days of the week. If, after repeated attempts, you are unable to establish contact, discuss the case with your Field Supervisor to determine the next step.
- After completing the *Household Questionnaire*, if you are unable to complete the *Individual Questionnaire* on the same visit, make a minimum of *three* additional attempts to complete the *Individual Questionnaire* with the selected respondent (minimum of four total attempts to

Make a minimum of four attempts to complete the *Household Questionnaire* and a minimum of four attempts to complete the *Individual Questionnaire*.

¹ GATS uses General Survey System (GSS) software, which is designed to run on a Windows Mobile platform and has been tested and implemented using a Hewlett-Packard (HP) iPAQ® handheld PDA computer. Use of "iPAQ" is for identification only and does not imply endorsement by any of the GATS collaborating organizations.

complete the *Individual Questionnaire*). If, after repeated attempts, you are unable to establish contact, discuss the situation with your Field Supervisor to determine the next step.

The timing of your fieldwork is very important. Plan your trips so that you will be in your assigned areas during times when the chances of finding a respondent at the dwelling units are the best. The most productive hours for first visits to sample dwelling units may vary by time, season and economic activities of the respondents.

Assembling Field Materials

Each day, before you start, you must verify that you have all of the equipment and documents you will need. You will need the following materials on all visits:

- I.D. badge
- letter of Authorization
- consent forms
- iPAQ, with necessary accessories
- assignment Control Forms
- extra charged batteries for iPAQ
- pens or pencils
- Field Supervisor contact information
- GATS Field Interviewer Manual
- GATS Question by Question Specifications

When preparing for a field visit, assume that you will complete a household screening and an individual interview at each sampled dwelling unit, and carry enough materials with you for each respondent.

3.4 Locating the Sampled Clusters and Households

In recent months, KNBS during the development of the NASSEP V sampling frame conducted a household listing where teams visited each of the selected sample clusters to:

- prepare up-to-date maps to indicate the location of structures;
- record identification information for each structure
- write numbers on structures; and
- make a list of the names of the heads of households in all of the structures.

Within a structure, there may be one or more dwelling (or housing) units. For instance, there would be one dwelling unit in a thatched hut, but there may be 20 dwelling units in an apartment building or five dwelling units in a compound. Within a dwelling unit, there may be one or more households. For example, a compound may have five households living in it, and each household may live in its own dwelling unit.

Specific households have been selected to be interviewed and details of *County Name, Cluster Number, EA Name, Structure Number and Household Numbers* have been loaded into your iPAQ. In order to locate the households you will have services of a **KNBS Field Officer** and a **Village elder**. The KNBS Field Officer will be assigned by the area County Statistics Officer (CSO). A village elder is a recognized person who usually resides within/around the cluster and is usually appointed by the Assistant Chief of the Sub-Location. In urban areas, the caretakers or security personnel may act as village elders. The CSO will make these advance preparations of assigning Field Officers and contacting Village Elders as he/she will have been sent the sample list.

The KNBS Field Officer will carry a file that contains a cluster map, filled listing form showing identification details of structures and all households. He/she will identify the sample households using the structure/household numbers and the name of the head of the household. The structure number is usually written above the door of the house, but sometimes it may be on the wall. The village elder will accompany you as you identify the households and may assist where identification challenges exist. Although the supervisor of your team will be with you in the field, it is important that you also know how the households are identified.

3.5 Materials to Help You Obtain Participation

In addition to your knowledge of the survey, you may have a number of tools to help gain the trust and cooperation of residents at sample dwelling units. These tools include the survey description letter, Question and Answer Brochure, and documents (Letter of Authorization and Statement of Confidentiality) that identify you and your commitment to maintaining the respondent's confidentiality. You may receive copies of all of these materials. Use them as necessary if you believe they will make a difference in the respondent's decision to participate. Your primary tool, however, will be your skills in establishing rapport and conveying a professional demeanor.

Exhibit 3-1. Example GATS Description Letter

27th November, 2013

Dear Resident,

RE: GLOBAL ADULT TOBACCO SURVEY

The Kenya National Bureau of Statistics (KNBS) and Ministry of Health are conducting a national household survey in your area. This survey will collect information on the use of tobacco products, smoking in various places, and general questions about tobacco products and health. Both smokers and nonsmokers will be included. Your household was randomly selected to participate in this survey, which is called the Global Adult Tobacco Survey, or GATS. Many other countries around the world are also participating in a similar survey.

Professional Field Interviewers under contract with the KNBS are in your neighborhood to tell you about the survey and to answer any questions you might have. The Field Interviewer will ask a few preliminary questions and then may also ask one member of your household 15 years of age or older to participate in a voluntary interview. All information provided by your household will be kept confidential. The results of this survey will be used to help the Ministry of Health plan new health programs in Kenya.

Your help is extremely important to the success of this survey, and we hope that you will agree to participate. Thank you in advance for your cooperation.

Director General
KENYA NATIONAL BUREAU OF STATISTICS

Question and Answer Brochure

You may receive copies of a Question and Answer Brochure to give to potential respondents as you deem necessary. You should read and be very familiar with the questions and responses contained in this brochure (**Exhibit 3-2**). This familiarity will allow you to comfortably answer most questions, thus building rapport with respondents. By knowing the answers to the questions, you build your own confidence and respondents' confidence in you.

Be prepared to answer respondent questions. Read and be familiar with the GATS Question and Answer Brochure.

The brochure is not a replacement for a conversation with a respondent. You must speak with respondents to help them understand the survey. If you leave the brochure with respondents without having spoken with them about the survey, respondents may read something that causes them to refuse to participate.

Letter of Authorization

The Letter of Authorization (**Exhibit 3-3**) is from the KNBS and verifies that you are a Field Interviewer on this survey. You may receive one copy of the letter, which is personalized with your name. Use your judgment to determine if you need to show the letter to a reluctant respondent. You do not need to show every respondent the Letter of Authorization, only those who question your legitimacy as a Field Interviewer working on this survey, such as a community watch group member or a police officer.

3.6 A Professional Approach

Your appearance and manner of delivery are extremely important in determining whether you will gain cooperation from residents.

When you arrive at a sample dwelling unit, your approach will establish an initial impression that could either encourage

cooperation or alienate a respondent. The goal of your initial

approach is to alleviate any apprehension or fear a potential respondent may have about participating. A relaxed, confident, and professional approach will most likely help you accomplish this goal.

Make a good first impression and establish rapport with the respondent.

Exhibit 3-2. GATS Question and Answer Brochure

Global Adult Tobacco Survey



Your residence has been selected for participation in the Global Adult Tobacco Survey (GATS). In this brochure, you will find answers to the most commonly asked questions about this survey.

Frequently Asked Questions and Answers

What is the Global Adult Tobacco Survey (GATS)?

GATS is a household survey of individuals 15 years of age or older designed to increase understanding of adult tobacco use and people's perceptions of tobacco products in Kenya

Who is sponsoring this survey?

GATS is being conducted by the Ministry of Health.

How was I selected for this survey?

Households were scientifically selected throughout the country. Your household was one of those selected. A professionally trained Field Interviewer will visit your dwelling unit and ask a few questions to see if anyone in your household is eligible to participate in the interview. We will be interviewing approximately 5400 households across the country.

What types of questions will be asked?

The survey contains questions about the use of tobacco products, exposure to secondhand smoking, exposure to media and tobacco advertisements, and general questions about tobacco products and health.

What will my household's participation involve?

The interview will take place in your own home and will be done by a professional Field Interviewer. The Field Interviewer will first ask a few questions to determine whether anyone in your household is eligible to participate. If someone is eligible

and agrees to participate, he or she will be asked questions in a face-to-face interview.

How will the results of the survey be used?

The information gathered from this survey will be used to help the Ministry of Health plan new health programs in Kenya.

Will the information I give be kept confidential?

Yes, protecting your confidentiality is of the utmost importance. The answers you give will be combined with answers from other participants. Your name will not be associated with your responses.

Why is it important for me to participate in the survey?

The information that you and others scientifically selected for the survey provide is very important and will be used to help the Ministry of Health adjust current policies and plan new health programs in Kenya

Exhibit 3-3. Example Letter of Authorization

27th November, 2013

TO WHOM IT MAY CONCERN

RE: FIELD INTERVIEWER

The Kenya National Bureau of Statistics (KNBS) and Ministry of Health are conducting the Global Adult Tobacco Survey, or GATS. GATS is a national household survey that will be conducted in Kenya as well as in several other countries.

The survey asks questions about the use of tobacco products, smoking in various places, tobacco advertisements, and general questions about tobacco products and health. Both smokers and nonsmokers will be included. The results of this survey will be used to help the Ministry of Health adjust current policies and plan new health programs in Kenya.

Households in this area have been randomly selected through scientific sampling procedures to represent households across the country. Professional Field Interviewers, under contract with the KNBS, will be in this neighborhood to speak with residents of the selected households and arrange interviews with eligible residents. Each household's participation is voluntary, and all information provided by a household will be kept confidential.

If you need further information, please contact Director, Population and Social Statistics at the Kenya National Bureau of Statistics using telephone number 020-313670.

Director General
KENYA NATIONAL BUREAU OF STATISTICS

Approach the residence confidently and with a positive attitude. With your demeanor, show that you appreciate the significance of your job and are proud to be a part of this important project. Be sure your GATS identification badge is displayed prominently. The basic elements of a professional approach include:

- showing proper identification and supporting documentation,
- demonstrating a thorough knowledge of the purpose of the project and use of all materials,
- delivering a courteous and straightforward presentation, and
- demonstrating respect for the respondent.

You must wear your identification badge at all times.

While exhibiting these behaviors, you should also tailor your approach so that the respondent will feel comfortable and not be intimidated by you. Your dress should be professional but not formal, and you should act in a way that invites the respondent's participation. The initial impression that you project will influence whether you receive the respondent's participation.

3.7 Establish Rapport

Rapport is one of the most important tools of any Field Interviewer.

As a Field Interviewer, your first responsibility is to establish rapport with the respondent. You establish rapport by being sensitive to his or her situation. Rapport begins as you introduce yourself and the survey and continues throughout the screening

and interviewing process. Establish rapport early and maintain it throughout your contact at the household. The rapport you develop during the initial contact at the door and as you conduct the household screening will determine the tone of your visit. Be aware of how you are being received. When you are alert and responsive to the resident's reactions, you will be more successful in avoiding refusals and better equipped to counter respondent objections with appropriate responses.

Be positive, confident, and persuasive, but do not be aggressive.

Be businesslike, courteous, and confident. Do not, however, become aggressive. Bullying residents into participating is not appropriate. Conversely, a Field Interviewer who is too passive will not be successful. Passivity will not motivate a resident who is neutral or uninterested in cooperating. In these instances, you must be prepared to convince the resident by explaining the survey's purpose and the importance of participating in it.

Rapport can mean a degree of friendliness. Although you want to be open and friendly in gaining the respondent's trust, you should not develop personal relationships with respondents. A good Field Interviewer must possess a rare combination of sensitivity to individuals and an ability to remain objective while interacting with interview respondents. The respondent must feel that the Field Interviewer is genuinely sensitive to his or her concerns and feelings; yet, the Field Interviewer must maintain objectivity to prevent biased responses.

3.8 Overcoming Objections

Many people have strong opinions and feelings about smoking and the use of tobacco products. Although most individuals are friendly and willing to cooperate, you can expect a few individuals to have concerns, objections, or fears. Some respondents may fear they are being judged. What may appear to be a refusal to cooperate is only an expression of concern, or a need for more information about the procedures or the background of the survey. The following points will be helpful in reducing or eliminating refusals when making contacts:

Listen. Be courteous and sympathetic to the respondent's concerns.

- Be positive and optimistic. Assume most residents will cooperate. (In fact, most will.) An air of apology or defeat can sometimes trigger a refusal. Do not invite refusals.
- A friendly, confident, and positive manner, assertive but not aggressive, will usually yield positive effects.
- Listen carefully to the resident's comments, and try to determine the basis for his or her concerns or objections. Then, target your responses to those concerns or objections. Listening is one of the most important skills of successful Field Interviewers.

Acknowledge the truth or accuracy in the respondent's statements, and then build on the statement with additional information that addresses the concern. Sometimes the best technique is simply to ask, "Is there a concern about your participation in this survey that I can address?"

Exhibit 3-4 lists some common questions and concerns that respondents have regarding survey participation in general. (The GATS Question and Answer brochure, shown in **Exhibit 3-2**, also provides a list of frequently asked questions and answers specific to GATS.) Carefully read over the responses to these questions and concerns so that you become skilled at using the information to obtain a respondent's participation. Listen to the respondent's comments and tailor your response to his or her need for information. Your objective is to be completely comfortable when explaining the project, in your own words, to respondents.

Exhibit 3-4. Responses to Common Concerns about Participation

Common Concern	Response
<i>"I'm not feeling very well."</i>	In these cases, you have caught the person at a bad time, but the situation is temporary. The respondent is likely to agree to be interviewed at another time. Say that you will come back later.
<i>"My house is too messy for you to come in."</i>	Offer understanding by saying something like the following: "That's no problem. We can do the screening right here. Or we can schedule another time for me to come back. Then, if someone is selected for an interview, please know that I'm only interested in recording the information you give me."
<i>Lack of trust/invasion of privacy or confidentiality.</i>	Assure the respondent of confidentiality. Show him or her the Statement of Confidentiality. Remind the respondent that the information he or she provides is combined with information from other interviews and is reported in summary form.
<i>"How did you get my household?"</i>	Explain that we have randomly selected his or her household from all households across the country using a scientific procedure.
<i>"My opinions don't matter."</i>	Explain that the respondent's opinion is important and represents the opinions of many other people like him or her, so his or her opinions do matter. Also explain that this is an opportunity both to participate in a project that will contribute to the understanding of the dynamics of tobacco use in Kenya and to help the Ministry of Health develop new programs.
<i>"I don't care about that issue."</i>	They do not have to be interested in the subject of smoking to participate. Their information is valuable anyway. Show the brochure that answers some key concerns regarding the survey.
<i>"I'm too busy."</i>	Stress to potential respondents that the screening and interviewing processes require only a small amount of their time and that you will be flexible in working around their schedules. Arrange for a more convenient time to come back. Leaving a copy of the brochure may help them to develop an interest in participating.
<i>"I don't like surveys. They are a waste of time and money."</i>	Stress the importance of this survey for trying to understand the dynamics of tobacco use across the country. Stress that this is the respondent's opportunity to contribute to the success of the project.
<i>"Why are you meddling in our business?"</i>	Explain the importance of participation by indicating that each selected respondent represents others like him or her and cannot be replaced. Also emphasize confidentiality and that respondents have the right to refuse to answer any question they consider too personal.
<i>"Why choose me? Can't you interview my brother/husband/other person instead?"</i>	Explain that the handheld computer uses a specific procedure in selecting which person to interview. The choice is not up to you, and therefore you cannot simply interview someone else instead. Stress confidentiality—no one will learn his or her answers to the questions—and that they may refuse to answer any question.

3.9 Dealing with Refusals

If, despite your best efforts, the person will not consent to an interview, accept the refusal courteously and thank the person for his or her time. Do not pressure, argue, or otherwise alienate him or her. Your goal should be *to leave the door open* for you or someone else *to recontact* the resident at a later date and secure a promise of cooperation. Be sure to document the refusal in the iPAQ's Case Management System and include the reason for the refusal in the comments section. (See **Chapter 6** for detailed procedures on how to make entries in the Case Management System.) Doing so will help you to describe the situation to your Field Supervisor. Do not rely on memory to recount the events to your Field Supervisor. Taking notes will help you (or any other Field Interviewer who may be asked to attempt a refusal conversion) in subsequent contacts. Your Field Supervisor may instruct you to make notations of refusals on your Assignment Control Form as well.

3.10 Updating the Record of Calls

You will need to record a result (or *event*) code in the Case Management System after *each* visit you make to each household in your assignment. (See **Chapter 6** for detailed procedures on how to make entries in the Case Management System.) Make similar notations on your Assignment Control Form only if instructed to do so by your Field Supervisor. Note that there are a set of possible result codes that can be used to reflect the status of the *Household Questionnaire* and a separate set to reflect the status of the *Individual Questionnaire*. The description and appropriate use of these result codes are described in **Chapters 7** and **8** of this manual. Make every effort to assign the correct code for each visit to the household.

4. General Interviewing Techniques

4.1 Introduction

As a Field Interviewer working on GATS, you are responsible for ensuring that the interview is administered properly. It is extremely important that you adhere closely to all procedures and that you administer the questionnaire *exactly as it is written*. This chapter will present the standard procedures for properly conducting the GATS interview.

Administer the questionnaire exactly as it is written.

All of the information covered in **Chapter 2** (pertaining to your role as a professional Field Interviewer who conducts his or her work with utmost confidentiality and professionalism) and **Chapter 3** (pertaining to your role in obtaining participation and building rapport) are relevant to this chapter as well. Please review these sections if you are unclear about the duties expected from a professional Field Interviewer, or about obtaining participation from persons selected for GATS. Your performance will determine whether the survey is successful. You must be properly prepared.

4.2 General Questionnaire Conventions

GATS is a computer-assisted personal interview. You will ask the selected respondent each question and record the appropriate responses using a handheld computer. The computerized questionnaire uses several different conventions, discussed below. You must become familiar with these conventions so that you use them correctly.

- Rule #1** Text bounded by *asterisks* is to be spoken with emphasis. For example, in the following sentence, the word “anyone” is to be spoken with emphasis. “How often does *anyone* smoke inside your home?”
- Rule #2** All lowercase question text must be read verbatim (word for word) to the respondent. You must speak these statements out loud. In the following example taken from the GATS questionnaire, all of this sentence would be spoken out loud: “How old were you when you first started smoking tobacco *daily*?”
- Rule #3** Text written in ALL CAPITAL LETTERS is a question or instruction for you, the Field Interviewer. Text in ALL CAPITAL LETTERS is *never to be spoken aloud*. In the following example from the GATS questionnaire, this sentence would *not* be read out loud: “WAS RESPONSE ESTIMATED?” For languages without capital letters, interviewer instructions will be enclosed within square brackets to indicate (for example, “[was response estimated?]”). Again, this text should not be read out loud to respondents.
- Rule #4** Answer choices listed on the bottom of the screen of the handheld computer should never be read to the respondents. Answer choices that should be read to the respondents will be provided as part of the question text in the top part of the handheld computer screen.

4.3 Standardization of Questionnaire Administration

Every Field Interviewer must administer *every* question in the questionnaire to *every* respondent *in the same way*. This consistency helps to eliminate variability and Field Interviewer bias, two factors that can seriously undermine the validity of the data gathered from a survey. Follow the guidelines listed below to ensure that you are administering the questionnaire in a nonbiased, standardized manner.

Consistent, nonbiased administration strengthens the validity of the data collected.

Asking the Questions

The following is a list of protocols to which you must adhere when administering either the *Household Questionnaire* or the *Individual Questionnaire*.

- **Ask the questions using the exact words.** All questions must be read exactly as they appear in the questionnaire; to do otherwise risks invalidating the survey.
- **Read the questions slowly.** As you become familiar with GATS questions, it is tempting to begin reading through the questions more quickly. Remember, however, that this is the first time the respondent has heard these questions. You must read slowly enough to allow the respondent time to understand everything you are asking. A pace of approximately two words per second is recommended.
- **Ask every question that is specified in the questionnaire.** Never presume that the answer to an upcoming question has already been provided by a previous answer. The answer received in the context of one question may not be the same answer in the context of another.
- **Read the complete question as displayed.** The respondent may interrupt you and answer before having heard the complete question. When this happens, read the question again, making sure the respondent hears the question through to the end. Do not assume a premature response applies to the question as written. You may politely inform the respondent that in order to do your job you must read the entire question.
- **Repeat questions that are misinterpreted or misunderstood by the respondent.** The respondent might tell you that he or she did not understand the question, or he or she might look confused when trying to answer the question. The respondent also might give an answer that seems illogical or irrelevant to the question. In any of these circumstances, you should simply repeat the question exactly as it is written. If the respondent asks you a specific question about what a question means (for example, “What do you mean by health care provider?”), refer to the **GATS Question by Question Specifications** or the QxQ screen on the iPAQ, if available for that question. However, if there is no specific guidance provided in the manual about the question, you should not offer any explanations beyond what is provided in the questionnaire. If there is no additional information to define the terms, you should politely respond, “Whatever ‘health care provider’ means to you.”
- **Do not suggest answers to the respondent.** As you proceed through the interview, you will come across questions that you might think you know the answers to based on prior information you have heard. You may feel the urge to suggest answers to the respondent. Resist this urge. Read the question as written.

- **Read introductory and transitional statements as they appear in the questionnaire.** These statements often contain instructional material for the respondent.
- **Responses must represent the respondent's own opinions without bias introduced by the Field Interviewer.** Do not influence a respondent's answers with your behavior (that is, with your body language, your attitude, your tone of voice, or any other way).

By observing these rules of questionnaire administration, you ensure that the survey is administered to each respondent in exactly the same way and that the responses given by the participant accurately represent his or her experiences and opinions. This practice will guarantee that scientific principles are followed in the administration of the questionnaire and that the data are of the highest quality.

Probing

Probing is a technique used to help ensure that the answers given by a respondent are as accurate and as complete as possible.

Effective probes serve two purposes: (1) they encourage a respondent to express him or herself completely, and (2) they help the respondent focus on the specific requirements of the question.

To know when to use a probe, you must be thoroughly familiar with the questionnaire and know the objectives of each question; that is, you must know what is being measured and what constitutes an acceptable response. Otherwise, you will have difficulty judging the adequacy of a response.

Use neutral nonbiasing probes to elicit a more complete or accurate response from the respondent.

Only neutral or nondirective probes (those that do not influence the respondent) should be used in the GATS interview. Some examples of proper probing techniques follow.

- **Neutral questions or statements.** These probes encourage a respondent to explain further or elaborate on a response without leading or directing the respondent to a particular answer. These must be stated in a neutral or nonchallenging tone. Some examples of neutral probes include the following:
 - *“What do you mean?”*
 - *“Please explain that.”*
 - *“Which would you say is closest?”*
- **The silent probe.** A timely pause is the easiest and often the most useful type of probe. This pause lets your respondent know that you are expecting or waiting for additional information.
- **Clarification.** Use clarification probes when you judge the respondent's answer to be unclear, inconsistent, ambiguous, or contradictory. You must take care, however, not to appear to challenge the respondent. Instead, tactfully express concern over not completely understanding the nature of the response. Some examples include the following:
 - *“I'm not quite sure I understand what you mean by that. Could you tell me a little more?”*
 - *“I'm sorry, but a few minutes ago I thought you said you there are 6 usual members of this household. Could you clarify this for me?”*

- **Encouragement.** This technique involves conveying to the respondent that you understand what he or she has said, and you would like to hear more. Nonverbal probes of this nature include a nod of the head or an expectant expression. Some examples include the following:
 - “I see...”
 - “That’s interesting...”
- **Repetition.** Repetition could be either repeating the question or repeating the response. Repeating the question is useful when it appears that the respondent may have misunderstood the question or has deviated from the topic at hand. Repeating the response may produce additional comments or explanation from the respondent, especially if you say it in the form of a question.

For example, if you ask, “Do you *currently* smoke tobacco on a daily basis, less than daily, or not at all?” and the respondent says, “A lot,” you could look at him or her and say, “A lot?” You are likely to get additional details or information, such as, “Well, I’d say at least once a day.” It may also be helpful simply to repeat the response options so the respondent knows that you need one of the listed responses.

“Don’t Know” Responses

When the respondent says, “I don’t know,” it can mean two things: (1) either he or she is not sure of an answer and needs more time to think, or (2) he or she actually does not know how to answer the question. You must be prepared to distinguish between the two.

Put respondents at ease by reassuring them that their answers are confidential.

A respondent may say, “I don’t know,” when asked to offer an opinion or attitude. He or she may find it difficult to put feelings into words. If you suspect this is the case, you should put him or her at ease by saying, “There is no right or wrong answer. Just tell me how *you* feel about this.” Similarly, if a respondent is unsure about an answer choice, you should encourage him or her to provide a best estimate.

When a respondent is uncomfortable answering such questions, he or she may respond, “I don’t know,” in an effort to avoid the question. If this appears to be the case, you again must make every effort to put your respondent at ease, reassuring him or her that the answers are confidential and are very important to the survey.

In the end, the respondent may insist that he or she does not know how to answer a particular question. Once you have properly probed for an answer, you should accept the response in the interest of not alienating the respondent, even if you believe he or she may be avoiding the question. Remember that there may be times when a respondent actually does not know the answer to one or more specific questions.

Many of the same rules apply when a respondent says, “I don’t want to answer that question—I refuse.” When a respondent is uncomfortable answering such questions, he or she may respond, “I don’t want to answer that question,” or “I’m uncomfortable answering that,” in an effort to avoid the question. If this appears to be the case, you should make every effort to put your respondent at ease, reassuring him or her that the answers are confidential and are very important to the survey.

Despite your efforts to assure the respondent, he or she has the right to refuse to answer any question. You should not bully or harass the respondent to answer a question. Rather, you should accept the response in the interest of not alienating the respondent, even if you believe he or she may be avoiding the question.

5. Introduction to the iPAQ

5.1 Introduction

This chapter introduces you to the iPAQ handheld computer that you will use to conduct screenings and interviews and to perform Case Management System functions. This chapter covers parts, care, and basic use of the equipment. Later chapters will review specifics about the Case Management System on your iPAQ (**Chapter 6**) and procedures for transmitting data using your iPAQ (**Chapter 9**).

The iPAQ will be used to administer the *Household and Individual Questionnaires* and to perform Case Management System functions.

5.2 Equipment Overview

The parts of the iPAQ are illustrated below, and their functions are briefly described. More detail on how to use the iPAQ for GATS appears later in this chapter.



iPAQ
Handheld computer.



Stylus
Used to tap information into the iPAQ.



Home power adapter & converter
Used to power the iPAQ from a home electrical outlet.

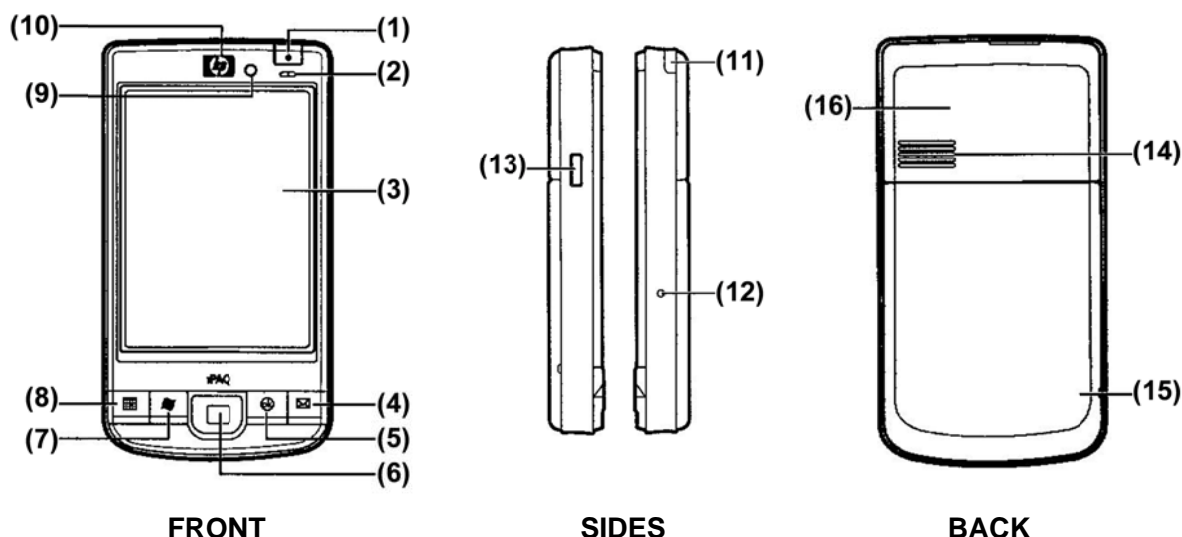


SD card
Inserted into the iPAQ and stores data.



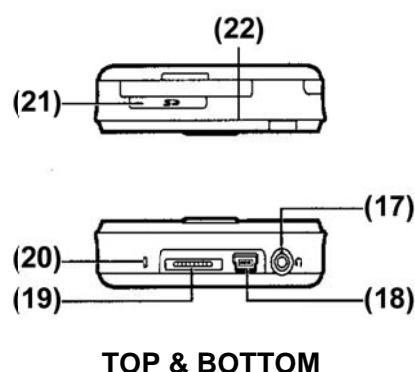
iPAQ case
Used to protect the iPAQ from dust and moisture.

The iPAQ has many features, including some not used on GATS. Each feature is described in the following illustration.



Features used on GATS

- (1) **Power Button** – used to turn the iPAQ on and off.
- (2) **Charger Indicator** – indicates the charge status of the iPAQ. Make sure your iPAQ is fully charged before you leave home.
 - a. a flashing orange light appears when the iPAQ is charging
 - b. a solid green light appears when the iPAQ is fully charged
- (3) **Touch Screen** – the color screen displays the Case Management and survey programs.
- (9) **Light Sensor** – adjusts backlight setting automatically based on lighting conditions.
- (11) **Stylus** – used to tap on the iPAQ screen. You will receive an additional stylus as a back up. **Do not** use another device, such as a pen or pencil, to tap on the iPAQ screen.
- (12) **Reset Button** – used to reset the iPAQ.
- (14) **Speaker** – plays audible notifications such as a tapping sound when data is entered into the iPAQ
- (18) **Mini-USB port** – used to connect the car charger to the iPAQ.
- (19) **Charge Port** – used to connect the iPAQ to the AC Charger. Damage to this port can cause an inability to recharge the device. Be careful when inserting the power supply connections to avoid damaging the iPAQ.
- (21) **Memory Card Expansion Slot** – used to hold the storage card (memory card). The memory card is used to backup the data from the iPAQ so if the iPAQ is ever damaged, the data will not be lost. **Do not** remove this card unless instructed to do so by technical support staff.
- (22) **Modem Expansion Slot** – this is where you plug in the modem in order to transmit. You will need to remove the plastic cover before inserting the modem; replace the plastic cover when not in use to keep dirt and debris from getting inside the iPAQ.



Features NOT used on GATS

- (4, 5, 6, 7, 8) **Programmable Application Buttons**
- (10) **Audio receiver**
- (13) **Voice recorder button**
- (15) **Battery Door**
- (16) **Battery Door Latch**
- (17) **Stereo Headphone Jack**
- (20) **Microphone**

5.3 Care of the iPAQ

Computers are amazing devices, but they can be extremely sensitive to their surroundings and may react unpredictably if not handled properly. As you work with the iPAQ, follow these safeguards to protect yourself and the device. Failure to comply with these safeguards could result in injury to you or damage to the device.

Temperature, Moisture, and Dust

- Store the iPAQ only in safe environments—those that are not too hot (over 40°C or 104°F) or too cold (under 0°C or 32°F). Storing the iPAQ in temperatures outside this range can cause the iPAQ to malfunction. Heat can also damage the case and the internal parts of the unit. Do not leave the iPAQ near a heater or locked in your car. (Temperatures in closed cars can exceed the desired range quickly on hot or cold days.)
- Do not leave the iPAQ in a location that is dusty, damp, or wet. Dust and moisture can damage the iPAQ and cause it to malfunction. You must be particularly careful when working in rainy weather or dusty locations.
- If the iPAQ gets wet while plugged in, unplug the power adapter from the device *before doing anything else*. Doing so will help prevent you from getting an electric shock.

Do not expose the iPAQ to extremely hot or cold temperatures, moisture, or dust.

Screen Care

- Take care not to break the glass screen. Do not drop the iPAQ or subject it to any strong impact. Don't put it in your back pocket; if you sit on the iPAQ, the glass may break.
- Do not press too hard on the screen when tapping. Do not forcefully jab or hit the screen.
- Be careful not to scratch the screen. *Only* use the specially designed stylus that is provided. *Do not use an ink pen, felt-tipped pen, or pencil.* Use of anything but the stylus can damage the iPAQ screen, which scratches easily and is difficult and expensive to replace.
- To clean the screen, wipe it with a soft cloth such as one made for cleaning eyeglasses. Dampen the cloth with water first if that will help remove fingerprints and spots. Do not use harsh cleaners or strong solvents to clean the screen.
- When your iPAQ is not in use, keep the plastic flip cover closed to protect the screen.

Cables, Ports, and Expansion Slots

- Never leave an expansion slot empty. If you need to take out the SD card, insert the plastic place holder while you are not using it.
- Do not use frayed or otherwise damaged cables. When connecting or disconnecting a cable, hold the cable only by its connector (the plug), not by the cord.
- Never force a connector into a port if the connector and port do not join easily. Make sure the connector matches the port and that it is properly aligned before you attempt to attach it.
- When transporting the iPAQ, always disconnect any cables or cords.

Traveling by Air with the iPAQ

- When traveling by air with the iPAQ, you can safely put it through airport security devices that do not harm laptop computers. If the security device is not marked as safe for computers, ask. If airport security personnel will not guarantee the safety of the iPAQ, hand it to the security guard, who will probably request that you turn on the iPAQ to prove that it works.
- *Do not pack your iPAQ in your luggage.* Expensive electronic equipment should *always* be taken on the aircraft in your carry-on luggage. If the iPAQ is checked with your baggage, the chances of it being stolen or damaged are increased.

5.4 Charging the iPAQ

While in the field, you will use the battery power supplied by the rechargeable battery inside the iPAQ. To make sure you have an adequate amount of battery power to last throughout your workday, you should keep your iPAQ on a charger when you are in your car or at home.

Be sure to check your iPAQ's battery level daily, and recharge the battery every night. When working in the field, monitor the battery power gauge so that you are aware of how much power is left.

When the gauge indicates that 15% or less battery power remains, plan to recharge your battery as soon as possible. *Never approach a household with less than 15% battery power on your iPAQ.* You don't have to wait for the battery power to drain to less than 15% before recharging. The unit can be charged at any time, regardless of how much power remains.

Never approach a household with less than 15% battery power on your iPAQ.

Exhibit 5-1 is a chart of expected battery life in both percent and time remaining. For every hour of use, your iPAQ's battery power decreases by approximately 10%. The numbers in this exhibit are only estimates. Exact battery use depends on many factors. For instance, if you have changed the default backlight setting or enabled the wireless feature, your iPAQ will use power at a much faster rate and will not last as long between charges.

Exhibit 5-1. Expected Battery Life

Percent Battery Power Remaining	Hours of Battery Power Remaining
100%	10 hours
90%	9 hours
80%	8 hours
70%	7 hours
60%	6 hours
50%	5 hours
40%	4 hours
30%	3 hours
20%	2 hours
10%	1 hour

Using the Home Charger

To charge your iPAQ with the home charger, follow the steps listed below. The illustration shows how the connection should be made between the power adapter and the iPAQ.

1. Plug the power adapter into an outlet.
2. Insert the circular connection into the converter provided. (This converter is attached to the power adapter's cord with a piece of rubber so that it is available when needed.)
3. Hold the converter with the arrow pointing up. While squeezing the sides of the adapter, carefully plug it into the bottom of your iPAQ until you hear a click.
4. To remove the converter from the iPAQ, gently squeeze the sides of the converter and pull to remove.



It is *very* important that you are careful when connecting and disconnecting this hardware. Doing so will ensure that you avoid damaging the delicate connectors on both the plug and the iPAQ.

Changing the Battery

To change the battery, follow the steps listed below. After inserting the new battery, always check the time and date settings on the iPAQ, as these may reset when the battery is removed. If the battery must be changed during an interview, only the answer to the question on the screen at the time the battery was removed will be lost. Keep in mind, however, that you should never approach a household with less than 15% battery power.

1. Pull the battery door latch toward the bottom of the iPAQ. The battery door will release.
2. Lift the battery door up, then remove it from the iPAQ.
3. Release the battery from the iPAQ by lifting the battery from the upper-left corner.
4. Insert the new battery by placing the battery prongs into the right side of the battery compartment. Be sure that the exposed metal on the battery aligns with the metal prongs on the inside of the battery compartment. Press the battery against the metal prongs until the battery lays flat in the battery compartment.
5. Insert the battery door prongs at the top of the battery compartment, and press the battery door down until the battery door latch clicks into place.
6. Press the iPAQ's power button to turn it on. If the iPAQ does not immediately turn on, it may need to be reset. Use the stylus to press the reset button at the bottom of the iPAQ. Once on, check the time and date settings to ensure they are correct. If they are not correct, follow the steps outlined in **Section 5.5** to set the correct date and time.

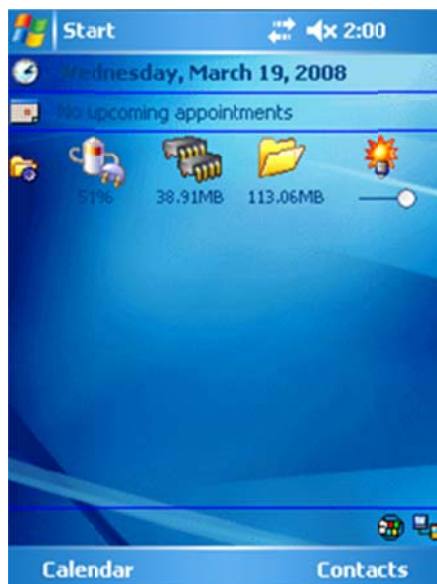
5.5 Using the iPAQ

To turn on the iPAQ, press the power button in the upper-right corner of the device. To turn off the iPAQ, repeat the same process. The next time you turn on the iPAQ, the screen displayed will be the same as when you turned off your iPAQ. To conserve battery power, you should turn off the iPAQ as you move between households, until you are ready to use it again. If you turn on the iPAQ but do not tap the screen for a set amount of time, the iPAQ will power off to conserve battery power. If this happens, press the power button to turn it back on.

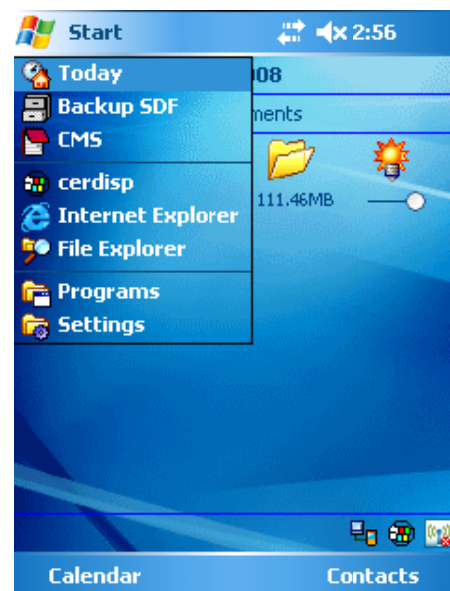
At the end of the day, exit all programs and return to the Today screen.

Today Screen

The main start screen, or Today screen, provides access to all iPAQ programs and applications. When you have finished working each day, exit all programs and go to the Today screen shown below left.



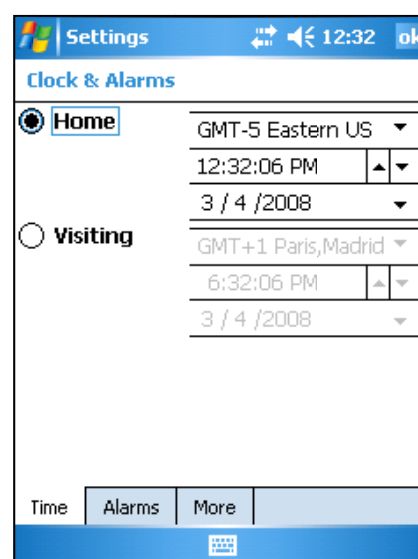
Tap **Start** in the top-left corner of the screen to display the Start menu list.



When you tap **Today** from the dropdown menu, you go to the Today screen (see above), which is also the default screen when you have closed all applications. By tapping the clock icon (🕒) or the date, you can bring up the screen to adjust the system's home time and date (see right). Do not change the time or date settings unless you are traveling outside your time zone to visit households.

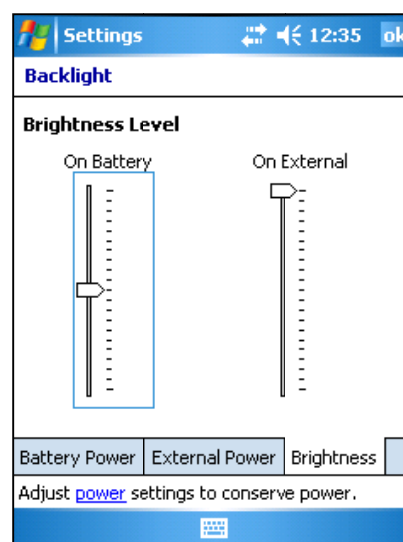
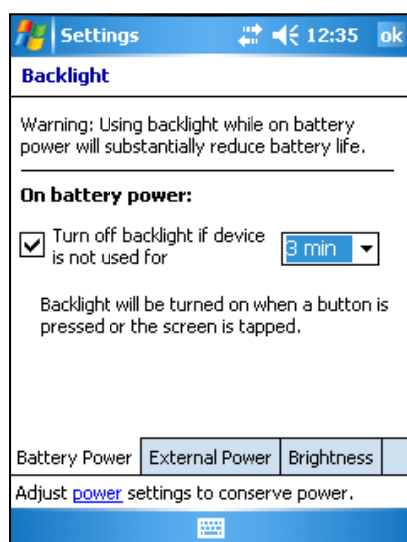
Settings

The settings you are allowed to access and change are noted below. *Do not* adjust other settings. Doing so may affect your ability to use your iPAQ and complete your work. To change settings, tap **Start** to access the Start menu, then tap **Settings** to access the following settings controls, which may be helpful to you in doing your work.

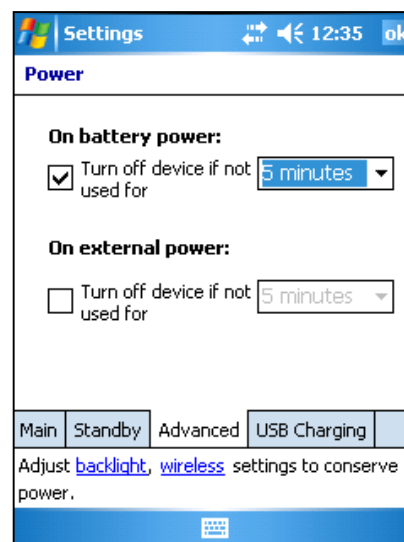


- **Backlight.** Tap **Settings**, then tap the **System** tab at the bottom of the screen. Tap **Backlight** to adjust the backlight settings. There are three backlight setting tabs displayed on the bottom of the Backlight screen: Battery Power, External Power, and Brightness.

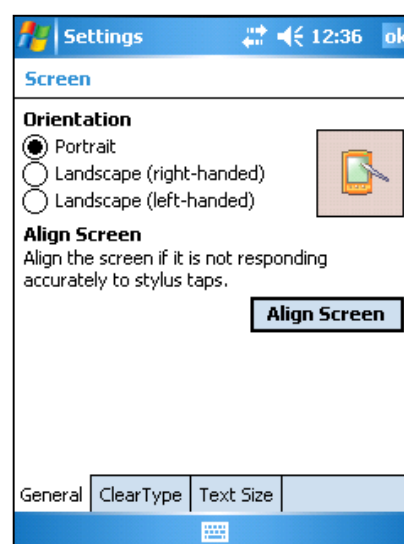
Both Battery Power and External Power should be set to “Turn backlight off if device is not used for **3 minutes**.” Tap the **Brightness** tab and slide the “On Battery” brightness level bar to a comfortable brightness for your use. Remember that increased brightness can increase the drain on the battery. See the pictures below to view how these settings will look on your iPAQ.



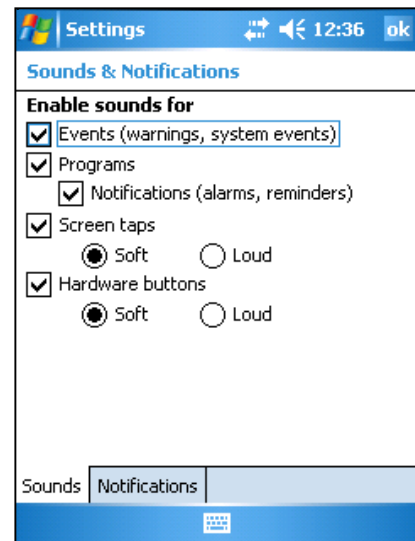
- **Battery status/power.** Tap **Settings**, then tap the **System** tab at the bottom of the screen. Tap **Power** to check the battery status. (You may have to use the scroll bar at the right of the screen and scroll down to see the power icon.) Tap the **Advanced** tab at the bottom of the screen. The setting for “On battery power” should be “Turn off device if not used for **5 minutes**.”



- **Stylus calibration/screen alignment.** There may be times when it appears that your stylus is not tapping on what you're trying to tap. This problem can be corrected by recalibrating the iPAQ to recognize your tap with the stylus. Tap Settings, then tap the System tab at the bottom of the screen. Next, tap Screen. Then, tap the shaded Align Screen box in the middle of the screen. Using the stylus, tap the target symbol on the screen firmly and accurately at each location on the screen. The target will move until the screen is properly aligned. When you have successfully aligned the screen, tap the OK button in the upper-right corner of the screen.



- **Sound/notifications and volume.** Tap **Settings**, then tap the **Personal** tab at the bottom of the screen. Next, tap **Sounds & Notifications**. Tap the **Screen Taps** box, which will initiate a sound. You may change the volume of the sound at any time by tapping the speaker icon (🔊) in the top blue screen bar next to the time and dragging the volume bar to your desired level. (NOTE: You can adjust the sound using this method from any screen on the iPAQ.) Remember that increased volume can increase the drain on the battery and may become disruptive during the interview if set too loud.
- **Additional menu items.** Do not use the other options in the Start or Settings menus without instructions from your Field Supervisor or technical support staff.



5.6 Technical Support

For technical issues with the iPAQ, you should first contact your Field Supervisor. Your Field Supervisor may be able to assist you with your problem quickly. If your Field Supervisor cannot assist you, you should contact technical support staff.

Troubleshooting the iPAQ

The iPAQ is a reliable electronic device, but occasional problems may arise. With a little bit of knowledge, you can often correct the problem yourself.

- The iPAQ interview program is acting erratically.
 - *Reset the iPAQ. If you are in the survey program, exit to the Select Case screen. Tap **Admin**, then tap **Reset iPAQ**, and the system will safely reset. If you are unable to return to the Select Case screen, use the stylus to press the reset button on the bottom of the iPAQ. Doing so will also allow your system to reset safely, without losing data.*
- The SD card popped out.
 - *Do not lose the SD card. Press the card back into the slot. In general, you will not see a message if the SD card is removed or reinserted. The program and data are contained on the iPAQ and saved to the SD card when you exit the program, so the card popping out should not lead to program or data loss.*
- The iPAQ is not able to back up data.
 - *Interview data are backed up to the SD card every time you exit the Case Management System. If the iPAQ is not able to back up the data to the SD card when you try to exit the Case Management System, the following message will appear: “Error backing up database. Please re-insert the storage card to make sure it is securely in place and unlocked. You will have to run the CMS again to back up the database.”*

This message indicates that the Case Management System was not able to back up the data to the SD card. It is very important to take note of this message and attempt to correct the problem immediately to decrease the possibility of lost data.

- First, check to make sure that the SD card is securely inserted into the SD card slot of the iPAQ. If the SD card is available, press it back into the slot and close the error message. As the error message instructs, you will need to open the Case Management System again and then exit the Case Management System to make sure the data are backed up to the SD card. If the SD card is not available, tap **OK**, and the Case Management System will close without backing up the data. Call technical support during their regular business hours to report this situation and to obtain a replacement SD card.
- If, after securing the SD card and opening and exiting the Case Management System again, the error message still appears, check to ensure that the SD card is unlocked. With the iPAQ screen facing you, press down on the SD card to release it from the SD card slot. Remove the card, and turn it so that the slanted corner is in the upper-right corner. On the left side of the card is a small switch. The switch should be set to unlock, which allows the iPAQ to back up the data to the card. Turn the card so that the slanted corner is in the lower-left corner, and, with the iPAQ screen facing you, insert it back into the SD card slot and press down until it clicks in. Open and exit the Case Management System. If you continue to receive the error message, contact technical support.
- The screen contrast is too light or too dark.
 - *You can make several adjustments to correct the screen contrast:*
 - Adjust your viewing angle.
 - Adjust the surrounding light. For instance, try shading the screen with your hand or standing in the shade of a tree.
 - Adjust the backlighting. If the surrounding light is too dark, turn the backlighting on. If the surrounding light is too bright, turn the backlighting off. See **Section 5.5** for instructions on how to adjust the backlighting.
 - Make sure your iPAQ is not too hot or too cold. Extreme temperatures may affect the device.
- The iPAQ will not turn on after changing the battery.
 - *Check to make sure you have inserted the battery correctly as outlined in **Section 5.4**. If the battery was inserted correctly, press the power button, and wait at least 30 seconds. If the iPAQ does not turn on, reset the iPAQ by pressing the reset button on the bottom of the iPAQ with the stylus. If performing a reset does not turn on the iPAQ, connect it to a power source as if you were going to charge it. Once connected to a power source, the iPAQ should turn on.*
 - *If the iPAQ still does not turn on, contact technical support.*

Transmission Problems

See **Chapter 9** for details about transmitting data from your iPAQ. If you continue to experience problems after consulting **Chapter 9**, consult your Field Supervisor. Your Field Supervisor may direct you to contact technical support staff.

Reporting Problems to Your Field Supervisor

If you experience any technical problems, including those that do or do not require you to call technical support, report this information to your Field Supervisor. In your report, remember to include the following:

- pieces of equipment (iPAQ, charger, etc.) that had problems
- application involved (survey program—include the screen name from the top-left corner of the screen, transmission process, etc.)
- description of problem, including any error messages
- description of events leading up to the problem (“I finished collecting data on the household members and then went to add household information...,” “I was on the Select Case screen and tapped....”)

Reporting this information in a timely manner will allow your Field Supervisor to help other Field Interviewers who may be experiencing a similar issue. Doing so will also help keep GATS project staff informed of any technical issues that need to be addressed.

6. Using the IPAQ to Manage Household Assignments and Input Data

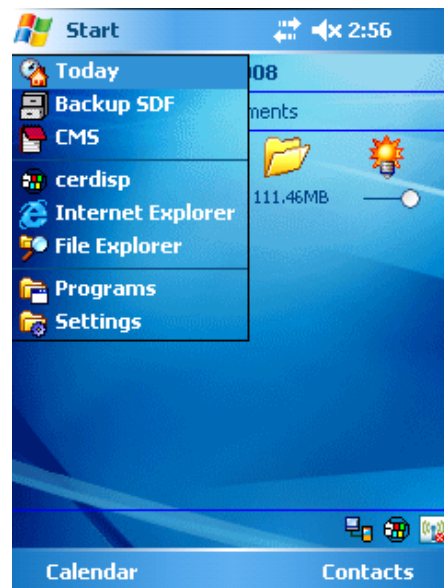
6.1 Introduction

As a Field Interviewer on GATS, you will manage your assignments and conduct interviews using the IPAQ. This chapter describes the various functions programmed into the IPAQ and details on how to begin an interview and record the household status in the Record of Calls.

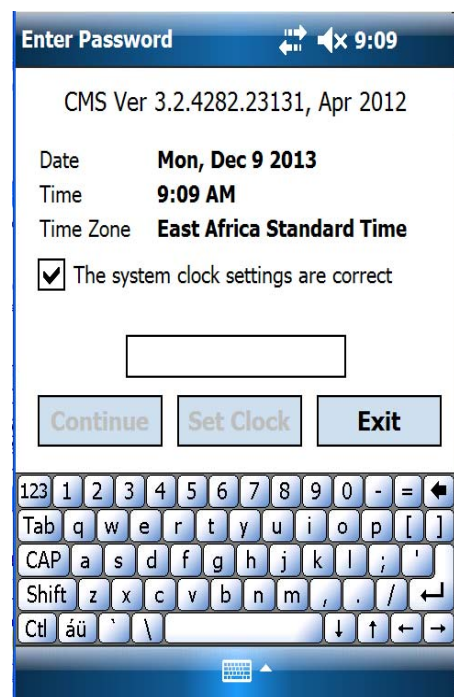
6.2 Case Management System

Before you approach each selected housing unit, prepare the IPAQ by accessing the appropriate questionnaire through the Case Management System.

- Turn on the IPAQ.
- At the Today screen, tap **Start**, then tap **CMS** from the dropdown menu.



At this time, the Enter Password screen appears. Before you enter the password, confirm that the date, time, and time zone are correct on your IPAQ. Your clock and calendar must be correct for many parts of the system to operate correctly. If the date and time settings are correct, tap the box next to “The system clock settings are correct” to insert a checkmark into the box.



If the date and time settings are *not* correct, tap **Set Clock**, and you will be directed to the screen where you can change the date and time on your iPAQ.

Your password will be provided at training. As a security feature, you will see asterisks on the screen when you type your password. Exercise care when entering the password. You have five chances to type the correct password. If you enter the incorrect password five times, the iPAQ will lock you out, and you will have to enter an unlock code to regain access. Supervisors will be provided with daily unlock codes. Note that the unlock code is not case sensitive, and, after successfully unlocking the computer, you will be routed to the password screen where, once again, you will have five chances to enter the password to launch the Case Management System.

Type the password, and tap **Continue**. NOTE: In order to tap **Continue**, you must have checked the box labeled “The system clock settings are correct,” indicating that you have verified these settings.

After entering the password incorrectly five times, you will need an unlock code to regain access to the Case Management System.

The Select Case screen is your starting point for all interviewing and case management tasks on the iPAQ. Each household assigned to you will appear here, along with information to help you identify and locate the housing unit.

At the start of the project, each selected household will have two separate IDs listed on the Select Case screen. The first seven digits of the ID will remain the same for each household, while the last two digits will vary, depending on the type of questionnaire:

- Case IDs ending in “-00” are for the *Household Questionnaire*.
- Case IDs ending in “-01” are for the *Individual Questionnaire*.

As you work each questionnaire, select the appropriate case ID to record the status and to start interviews. Be very careful when updating the Record of Calls. Always ensure that you are updating the Record of Calls for the appropriate questionnaire.

To help you manage your case load, the Case Management System grid is color coded to show three states – Not worked (Black), Pending (Green), and Final (Red).

The date, time, and battery level are all displayed at the top of this screen. It is important to check your battery level before approaching a housing unit. *Do not* approach a housing unit with less than 15% battery power remaining.

Case ID	F #	Event	Struc#	HH#
XX10001-00	0	0	001	001
XX10001-01	1	0	001	001
XX10002-00	0	0	002	002
XX10002-01	1	0	002	002
XX10003-00	0	0	003	003
XX10003-01	1	0	003	003
XX10004-00	0	0	004	004
XX10004-01	1	0	004	004
XX10005-00	0	0	004	007
XX10005-01	1	0	004	007

40 cases

Action Admin View Sort Exit

Do not approach a housing unit with less than 15% battery power.

To see the right-most columns, place the stylus on the scroll bar at the bottom, and slide it to the right. To scroll through the list of all households, use the scroll bar on the right side of the screen. You can also lengthen or shorten the width of any column by lightly pressing your stylus on the edge of the column that you wish to move and dragging it to the desired width.

A detailed description of each column follows.

- **Case ID.** The first column on the left labeled “Case ID” shows the household identification number.
- **Form #** (form number). This column indicates whether the Case Management System entry is for the *Household Questionnaire* (0) or the *Individual Questionnaire* (1).
- **Event.** The latest result code (either pending or final) will be listed here. (See **Chapters 7 and 8** for more information about result codes.)
- **Struc#** (Structure Number). This column contains KNBS Structure Number that was put on the door frame during NASSEP V cluster listing.
- **HH#** (Household Number). This column contains KNBS Household Number that is next to Structure Number on the door frame during NASSEP V cluster listing.

- **Cluster#** (Cluster Number). This column contains KNBS Cluster Number where interviews are to be conducted.
- **EAName**(Enumeration Area Name). This column contains KNBS Enumeration Area Name.
- **County**: This column contains the County Name where the cluster is located

6.3 Select Case Screen Functions

At the bottom of the Select Case screen are several menu items. When you tap on each menu item, a submenu will appear. Each menu and submenu item is discussed below.

Action Menu

The Action menu contains a list of actions that you will perform over the course of a data collection period. Before selecting an item from the Action menu, highlight the questionnaire on which you want to perform the action.

- **Record of Calls.** Select this option to open the Record of Calls screen, where you will record the details of each visit made to the selected housing unit.
- **Start Interview.** Select this option to start the interview program.
- **Edit Address.** This option will not be used for Kenya GATS.
- **View Address Changes.** Select this option to display all address changes made to the selected housing units.
- **Case Notes.** Select this option to make notes about the questionnaire, not about an attempt. If you want to enter a note about an attempt, enter that into the Record of Calls (see first item above).
- **Transmit.** This option will not be used for GATS.

The screenshot shows the 'Select Case' screen with a status bar at the top indicating 'Mon, Dec 9, 2013' and 'Battery:84%'. Below the status bar is a table with columns: Case ID, F #, Event, Struc#, and HH#. The table contains several rows of data. A submenu is open over the table, listing actions: Record of Calls, Start Interview, Edit Address, View Address Changes, Case Notes, and Transmit. At the bottom of the screen, there is a navigation bar with buttons: Action, Admin, View, Sort, and Exit.

Case ID	F #	Event	Struc#	HH#
XX10001-00	0	0	001	001
XX10001-01	1	0	001	001
XX10002-00	0	0	002	002
XX10002-01	1	0	002	002
XX10003-00	0	0	003	003

Record of Calls
Start Interview
Edit Address
View Address Changes
Case Notes
Transmit

Action Admin View Sort Exit

Admin Menu

The Admin menu contains a list of actions that you may need to complete certain administrative tasks.

- **Set Name and ID.** This option is used to set or change Field Interviewer information that is used during transmission. This information is also used in the Record of Calls. Do not change these items unless instructed to do so by technical support. Changing these items can cause problems when transmitting your data.
- **Pending Address Chng Auth Code.** This option will not be used for GATS.
- **Export Data.** This option transfers the data from your Record of Calls and interviews to the SD card.
- **Load Cases.** Use this option to load additional housing unit assignments from an SD card.
- **Reload Training Cases.** Use this option to reload unworked training cases. You can use these households at any time for additional practice. Each time you reload training cases, they will be unworked.
- **Erase Training Cases.** Use this option to remove the training cases from the list of housing units on the iPAQ. You can select "Reload Training Cases" to have them reappear.
- **Reset iPAQ.** Use this option to reset the iPAQ. Like a laptop or desktop computer, handheld devices need to be reset from time to time. If you find that the unit is behaving erratically, reset it by using this option. The iPAQ will safely reset without losing any interview or Record of Calls data.
- **Shrink Database.** Use this option to clean up and compress the database. Use this housekeeping tool only if your Field Supervisor or Technical Support asks you to do so.

Case ID	F #	Event	Struc#	HH#
XX10001-00	0	0	001	001
XX10001-01	1	0	001	001

Set Name and ID

Pending Address Change Auth Code

Export Data

Load cases

Reload Training Cases

Erase Training Cases

Reset iPAQ

Shrink Database

Action Admin View Sort Exit

View Menu

The View menu allows you to view your households in various lists.

- **All.** This options displays all questionnaires, sorted by the basic case ID.
- **Pending.** This option displays pending questionnaires.
- **Completed.** This option displays completed questionnaires.
- **Case Details.** This option displays specific details for the selected questionnaire, including the name and age of the selected respondent (once the screening has been completed), address, and phone number. It is crucial that you check here when making contact with a respondent later in GATS. This option is where you find the name of the respondent selected in the *Household Questionnaire* to complete the *Individual Questionnaire*.
- **Refresh.** This option updates the list of displayed questionnaires based on the current selected view.

The screenshot shows the 'Select Case' menu with the following data:

Case ID	F #	Event	Struc#	HH#
XX10001-00	0	0	001	001
XX10001-01	1	0	001	001
XX10002-00	0	0	002	002
XX10002-01	1	0	002	002
XX10003-00	0	0	003	003
XX10003-01				003
XX10004-00				004
XX10004-01				004
XX10005-00				007
XX10005-01				007

The 'View' menu is open, showing options: All (selected), Pending, Completed, Case Details, Summary Stats, and Refresh. The bottom bar shows '40 cases' and 'Action Admin View Sort Exit'.

Sort Menu

By default, housing units are listed in case ID order, and the two questionnaires (*Household Questionnaire* and *Individual Questionnaire*) will be grouped together by housing unit. However, you can sort questionnaires by the options listed under the Sort menu. The Sort menu is a helpful tool when planning how you will work your assigned housing units.

The Sort menu is helpful in planning how you will work your assigned housing units.

The screenshot shows the 'Select Case' menu with the following data:

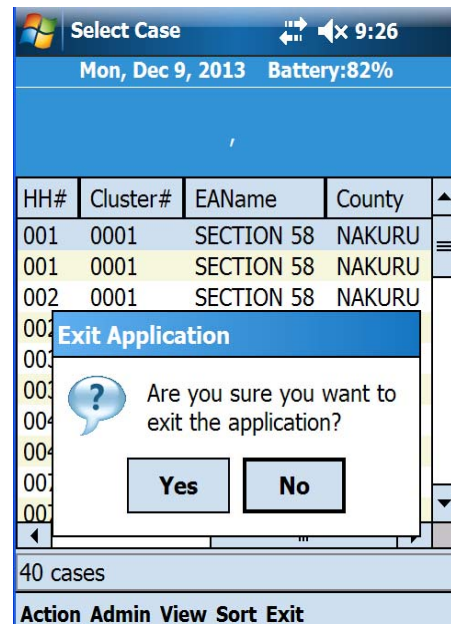
HH#	Cluster#	EAName	County
001	0001	SECTION 58	NAKURU
001	0001	St	AKURU
002	0001	St	AKURU
002	0001	St	AKURU
003	0001	St	AKURU
003	0001	St	AKURU
004	0001	St	AKURU
004	0001	St	AKURU
007	0001	St	AKURU
007	0001	St	AKURU

The 'Sort' menu is open, showing options: Case ID (selected), Street, Evt Code, City, State, Zip/Pin, County, Box #, RR #, and Type. The bottom bar shows '40 cases' and 'Action Admin View Sort Exit'.

Exit Menu

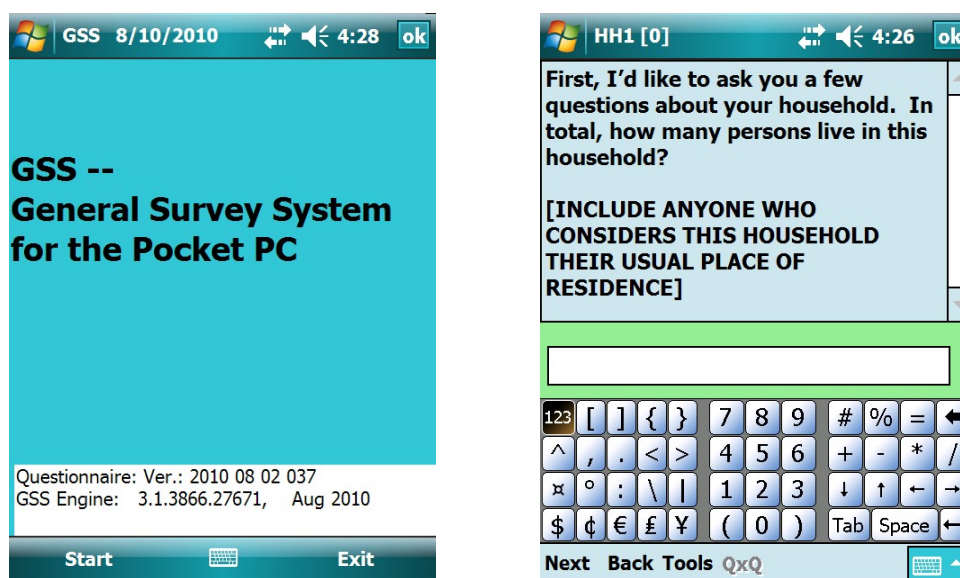
Tap **Exit** to close the Case Management System. A confirmation window will appear. Tap **Yes** to exit the Case Management System and return to the Today screen, or tap **No** to remain in the Case Management System. *You should exit the Case Management System every day when you are finished working in order to protect the data and to keep the information confidential.*

Exit the Case Management System at the end of every day when you have finished working.



6.4 Using the Interview Programs

To begin either the household screening or the individual interview, select a questionnaire from the Select Case screen by highlighting the questionnaire for the appropriate housing unit, tapping the **Action** menu, and selecting **Start Interview**. In a few seconds, the blue GSS:Start screen will appear. Tap **Start GSS** to begin. Doing so will load the introduction screen.



Once you start one of the interview programs, menu options appear at the bottom of the screen (see above).

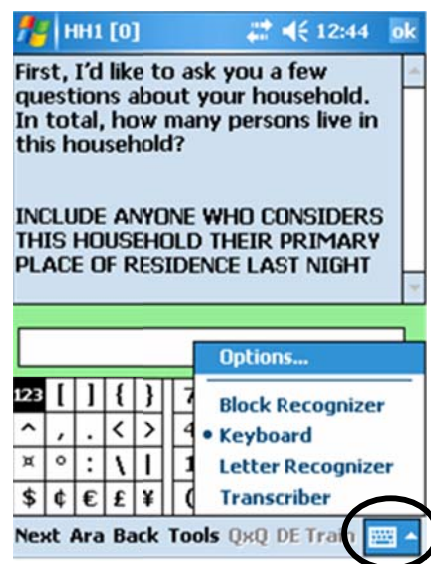
- **Next.** Use this option to advance to the next question after an answer has been selected.
- **Kiswahili/Eng.** Use this option to toggle between the English language and the Kiswahili language questionnaire.
- **Back.** Use this option to go back to the previous question.
- **Tools.** There are several submenu options under this menu:
 - **Note.** This feature will *not* be used in GATS.
 - **Roster.** Use this option to view the roster that you will have completed while screening the household.
 - **Breakoff.** Use this option to break off the interview, if for some reason you are unable to complete it at that time. Note that you must record the proper result code for this attempt. See **Chapters 7** and **8** for details on the available result codes.
 - **Case Info.** Use this option to display the case ID and address for this housing unit.
 - **Fast Forward.** This feature allows you to go to the next unanswered question in the survey. You will need to tap the “Next” option after selecting fast forward from the tools menu.

- **QxQ.** This feature will only be available for some questions and provides additional information that may help you in recording the correct response for the respondent and/or in helping the respondent understand the meaning of the question.
- **DE Train.** This feature will *not* be used in GATS.

6.5 Using the Keyboard

Tapping the rectangular keyboard icon at the bottom of each screen either displays the keyboard or closes it. Tap the keyboard icon once to access the keyboard. Tap it again to close the keyboard. The icon is standard on every screen, even those screens where the survey program does not require an entry from a keyboard.

When the keyboard is visible, an up arrow appears to the right of the keyboard (see right). This up arrow is where you tap to access the keyboard entry options, and where you can switch between the English language keyboard and the Kiswahili keyboard. The small dot to the left of the menu option indicates which keyboard is activated. Make sure the dot is to the left of the keyboard language you want. Otherwise, you will not be able to access the keyboard in the correct language when you need it. Do not use the Block Recognizer, Letter Recognizer, or Transcriber options on this list. Tap the up arrow again to close the Options box.



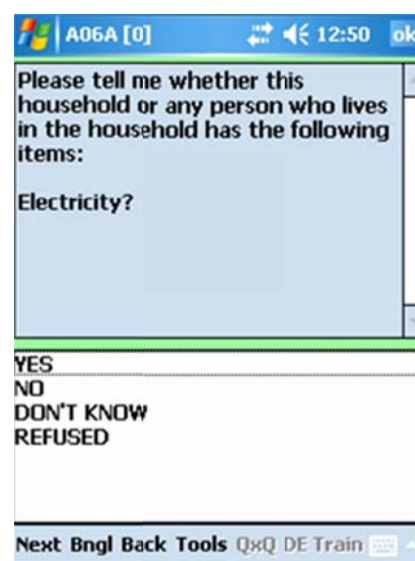
As you tap characters on the keyboard, they will appear in the text box. To delete a character, tap the backspace key, which is the left-facing arrow at the top-right of the keyboard. To move within text, tap on the place within the text where you want the cursor to appear. Alternatively, you can use the backspace key to delete text until you reach the desired location.

6.6 Entering Responses

This section describes how to enter answers to different types of questions. There are four question types in the *Household* and *Individual Questionnaires*: (1) response list, (2) numerical, (3) text entry, and (4) unit and number.

Response Lists

These types of questions require that you select one response from a list of responses. Most of the questions in the *Individual* and *Household Questionnaires* are response list questions. Tap the appropriate response, then tap **Next** at the bottom of the screen.



Numerical response questions require you to enter a number within an acceptable range. To enter a numerical response, tap the appropriate numbers on the keyboard. How to use the keyboard to enter data is outlined in **Section 6.5**. Field Interviewer instructions will be displayed on the screen to instruct you how to enter numerical data for “Don’t Know” and “Refused” responses.

Text Entry

Some of the questions in the *Household* and *Individual Questionnaires* require using the keyboard to enter text answers. For example, in the *Household Questionnaire*, the keyboard is required to enter the first name of each rostered household member. In the *Individual Questionnaire*, some of the questions allow the respondent to specify an answer not already listed. As shown in the example below, likely responses are listed, but, if the respondent does not answer with one of the prespecified choices, select **Other**. The next screen allows you to use the keyboard to input the respondent's answer.

SPECIFY LOCATION

123 1 2 3 4 5 6 7 8 9 0 - =

Tab q w e r t y u i o p []

CAP a s d f g h j k l ; ' "

Shift z x c v b n m , . / ←

Ctl áü ` \ ↓ ↑ ← →

Next Bngl Back Tools QxQ

Unit and Number

A few of the questions in the interview ask the respondent to specify a length of time (e.g., 5 days) or a quantity (e.g., two packs). The answers to these types of questions are entered in two screens. In the first screen, the unit is entered, and in the second screen, the number is entered. In the example below, the respondent answered “2 months” to the question, “Thinking about the last time you tried to quit, how long did you stop smoking?” The unit (months) is entered in the first screen, and the number (2) is entered in the second screen.

D02A [0] 1:04 ok

Thinking about the last time you tried to quit, how long did you stop smoking?

ENTER UNIT ON THIS PAGE AND NUMBER ON NEXT PAGE

MONTHS
WEEKS
DAYS
LESS THAN ONE DAY (24 HOURS)
DON'T KNOW
REFUSED

Next Bngl Back Tools QxQ DE Train

D02B [0] 1:04 ok

(Thinking about the last time you tried to quit, how long did you stop smoking?)

ENTER NUMBER OF MONTHS

2

123 [] { } 7 8 9 # % = < >
^ , . < > 4 5 6 + - * /
x o : \ | 1 2 3 ↓ ↑ ← →
\$ ¢ € £ ¥ (0) Tab space

Next Bngl Back Tools QxQ DE Train

6.7 Range Errors and Validation Checks

In both the *Household Questionnaire* and the *Individual Questionnaire*, you may encounter a couple of different types of error messages. These error messages help to decrease data entry errors and to increase the quality of the data collected.

One type of error message you may receive is a range error. Questions requiring a numerical answer may have a specified range of allowable responses. For example, when the respondent is asked how old they are, a range error will appear if the number entered is less than 15 or more than 125. The respondent must be at least 15 years of age to participate in the survey, and it is highly unlikely that a respondent would be older than 125.

A03 [0] 12:48

How old are you?

IF RESPONDENT IS UNSURE, PROBE FOR AN ESTIMATE AND RECORD AN ANSWER IF RE

Range Error ok

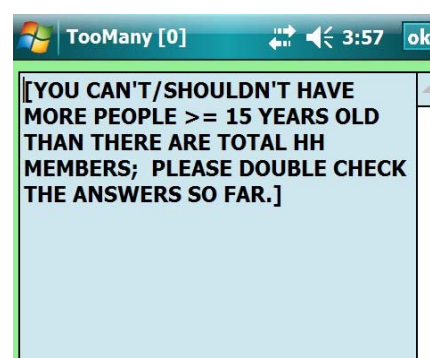
14 This response is outside the allowed range of: 15 - 125 999

14

123 [] { } 7 8 9 # % = < >
^ , . < > 4 5 6 + - * /
x o : \ | 1 2 3 ↓ ↑ ← →
\$ ¢ € £ ¥ (0) Tab space

Next Bngl Back Tools QxQ DE Train

You may also receive an error message if the data entered are not valid. For example, the number of household members 15 years of age or older must be equal to or less than the total number of household members. If the number of household members 15 years of age or older is greater than the total number of household members, the screen below will appear. These error messages alert you that a response entered may be a mistake.



6.8 Record of Calls

The Record of Calls program allows you to document each contact with the housing unit with just a few taps of the stylus. All visits must be documented in the Record of Calls. The iPAQ will automatically assign a code in the Record of Calls when you successfully complete the *Household Questionnaire* (whether an eligible respondent was selected [code 200] or not [code 201]) and when you successfully complete an *Individual Questionnaire* (code 400). (See **Sections 7.6** and **8.5** for details.) All other visits that do not result in a completed interview must be documented in the Record of Calls.

All visits must be documented in the Record of Calls.

To record an attempt, go to the Select Case screen, highlight the row, and select **Record of Calls** from the Action menu. Be sure that you have selected the correct questionnaire, either the *Household Questionnaire* or the *Individual Questionnaire*.

From the Call Record screen, enter a call record as follows:

- Tap the down arrow in the Result field to display the list of pending and final result codes. Tap the appropriate code to highlight it. Result codes are defined in **Chapters 7** and **8**.
- Next, add any comments by tapping the keyboard icon to display the keyboard. Enter information that will be helpful to you or anyone else who visits the household in the future.
- Tap **Update** to save the call record.

Because the date, time, and day of the week are prefilled, it is not necessary to change this information if you enter the call record while you are at the housing unit or leaving the housing unit.

When entering the first call record for a housing unit, a pop-up box will appear indicating that there are no previous call records for this case. If you want to add a call record now, tap **Yes**. If you tapped Record of Calls in error, tap **No** to return to the Select Case screen.

The screenshot shows the 'Select Case' screen with a blue header bar containing 'Select Case', signal strength, and battery status (3:04, 85%). Below the header, the date 'Fri, Apr 4, 2008' and address '1701 1/2 N CLARK ST, CHICAGO, IL 60626' are displayed. A pop-up dialog box titled 'No ROC Record' is centered on the screen. It contains a question mark icon and the text: 'There are no previous call records for this case. Do you want to add a call record now?'. There are two buttons: 'Yes' and 'No'. The background shows a list of cases with status indicators (XX) and a numeric keypad at the bottom.

If it is not the first call record for the questionnaire, the iPAQ displays the Record of Calls screen, where you can view previously entered events or add a new one. To view comments you have entered for any result code, tap the row of the result code, and the comments will display on the bottom portion of the screen.

The screenshot shows the 'Call Record' screen with a blue header bar containing 'Call Record', signal strength, and battery status (3:07). Below the header, the case ID 'XX10003-01' and address '1701 1/2 N CLARK ST' are displayed. A 'Result' dropdown menu shows '309 IQ R not at home'. Below it is a 'Comments' text area containing the text: 'Dawn not home. Will be home tomorrow. Come back Saturday, 4/5/08 at 3:00PM.' A 'Date' dropdown menu shows 'Friday, 4/04/08'. Below the date are fields for 'Hour', 'Minute', and 'AM/PM'. At the bottom, there is a numeric keypad and a row of function keys: 'Update', 'Cancel', and a help icon.

There are two menu items available at the bottom of the Record of Calls screen. The first item is Functions, which contains three submenu items:

- **Add.** Use this submenu item to add a call record for this questionnaire.
- **Edit.** Use this submenu item to edit an existing record. Tap the line of the result you need to edit, then tap **Functions**, and then tap **Edit** to edit a call record. NOTE: You *cannot* edit events that have already been transmitted or interview complete codes that are automatically assigned by the iPAQ.
- **Delete.** Use this submenu item to delete an existing record. NOTE: Only call records that have not been transmitted can be deleted. A pop-up box appears to verify you want to delete the record.

Record of Calls			
XX10003-01 1701 1/2 N CLARK ST			
Result	Date	Day	Time
309 IQ R...	4/4	Fri	3:05 PM

III											
123	1	2	3	4	5	6	7	8	9	0	=
Tab n w l e r t y u i o p []											
Add											
Edit											
Delete											
Functions											
Exit											

NOTE: Instructional help for adding, editing, and deleting attempt records can be accessed via the blue question mark at the bottom of the screen.

The second menu item is Exit, which will return the iPAQ to the Select Case screen when tapped.

The Case Management System is designed to make the recording of accurate and complete data as simple as possible. Entering the Record of Calls data takes only a few steps if you complete the record while leaving the housing unit. This information is important to helping your Field Supervisor and project staff manage your assignments and the entire GATS project.

7. Screening and Respondent Selection: The Household Questionnaire

7.1 Introduction

In this chapter, you will learn how to determine the eligibility of a selected household, to conduct a screening, and to select an eligible respondent—in other words, how to complete the *Household Questionnaire*.

For each assigned household, your first task will be to locate the selected dwelling unit where you will conduct the screening. After locating the selected households, you must determine if the selected household is eligible for GATS. The sample dwelling unit should be an occupied, noninstitutional, residential unit. Group quarters such as homes for the aged, dormitories, or correctional facilities are not eligible for the survey. If you are unsure whether the sample dwelling unit is an ineligible group quarter, consult your Field Supervisor.

Group quarters, such as homes for the aged, dormitories, or correctional facilities, are not eligible for GATS.

Screening is the process of obtaining information about a household to determine if residents are eligible to participate in GATS. The GATS screening process attempts to determine whether any persons 15 years of age or older live in the household.

7.2 Determining Eligibility of Selected Households

A household is considered eligible for GATS if there are any residents 15 years of age or older who consider the household to be their usual place of residence. Although you will not formally verify that all household members consider the selected household to be their usual place of residence, if you are specifically asked whether someone should be considered a resident, follow the guidelines provided to you in the ***GATS Question by Question Specifications***.

A household is eligible for GATS if there are residents 15 years of age or older who consider the household to be their usual place of residence.

The following sections guide you through rostering eligible residents of the household, selecting a respondent, and documenting screening and respondent selection activities. At the end of this section, we provide examples of some situations that you may encounter when attempting to determine household eligibility and how to handle them.

7.3 Introduction and Informed Consent

When approaching the dwelling unit, first double-check the structure/household number listed in the Case Management System. After you have verified that you are at the correct dwelling unit/household, start the Case Management System as outlined in **Section 6.2**. Next, open the *Household Questionnaire* for that household by tapping the case ID you want to open (remember that *Household Questionnaire* case IDs end in “00”). Next, tap the **Action** menu, then tap **Start Interview**. Tapping **Start** on the GSS screen will begin the *Household Questionnaire*. Once the *Household Questionnaire* is cued, you are ready to make contact with the household.

When you visit the household, first introduce yourself to the person who answers the door and let him or her know the purpose of your visit. You should always offer a copy of the GATS Description Letter, which can help explain the purpose of the survey. Your immediate goal is to identify a household resident who is at least *18 years of age* to answer the *Household Questionnaire*.

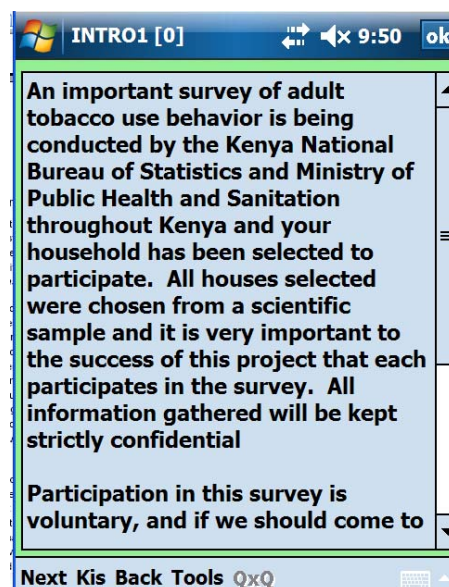
Respondents to the *Household Questionnaire* must be at least 18 years of age, and respondents to the *Individual Questionnaire* must be at least 15 years of age.

If there is not anyone at least 18 years of age at the household when you visit, politely ask when someone at least 18 years of age will be available and make arrangements in your schedule to return at that time. If there is no one at least 18 years of age that lives in the household (referred to as an emancipated minor household), you may proceed with administering the *Household Questionnaire* to a household resident who is less than 18 years of age.

Once you are speaking with the screening respondent, start reading the text on the first screen to the screening respondent (shown below). It is important for you to read this text exactly as it is written because it explains the survey's purpose, tells how the household was selected, and provides assurances of confidentiality.

After reading this information, answer any questions the respondent may have about the survey or the consent information.

The *Household Questionnaire* respondent must be 18 years of age or older.



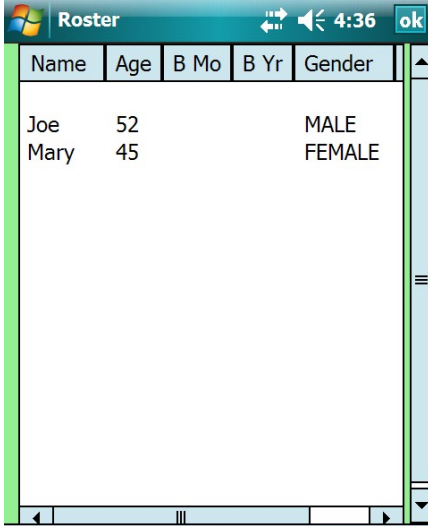
7.4 Rostering the Household

After reading the survey introduction and obtaining verbal or tacit permission to proceed, the next screen begins the rostering process. The *Household Questionnaire* is designed to create a roster of persons who are least 15 years of age and who consider the household to be their usual place of residence. You can view the specific questions that make up this questionnaire in the **GATS Question by Question Specifications** manual.

All screening questions will be displayed on your iPAQ. The screening questions will allow for the random selection of a respondent for the *Individual Questionnaire*. If, for some reason, you get distracted and forget whether or not you've registered a household member, you can check your progress by tapping on the **Tools** menu and tapping again on **Roster**. This screen will list the individuals that you have rostered thus far and their details—age, gender, and smoking status. You need to tap **Back** at the bottom-left corner of the screen to return to the *Household Questionnaire* and continue with the rostering procedure.

The household screening process is the first step in obtaining a completed interview for each selected household. It is extremely important that the screening be done correctly because the survey will not be considered valid and the data will not be considered usable unless all procedures are followed exactly as specified above. If it is determined that eligible individuals within the household were not correctly identified or rostered, you will be required to visit the household again either to re-roster the household or to interview the appropriate individual. For this reason, please take special care to ensure that you have obtained complete and accurate information from the individual answering the screening questions.

If you have a clear understanding of the composition of the household and the eligible members before you begin the rostering process, you will rarely need to make edits. The original data and the data added, deleted, or edited in the roster are retained in the iPAQ and are subject to review by GATS project staff.



Name	Age	B Mo	B Yr	Gender
Joe	52			MALE
Mary	45			FEMALE

7.5 Selecting an Eligible Respondent

After completing the roster, the iPAQ will display the respondent that was randomly selected to complete the *Individual*

The *Individual Questionnaire* must be completed with the household member selected by the iPAQ and no one else from the household.

Questionnaire as shown at right.

At this point in the screening, you will inform the screening respondent of the

selection result and request to speak with that individual. If that person is not available, schedule a time for another visit when you will be able to conduct the interview. Make sure to schedule both a date and a time for the visit.

NOTE: It is *very important* that you conduct the *Individual Questionnaire* with the household member selected by the iPAQ—*do not* conduct the *Individual Questionnaire* with the respondent who completes the screening just because you are already talking to that person.

The screenshot shows a handheld device screen with a status bar at the top displaying 'HH5 [0]', signal strength, and the time '4:38'. The main screen area has a light blue background with black text. It reads: '[NAME OF THE SELECTED ELIGIBLE PERSON IS: John]'. Below this, it says 'ASK IF THE SELECTED RESPONDENT IS AVAILABLE AND IF SO, PROCEED TO THE INDIVIDUAL QUESTIONNAIRE.' and 'IF THE SELECTED RESPONDENT IS NOT AVAILABLE, MAKE AN APPOINTMENT AND RECORD IT AS A COMMENT ON RECORD OF CALLS.]. At the bottom, there are navigation buttons: 'Next', 'Back', 'Tools', and 'QxQ'.

7.6 Updating the Record of Calls

After the *Individual Questionnaire* respondent has been selected and you have exited the *Household Questionnaire*, the iPAQ will automatically code the *Household Questionnaire* as complete and display the Select Case screen. If you are unable to immediately interview the *Individual Questionnaire* respondent, be sure to update the *Individual Questionnaire* Record of Calls with the appropriate result code. Also be sure to note in the Comments the name of the individual selected for the *Individual Questionnaire* and the next appointment date and time. If you were not able to complete the *Household Questionnaire*, the iPAQ will prompt you to update the Record of Calls with the appropriate result code. You should update the Record of Calls as shown in **Section 6.8**.

Record a result code for every visit made to the household that does not result in a completed household interview.

In the Record of Calls, you will record information about each visit you make to the household that does not result in a completed interview, whether or not you speak with someone on that visit. For each attempt you make to screen or interview the household, you will record the following information:

- the date of visit (day and month)
- the result code for the *Household Questionnaire* and/or *Individual Questionnaire*

After every visit that does not result in a completed interview, you must assign a result code reflecting the outcome of that visit. It is extremely important that you keep your Record of Calls current and accurate for each questionnaire. The result codes are split into those reflecting the *Household Questionnaire* events and those reflecting the *Individual Questionnaire* events (see **Chapter 8**).

There are 7 pending household result codes and 10 final household result codes. Pending result codes indicate that further attempts will be made to complete the questionnaire. Final result codes indicate that no further attempts will be made to complete the questionnaire. Although the exact number of attempts to complete both the Household and the *Individual Questionnaires* will be determined in conjunction with your Field Supervisor, it is generally expected that each Field Interviewer will make a *minimum of four attempts* to contact a household before a Field Supervisor grants approval to assign a final result code. In some countries, Field Interviewers may make more than four attempts to contact a household for screening *and* to administer the *Individual Questionnaire*; however, there will be other countries where resources or time constraints will not permit more than four attempts. Due to the importance of obtaining the highest response rate possible on both the Household and *Individual Questionnaire* portions of GATS, we strongly advise that *no fewer than four attempts* be made to contact households.

Do not assign a final result code to an incomplete *Household Questionnaire* without first obtaining permission from your Field Supervisor. The only exceptions to this rule are those final result codes that the iPAQ automatically assigns for you. Codes 200 and 201 will be automatically coded by the iPAQ based on the responses to the *Household Questionnaire* and are not available for you to select from the dropdown menu. All questionnaires assigned a pending result code will be discussed with your Field Supervisor at your regular meetings. If, after consultation with your Field Supervisor, it is determined that further attempts to contact the household will not result in a completed questionnaire, your Field Supervisor will grant approval to assign a final result code. Once a final result code is assigned to a questionnaire, this household will be considered closed out of your assignment, and you will not make future visits to this household.

Do not assign a final result code to an incomplete *Household Questionnaire* without permission from your Field Supervisor.

Codes 200 and 201 will be automatically coded based on responses to the *Household Questionnaire*.

The following example illustrates the use of pending and final result codes. You visit a household in the morning, but no one is home. You enter the appropriate result code (109) into the Record of Calls. You make additional attempts—on different days of the week and at different times of the day—but are still unable to find anyone at home. During one of your visits, a neighbor comes out of his house and mentions that he thinks the family is away visiting relatives but isn't certain when they will return. In your regular meeting with your Field Supervisor, you discuss your efforts to make contact with the household. After a careful review of your efforts, you and your Field Supervisor determine that it is unlikely you will be able to complete this interview and decide to assign this household a final result code of 209, Final Nobody Home, and make a note in the comments that no one was at home after several attempts. Now that you have assigned a final result code to this questionnaire, no future visits to the household will be made.

Once a questionnaire is assigned a final result code (see **Exhibit 7-1**), the questionnaire will be locked and cannot be opened again without an unlock code. If you attempt to start an interview that has been assigned a final result code, you will be prompted to enter an unlock code. Use extreme caution in opening any questionnaire that has been assigned a final result code.

Questionnaires coded with a final result code require an unlock code to open them again.

Should circumstances require you to open a final-coded questionnaire, you will need to reconfirm each question in the interview by tapping the **Next** button. If you do not reconfirm the answer to each question, the interview data will be coded as invalid. Once the questionnaire has been reopened it will automatically be coded 887, Reopened Final Coded Questionnaire, and a comment must be entered as to why the questionnaire was reopened. The questionnaire cannot remain as code 887. It must be assigned another result code.

Exhibit 7-1 shows the result code, the full description of the code, and the abbreviated description shown in the iPAQ's Record of Calls.

Exhibit 7-1. Household Questionnaire Result Codes

Code Number	Description	Record of Calls Display
Pending Household Questionnaire Codes		
102	Completed Part of Household Questionnaire, Could Not Finish Roster	Break-off: HQ not complt
103	Household Questionnaire Not Complete, Could Not Identify an Appropriate Screening Respondent	HH Screening R not avail
104	Household Refusal	HH Refusal
105	Unoccupied/Vacant/Demolished House	Unoccupied/Vacant
106	Selected Address Is Not a Household	Selected Address not HH
108	Other Household Nonresponse	Other HH Nonresponse
109	Nobody Home	Nobody Home
Final Household Questionnaire Codes		
200	Completed Household Questionnaire, One Person Selected	Complt HH—1 Selected
201	Completed Household Questionnaire, No One Selected	Complt HH—0 Selected
202	Completed Part of Household Questionnaire, Could Not Finish Roster	Final Break-off: HQ not complt
203	Household Questionnaire Not Complete, Could Not Identify an Appropriate Screening Respondent	Final HH Screening R not avail
204	Household Refusal	Final HH Refusal
205	Unoccupied/Vacant/Demolished House	Final Unoccupied/Vacant
206	Selected Address Is Not a Household	Final Selected Address not HH
208	Other Household Nonresponse	Final Other HH Nonresponse
209	Nobody Home	Final Nobody Home
887	Reopened Final Coded Questionnaire	Quex Reopened

Explanation of Codes

Pending Household Questionnaire Codes

Code 102: Completed Part of Household Questionnaire, Could Not Finish Roster. This result code is used when the *Household Questionnaire* was started with the screening respondent but was stopped before a respondent was selected for the *Individual Questionnaire*. Therefore, the *Household Questionnaire* is incomplete. Note in the Record of Calls Comments the last question administered before breaking off the screening and the reason for the break-off.

Code 103: Household Questionnaire Not Complete, Could Not Identify an Appropriate Screening Respondent. This result code is used when contact was made with the household but no one 18 years of age or older was home to interview for the *Household Questionnaire*. An attempt should be made to determine when a household member 18 years of age or older will be home so that further attempts can be made to administer the *Household Questionnaire*. This result code is also used if you are unable to conduct a household screening because there is no one else available to speak with except an incapacitated resident. An incapacitated respondent is one who is not physically or mentally able to respond meaningfully to the questions. Examples are respondents who are ill; who have speech disorders or are deaf; have pronounced mental retardation, autism, or psychosis; or who are intoxicated. These households may or may not have survey eligible respondents.

Code 104: Household Refusal. This result code is used when contact was made with a household and a member of the household refused to participate in the *Household Questionnaire*. Be sure to specify the household member's reason for refusing to participate.

Code 105: Unoccupied/Vacant/Demolished House. This result code is used when the housing unit is not occupied by any residents. If the housing unit is not obviously unoccupied (e.g., boarded up), verify with neighbors that no one is living at the dwelling unit. This result code should also be used when the household listed at the dwelling unit has been demolished. Specify if the housing unit was either unoccupied or demolished.

Code 106: Selected Address Is Not a Household. This result code is used when the household/dwelling unit selected does not meet the requirements of a household as outlined in **Chapter 1** (for example, if the selected dwelling unit is determined to be an ineligible group quarters such as a home for the aged or a business).

Code 108: Other Household Nonresponse. This code is used for unforeseen circumstances that do not fall into any of the other numbered codes. Be sure to specify the reason for assigning this result code.

Code 109: Nobody Home. This result code is used when you attempted contact with a household to administer the *Household Questionnaire* but you were not able to speak with any member of the household.

Final Household Questionnaire Codes

Code 200: Completed Household Questionnaire, One Person Selected. This result code is coded automatically for you by the iPAQ after the *Household Questionnaire* is complete and one person from the household has been selected as the *Individual Questionnaire* respondent. The Household Questionnaire is considered complete if the roster is completed.

Code 201: Completed Household Questionnaire, No One Selected. This result code is coded automatically for you by the iPAQ after the *Household Questionnaire* is complete. This result code is coded automatically when responses to the *Household Questionnaire* indicated that no one 15 years of age or older resides in the household, and/or no one considered the household to be their usual place of residence. (If gender pre-randomization is being used by a country, this code will also apply if the household was assigned to males (females) and no males (females) reside in household.)

Code 202: Completed Part of Household Questionnaire, Could Not Finish Roster. This result code is used when the *Household Questionnaire* was started with the screening respondent but was stopped before a respondent was selected for the *Individual Questionnaire*. Additional attempts will not result in a completed *Household Questionnaire*, and the *Household Questionnaire* will remain incomplete.

Code 203: Household Questionnaire Not Complete, Could Not Identify an Appropriate Screening Respondent. This result code is used when contact was made with the household but no one 18 years of age or older was home to interview for the *Household Questionnaire* or there is no one else available to speak with except an incapacitated resident. Additional attempts will not result in identifying an appropriate screening respondent and completion of the *Household Questionnaire*.

Code 204: Household Refusal. This result code is used when a member of the household refused to participate in the *Household Questionnaire* and it is determined that additional attempts to contact the household will not result in a completed *Household Questionnaire*.

Code 205: Unoccupied/Vacant/Demolished House. This result code is used when the housing unit is not occupied by any residents, or if the housing unit listed has been demolished.

Code 206: Selected Address Is Not a Household. This result code is used when the household/dwelling unit selected does not meet the requirements of a household as outlined in **Chapter 1** (for example, if the unit is determined to be an ineligible group quarters such as a home for the aged or a business).

Code 208: Other Household Nonresponse. This result code is used for unforeseen circumstances that do not fall into any of the other numbered codes. However, your Field Supervisor will have final approval about whether this code is acceptable for the questionnaire.

Code 209: Nobody Home. This result code is used when repeated attempts were made to contact a household, no one was home, and it was determined that additional attempts will not result in a completed *Household Questionnaire*.

Code 887: Reopened Final Coded Questionnaire. This result code is coded automatically for you by the iPAQ after you have entered the unlock code to reopen a questionnaire that was coded with a final result code. Specify the reason that the questionnaire was reopened.

Make every effort to assign the correct result code for each call you record in the Record of Calls. Again, assignment of all final result codes, with the exception of those that are automatically coded for you by the iPAQ, must be discussed with your Field Supervisor.

The screen at right presents an example Record of Calls for a *Household Questionnaire*.

For this household, the Field Interviewer recorded that no one was home on the first visit and that the *Household Questionnaire* was partially completed on the second visit. On the third visit, the *Household Questionnaire* was completed. Notice that the most recent result code is always displayed first.

Pay special attention to any households you believe will result in nonresponse (for example, repeated visits where no one is home, repeated visits where no respondent is available, dwelling units you are unable to locate, and pending refusals). Be alert to these situations, and discuss them with your Field Supervisor. Field Supervisors will closely monitor all non-interview result codes so that, together, you can plan the best approach for successfully resolving these assignments.

Result	Date	Day	Time
200	4/4	Fri	1:02 PM
102 Brea...	4/3	Thu	10:40 AM
109 Nob...	4/2	Wed	1:35 PM

Troubleshooting Household Eligibility Issues

Exhibit 7-2 shows some situations you may encounter when attempting to determine household eligibility and how you should handle them.

Exhibit 7-2. Examples of Household Eligibility Issues

Situation	How to Handle
Household is not a usual residence (e.g., may be a vacation home).	If no one in the household considers the household to be their usual residence, you should enter "0" in the first <i>Household Questionnaire</i> question, as there are no eligible persons who consider this dwelling unit their usual residence. This questionnaire will be coded automatically with result code 201 in the CMS system. This is considered a completed screening.
More than one family resides at the dwelling unit/household selected, and there is a separate kitchen for each family.	This group of families qualifies as two households, given that there is a separate kitchen for each family. In this case select the household whose head is listed in the frame. Otherwise, select one household randomly by lottery method.
The structure/household number matches but initial listed household has moved to another dwelling and there are new occupants	You take the new occupants as the target sampled household.

7.7 Importance of the Household Questionnaire to the Response Rate

While it is extremely important that you complete as many *Individual Questionnaires* with selected respondents as you can, the *Household Questionnaire* is of equal importance in obtaining a high response rate. Because GATS is designed to have a screening interview followed by an individual interview, *both interviews together* factor into the final response rate.

The overall response rate is computed as the product of the screening rate and the individual interview rate. For example, if you are only able to successfully screen 50% of the households you are assigned, even if you successfully interview 100% of the selected respondents in these households, the response rate will be only $50\% \times 100\%$, or 50%. With a survey as

important as GATS, all countries are striving to achieve the highest response rates possible, preferably at least 85%. Field Interviewers are expected to complete *Household Questionnaires* with 98% of all selected households and *Individual Questionnaires* with 90% of all selected household members. Your ability to successfully complete *Household Questionnaires* is therefore *critical* to your country's ability to achieve results that are representative of your country's population.

Both the *Household Questionnaire* and the *Individual Questionnaire* are factored together in the final response rate.

8. Administering the Individual Questionnaire

8.1 Introduction

This chapter discusses the steps required to administer the *Individual Questionnaire*. Please keep in mind as you read this chapter that it deals with the *Individual Questionnaire interview*, not the *Household Questionnaire* screening. Although there will be many similarities between your behavior during a screening and during an interview, there are differences as well.

Achieve high response rates and efficiency by always completing the individual interview as soon as possible after completing the household screening.

8.2 Preparation for Household Visits

The best way to achieve high response rates and to be efficient is *always* to complete the individual interview as soon as possible after you have completed the household screening. This guideline is especially true if the screening respondent is the person selected for the interview. However, in many instances, you will interview a respondent who was *not* the screening respondent, and you will have to explain the survey and the interview to this person.

Case Details will display the name and age of the respondent selected to complete the *Individual Questionnaire*.

If you must revisit the household to contact the selected interview respondent, be sure to ask the screening respondent when would be the best time for you to return to speak with the interview respondent. Before you return, review the Record of Calls to familiarize yourself with the household and the name and age of the selected respondent, and to refresh your memory about previous visits (refusal, respondent was busy, etc.). Case Details will display the name and age of the respondent selected by the *Household Questionnaire* to complete the *Individual Questionnaire*. Before approaching the household, be sure that the *Individual Questionnaire* is cued on the iPAQ. To start the *Individual Questionnaire*, tap the questionnaire you want to open (remember that *Individual Questionnaire* case IDs end in “01”). Next, tap the **Action** menu, then tap **Start Interview**. Tapping **Start** on the GSS screen will begin the *Individual Questionnaire*.

Be prepared to describe and to explain the survey to interview respondents using the information in **Chapters 1 and 3** and the materials that you will bring to each respondent’s home. It is very important that you provide appropriate and honest answers to questions.

Under ideal circumstances, you should interview the respondent in a well-lighted, reasonably quiet room, without distraction from other people. It is preferable to interview the respondent alone and in a private setting that will allow the respondent to feel comfortable responding honestly to the questions. However, cultural norms should guide whether or not it is possible to interview the respondent alone. As you ask the questions, follow the specific guidelines outlined in the ***GATS Question by Question Specifications*** manual. Make use

Conduct the interview in a private environment. Cultural norms should guide whether or not it is possible to interview the respondent alone.

of all proper interviewing techniques outlined in **Chapter 4**, maintaining a professional, task-oriented approach. Please give special attention to any Field Interviewer instructions displayed on the screen as you administer the questions.

8.3 Informed Consent Procedures

When you attempt to complete the *Individual Questionnaire*, first determine if the selected respondent is a minor (between 15 and 17 years of age) by examining the Case Details. The first question of the *Individual Questionnaire* in the iPAQ will ask you if the selected respondent is 15 to 17 years of age, 18 or older, or an emancipated minor. Upon selecting the appropriate response, the iPAQ will lead you through the appropriate consent procedure given the selected respondent's age. If the selected respondent is a minor, ask to speak to the parent or guardian of the selected respondent. Parental consent must be obtained before seeking assent from the minor respondent. Parental consent can be obtained in the presence of the minor or without the presence of the minor. If the minor is present, read the parental consent information and answer any questions the parent or guardian may have about their minor's participation in the survey. After obtaining the consent of the parent or guardian, obtain assent from the minor respondent. If the minor is not present, you may still obtain parental consent and then schedule a time to return to obtain assent from the minor.

Parental consent must be obtained before seeking assent from a respondent between 15 and 17 years of age.

If the minor is emancipated (i.e., is self supporting, married, or a parent themselves), parental consent is not required. You may proceed with obtaining consent from the respondent. If the selected respondent is 18 years of age or older, the screen will display the consent information to be read to the respondent.

When obtaining consent from a parent, minor respondent, or adult respondent, it is important for you to read the consent information exactly as it is written because it explains the survey's purpose, the respondent's right to refuse to participate or to answer any question, and provides assurances of confidentiality.

Before you can accept a respondent's consent to complete the interview, you must be sure that we have provided to the respondent's satisfaction all the information necessary to make an informed and knowledgeable decision. Once you have answered the respondent's questions and they have consented to participate in the interview, you will affirm in the iPAQ that the respondent has agreed to participate and continue the interview.

Read the consent information exactly as it is written.

In some countries, paper consent forms are necessary to satisfy country-specific ethical review committee standards. Example paper consent forms are shown in **Exhibit 8-1** (Parental Consent Form), **Exhibit 8-2** (Adult Consent Form), and **Exhibit 8-3** (Minor Assent Form). If the selected respondent is 18 years of age or older, the Adult Consent Form should be used. If the selected respondent is 15–17 years of age, parental consent must be obtained from a parent or guardian and assent must be obtained from the selected minor. If the selected respondent is an emancipated minor, the Adult Consent Form should be used.

A form with contact information for the implementing agency and the local ethical review committee should be left with all respondents. An example is provided in **Exhibit 8-4**.

Kenya Global Adult Tobacco Survey Parental Consent Form

Kenya National Bureau of Statistics and Ministry of Health

Date: ____ / ____ / ____

I am working with **Kenya National Bureau of Statistics and Ministry of Health**. These institutions are doing a survey about tobacco use in Kenya. This information will be used for planning public health programs by the Ministry of Health.

Your household and your child have been selected at random. Your child's responses are very important to us and the community. These answers will represent many other persons. The interview will last approximately 30 minutes. Your child's participation in this survey is entirely voluntary. If you or your child decide not to participate, you will not lose any services that you would normally receive. There is no penalty if you do not participate.

The information that your child will provide will be kept strictly confidential, and your child will not be identified by his/her responses. Personal information will not be shared with anyone else, not even other family members, including you. Your child can withdraw from the survey at any time and may refuse to answer any question.

We don't expect any risks to your child or you from participating in this survey. There will not be any direct benefits to your child or you, but the results will help the Ministry of Health plan public health programs for the country.

We will leave the necessary contact information with you. If you have any questions about this survey or your child's rights as a participant, you can contact the telephone numbers listed.

If you agree to your child's participation in this survey, we will conduct a private interview with him/her.

Your signature below indicates you have read (or been read) this form, understand that your child's participation is voluntary, and agree with his/her participation.

PARENT OR GUARDIAN SIGNATURE: _____

DATE: _____

Exhibit 8-2. Example GATS Adult Consent Form

Kenya Global Adult Tobacco Survey Adult Consent Form

Kenya National Bureau of Statistics and Ministry of Health

Date: ____ / ____ / ____

I am working with **Kenya National Bureau of Statistics and Ministry of Health** and these institutions are doing a survey about tobacco use in Kenya. This information will be used for planning public health purposes by the Ministry of Health.

Your household and you have been selected at random. Your responses are very important to us and the community. These answers will represent many other persons. The interview will last approximately 30 minutes. Your participation in this survey is entirely voluntary. If you decide not to participate, you will not lose any services that you would normally receive. There is no penalty if you do not participate.

The information that you will provide us will be kept strictly confidential, and you will not be identified by your responses. Personal information will not be shared with anyone else, not even other family members. You can withdraw from the survey at any time and may refuse to answer any question.

We don't expect any risks to you from participating in this survey. There will not be any direct benefits to you, but the results will help the Ministry of Health plan public health programs for the country.

We will leave the necessary contact information with you. If you have any questions about this survey or your rights as a participant you can contact the telephone numbers listed.

If you agree to participate, we will conduct a private interview with you.

Your signature below indicates you have read (or been read) this form, understand that your participation is voluntary, and agree to participate.

SIGNATURE: _____ DATE: _____

Exhibit 8-3. Example GATS Minor Assent Form (Ages 15-17)

Kenya Global Adult Tobacco Survey Adult Consent Form

Kenya National Bureau of Statistics and Ministry of Health

Date: ____ / ____ / ____

I am working with **Kenya National Bureau of Statistics and Ministry of Health** and these institutions are doing a survey about tobacco use in Kenya. This information will be used for planning public health purposes by the Ministry of Health

Your home and you have been selected at random. Your responses are very important to us and the community. These answers will represent many other persons. The interview will last approximately 30 minutes. Your participation in this survey is entirely voluntary. If you decide not to participate, you will not lose any services that you would normally receive. There is no penalty if you do not participate. The information that you will provide us will be kept strictly confidential, and you will not be identified by your responses. Personal information will not be shared with anyone else, not even your family members. You can withdraw from the survey at any time and may refuse to answer any question.

We will leave the necessary contact information with you. If you have any questions about this survey or your rights as a participant you can contact the telephone numbers listed.

If you agree to participate, we will conduct a private interview with you.

Your signature below indicates you have read (or been read) this form, understand that your participation is voluntary, and agree to participate.

SIGNATURE: _____ DATE: _____

Exhibit 8-4. Example GATS Contact Information Form

Kenya Global Adult Tobacco Survey Contact Information

Date: ____ / ____ / ____

If you have questions about this survey you can contact the following telephone number from our institution:

Director General,
Kenya National Bureau of Statistics,
Tel Number: 020-340929

8.4 The GATS Individual Questionnaire

The GATS *Individual Questionnaire* surveys a respondent's use, knowledge, awareness, and perceptions of tobacco products. The content of each section of the *Individual Questionnaire* is briefly described below:

The *Individual Questionnaire* surveys a respondent's use, knowledge, awareness, and perceptions of tobacco products.

- background characteristics (age, gender, education, and household characteristics)
- tobacco smoking (frequency of use, age when started smoking, types of tobacco products smoked)
- smokeless tobacco use (frequency of use, age when first started using smokeless tobacco, types of smokeless tobacco used)
- cessation (smoking cessation attempts, types of cessation aids, whether received cessation advice from a health care provider)
- secondhand smoke (exposure to secondhand smoke, inside and outside the home, indoors and outdoors)
- economics (money spent on tobacco, types of cigarettes purchased, places cigarettes purchased)
- media (exposure to media and smoking advertisements)
- knowledge, attitudes, and perceptions (beliefs about health effects of tobacco use)

You can view the specific questions that comprise this questionnaire in the ***GATS Question by Question Specifications*** manual.

8.5 Updating the Record of Calls

At the end of the interview, thank the respondent for spending time with you and for contributing to the success of this important survey. After exiting the *Individual Questionnaire*, the iPAQ will automatically code the questionnaire as complete (code 400) and display the Select Case screen. If you were not able to complete the *Individual Questionnaire*, the iPAQ will prompt you to update the Record of Calls with the appropriate result code. (Note that the program will not allow you to update the Record of Calls for an *Individual Questionnaire* unless the *Household Questionnaire* is completed and set as 200.) You should update the Record of Calls as shown in **Section 6.8**.

Thank the respondent for contributing to the success of GATS.

As stated in **Chapter 7**, after every visit that does not result in a completed interview, you must assign a result code reflecting the outcome of that visit. It is extremely important that you keep your Record of Calls current and accurate for each questionnaire.

There are six pending individual result codes and nine final individual result codes. Pending result codes indicate that further attempts will be made to complete the questionnaire. Final result codes indicate that no further attempts will be made to complete the questionnaire. As mentioned in **Section 7.6**, the exact number of attempts to complete both the Household and the *Individual Questionnaires* will be determined in conjunction with your Field Supervisor. However, it is generally expected that each Field Interviewer will make *a minimum of four attempts* to contact the selected respondent before a Field Supervisor grants approval to assign a final result code.

Record a result code for every visit made to the household that does not result in a completed *Individual Questionnaire* interview.
Make a minimum of four attempts to complete the *Individual Questionnaire*.

Do not assign a final result code to an incomplete *Individual Questionnaire* without obtaining permission from your supervisor. The only exceptions to this rule are those final result codes that the iPAQ automatically assigns for you. Codes 400 and 401 will be automatically coded by the iPAQ based on the responses to the *Household Questionnaire* and the *Individual Questionnaire*. These codes are not available for you to select on the dropdown menu. All questionnaires assigned a pending result code will be discussed with your Field Supervisor at your regular meetings. If, after consultation with your Field Supervisor, it is determined that further attempts to contact the household will not result in a completed questionnaire, your Field Supervisor will grant approval for you to assign a final result code. Once a final result code is assigned to a questionnaire, this household will be considered closed, and you will not visit this household again.

Do not assign a final result code to an incomplete *Individual Questionnaire* without permission from your Field Supervisor.

Once a questionnaire is assigned a final result code (see **Exhibit 8-5**), the questionnaire will be locked and cannot be opened again without an unlock code. If you attempt to start an interview that has been assigned a final result code, you will be prompted to enter an unlock code. Use extreme caution when opening any questionnaire assigned with a final result code. If circumstances require you to open a final-coded questionnaire, you will need to reconfirm each question in the interview by tapping the **Next** button. If you do not reconfirm the answer to each question, the interview data will be coded as invalid. Once the questionnaire has been reopened, it will automatically be coded 887, Reopened Final Coded Questionnaire, and a comment must be entered as to why the questionnaire was reopened. The questionnaire cannot remain as code 887. It must be assigned another result code.

Exhibit 8-5 shows the result code, the full description of the code, and the abbreviated description shown in the iPAQ's Record of Calls.

Exhibit 8-5. Individual Questionnaire Result Codes

Code Number	Description	Record of Calls Display
Pending Individual Questionnaire Codes		
302	Completed Part of Individual Questionnaire	Break-off: IQ Not Complt
303	Selected Individual Was Later Determined to Be Survey Ineligible	IQ R Ineligible
304	Selected Respondent Refusal	IQ R Refusal
307	Selected Respondent Incapacitated	IQ R Incapacitated
308	Other Individual Nonresponse	Other IQ Nonresponse
309	Selected Respondent Not Home	IQ R Not at Home
Final Individual Questionnaire Codes		
400	Completed Individual Questionnaire	Completed IQ
401	Not Eligible for Individual Questionnaire	No IQ R Selected
402	Completed Part of Individual Questionnaire	Final Break-off: IQ not complt
403	Selected Individual Was Later Determined to Be Survey Ineligible	Final IQ R Ineligible
404	Selected Respondent Refusal	Final IQ R Refusal
407	Selected Respondent Incapacitated	Final IQ R Incapacitated
408	Other Individual Nonresponse	Final Other IQ Nonresponse
409	Selected Respondent Not Home	Final IQ R not at home
887	Reopened Final Coded Questionnaire	Quex Reopened

Explanation of Codes

Pending *Individual Questionnaire* Codes

Code 302: Completed Part of *Individual Questionnaire*. This result code is used when the *Individual Questionnaire* was started with the selected respondent but was stopped before the respondent completed the interview. Therefore, the *Individual Questionnaire* is incomplete. Note in the Record of Calls the last question administered before breaking off the interview and the reason for the break-off.

Code 303: Selected Individual Was Later Determined to Be Survey Ineligible. This result code is used when the selected *Individual Questionnaire* respondent is not 15 years of age or older, and/or the selected respondent does not consider the household to be their usual place of residence. (If gender pre-randomization is being used by a country, this code will also apply if the household was assigned to males (females) and the respondent is not of the correct gender.)

Code 304: Selected Respondent Refusal. This result code is used when the household member selected to complete the *Individual Questionnaire* refused to participate. Be sure to specify the selected respondent's reason for refusing to participate.

Code 307: Selected Respondent Incapacitated. This result code is used if you were unable to interview the selected respondent for the *Individual Questionnaire* because he or she is incapacitated. An incapacitated respondent is one who is not physically or mentally able to respond meaningfully to the questions. Examples are respondents who are ill; have speech disorders or are deaf; have pronounced mental retardation, autism, or psychosis; or are intoxicated. Be sure to specify the reason for assigning this result code.

Code 308: Other Individual Nonresponse. This result code is used for unforeseen circumstances that do not fall into any of the other numbered result codes. Be sure to specify the reason for assigning this result code.

Code 309: Selected Respondent Not Home. This code is used when contact was made with the household but the respondent selected for the *Individual Questionnaire* was not home. An attempt should be made to determine when the selected respondent will be home so that further attempts can be made to administer the *Individual Questionnaire*.

Final *Individual Questionnaire* Codes

Code 400: Completed *Individual Questionnaire*. This result code is automatically coded for you by the iPAQ after the last question of the *Individual Questionnaire* has been administered.

Code 401: Not Eligible for *Individual Questionnaire*. This result code is automatically coded for you by the iPAQ when the outcome of the *Household Questionnaire* indicates that the household is not eligible for the *Individual Questionnaire*. Specifically, this code is applied when no one was selected for the *Individual Questionnaire* (code 201) or the *Household Questionnaire* was not completed and no further visits will be made to attempt to complete the *Household Questionnaire* (code 202, 203, 204, 205, 206, 208, or 209).

Code 402: Completed Part of *Individual Questionnaire*. This result code is used when the *Individual Questionnaire* was started with the selected respondent but was stopped before the respondent completed the interview. Therefore, the *Individual Questionnaire* is incomplete and additional attempts will not result in a completed *Individual Questionnaire*.

Code 403: Selected Individual Was Later Determined to Be Survey Ineligible. This code is used when the selected *Individual Questionnaire* respondent is not 15 years of age or older, and/or the selected respondent does not consider the household to be their usual place of residence last night. Additional attempts will not result in a completed *Individual Questionnaire*. (If gender pre-randomization is being used by a country, this code will also apply if the household was assigned to males (females) and the respondent is not of the correct gender.)

Code 404: Selected Respondent Refusal. This result code is used when the household member selected to complete the *Individual Questionnaire* refused to participate and it was determined that additional attempts to contact the selected respondent will not result in a completed *Individual Questionnaire*.

Code 407: Selected Respondent Incapacitated. This result code is used if you were unable to interview the selected respondent for the *Individual Questionnaire* because he or she is incapacitated and additional attempts will not result in a completed *Individual Questionnaire*.

Code 408: Other Individual Nonresponse. This result code is used for unforeseen circumstances that do not fall into any of the other numbered result codes. However, your Field Supervisor has final approval about whether this code is acceptable for the questionnaire.

Code 409: Selected Respondent Not Home. This code is used when repeated attempts were made to contact a selected respondent and the respondent was not at home and it was determined that additional attempts will not result in a completed *Individual Questionnaire*.

Code 887: Reopened Final Coded Questionnaire. This result code is coded automatically for you by the iPAQ after you have entered the unlock code to reopen a questionnaire that was coded with a final result code. Specify the reason that the questionnaire was reopened.

9. Transmitting Data Using SD CARDS

Every time that you use the iPAQ to conduct an interview or enter a result code in the Case Management System's Record of Calls, the data are stored in the iPAQ's internal memory, much the same as any other type of computer. These data will need to be sent back to the Central Office so that you, your Field Supervisor, and GATS project management staff can use the data to closely monitor data collection efforts. In addition, transmitting the interview data back to the Central Office protects against data loss, should anything happen to your iPAQ while you are in the field. For these reasons, you must transmit data according to the timetable you have worked out with your Field Supervisor.

Interview and result code data must be sent back to the Central Office so that project management staff can monitor data collection and protect against data loss.

To transmit data using SD cards, you will need to:

- export data to the SD card,
- fill out a Material Transmittal Form, and
- send the SD card and Material Transmittal Form to project staff via post, courier, or your Field Supervisor.

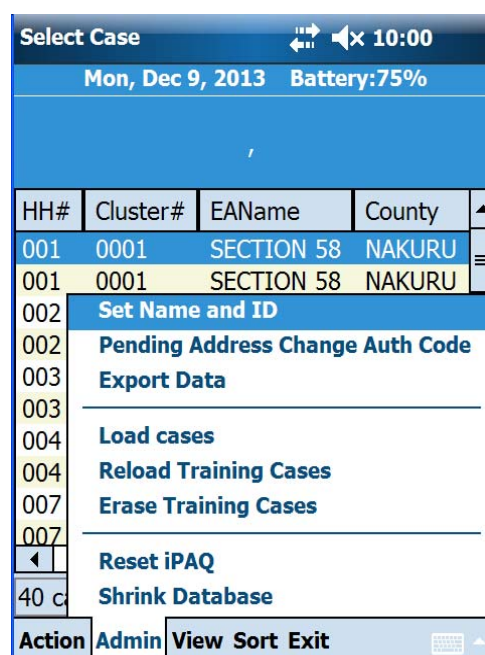
9C.1 Export Data to the SD Card

To export data to the SD card, you will need to perform the following steps:

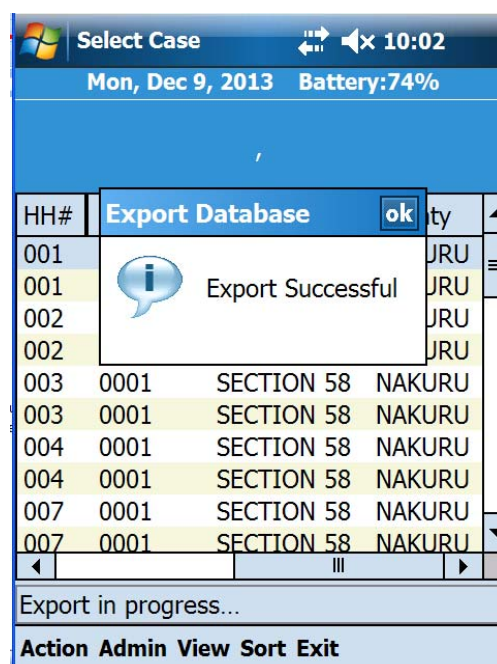
1. Check to be sure that the SD card is set to the unlock position. When the plastic tab is in the up position, as shown below, the SD card is unlocked, and data can be exported onto the card.
2. Insert the SD card into the card expansion slot at the top of the iPAQ. Make sure the card is inserted fully so that the top of the card is flush with the iPAQ.
3. At the **Today** screen, tap Start, then tap CMS **from the dropdown menu**.
4. Confirm that the system clock settings are correct, and enter your password to launch the GATS Case Management System program.



5. From the Select Cases screen, tap the **Admin** menu at the bottom of the screen, then tap **Export Data**.



A dialog box tells you that the export was successful. Tap **OK** to exit and return to the Select Case screen.



If the export was unsuccessful, you will see this error message: “Error backing up database. Please reinsert the storage card to make sure it is securely in place and unlocked. You will have to run the CMS again to back up the database.” If you see this message, tap **OK**. Doing so will take you to the Case Management System password screen.

Once you are back at the Case Management System password screen, remove the SD card, confirm that the tab is set to the unlocked position, replace it securely in the SD card slot, and repeat steps 4 and 5 above. If you continue to get an error, contact your Field Supervisor.

You should avoid editing events in the Record of Calls and changing interview data in the *Household Questionnaire* and the *Individual Questionnaire* after you have exported data. Changing events and/or data after data have been exported and transmitted may cause inconsistencies in the final data file when all information is aggregated together.

Avoid editing events and interview data after you have exported data.

9C.2 Material Transmittal Form

You need to complete a Materials Transmittal Form anytime an SD card leaves your possession. This form helps to maintain a chain of custody for all materials, including the SD card, and records the details of the materials being transmitted. In the Item Description column, record, if applicable, the ID number written on the SD card and the time and date that you exported data onto the SD card.

Exhibit 9C-1 is an example of a properly completed Material Transmittal Form.

Completing a Materials Transmittal Form any time an SD card leaves your possession.

Exhibit 9C-1. Example of Completed Materials Transmittal Form

MATERIALS TRANSMITTAL FORM					
Package <u>1 of 1</u>			Date Shipped: <u>11/06/2008</u>		
From: <u>Jane Smith (ID 23557)</u>			To: <u>John Brown , Field Supervisor</u>		
	Quantity	Item Description		Quantity	Item Description
1.	1	SD card number 113; data exported 10 June 15:30	11.		
2.			12.		
3.			13.		
4.			14.		
5.			15.		
6.			16.		
7.			17.		
8.			18.		
9.			19.		
10.			20.		

9C.3 Sending SD Card

Make sure the SD card and the Materials Transmittal Form are enclosed in a properly sealed envelope and send the envelope to GATS project staff via post or courier, or give it directly to your Field Supervisor. Timely transmission and receipt of the data is vital to proper management of the GATS project. If, at any time, you have concerns that the transmission method worked out with your Field Supervisor is not reliable for the area in which you are working, contact your Field Supervisor immediately.

9C.4 New Assignments and Transfers

Your Field Supervisor may need to assign new questionnaires to your assignment as GATS fieldwork progresses. Your Field Supervisor should contact you prior to making any changes in your assignment and provide you with an SD card that will load the new questionnaires to your iPAQ. The following steps provide instruction on adding questionnaires to your assignment via an SD card:

- Remove the SD card that is in your iPAQ and return the SD card to your Field Supervisor as soon as you are practically able to.
- Insert the new SD card with the new questionnaires into your iPAQ. Make sure the SD card is inserted completely and is flush with the top of the iPAQ.
- At the Today screen, tap **Start**, then tap **CMS** from the dropdown menu. Enter your password to get to the main Select Case screen in the Case Management System.
- Tap the **Admin** menu at the bottom of your screen, and then tap **Load Cases**.

The newly assigned questionnaires should now be part of your assignment and listed in the Case Management System. If, after loading questionnaires from the SD card onto your iPAQ, you notice an unexpected change in the assignments listed in your Case Management System, contact your Field Supervisor to discuss the change.

If you are unable to add a new household to your assignment using an SD card, you can add new questionnaires to your assignment manually using the follow steps:

- Select one of the unassigned *Household Questionnaires* in the iPAQs Case Management System. These are the same unassigned *Household Questionnaires* you use when you sample a new household according to the Missed Housing Unit Procedures outlined in **Section 3.5**. All unassigned questionnaires will have identification numbers beginning with “9” for easy identification. Use the first available unassigned *Household Questionnaire* that matches the sex of the household you are adding to your assignment. If you are unsure which sex to choose, consult your Field Supervisor. Do not guess.

- Edit the address of the unassigned *Household Questionnaire* on the iPAQ and add the address information of the household you want to add. Tap the unassigned questionnaire to highlight the row, tap the **Action** menu, and then tap **Edit Address**. You will need to enter the address of the new household in the Edit Address screen, and then tap **OK** in the upper-right corner when you are done. Once the address has been edited for the *Household Questionnaire*, it will automatically be updated in the corresponding *Individual Questionnaire*.

In addition to assigning new *Household Questionnaires*, the SD cards may be used to remove unworked questionnaires on your iPAQ so that they may be transferred to another Field Interviewer. Alternatively, your Field Supervisor may ask you manually to close the *Household Questionnaire* and *Individual Questionnaire* for a given household so that they can be transferred to another Field Interviewer to work.

All additions and/or subtractions to your assignment will need to be documented on your paper Assignment Control Form (see **Exhibit 11-1**). If there are any changes to your assignment, you must update the information on your Assignment Control Form as appropriate (see **Section 7.6** and **Section 8.4**).

10. Quality Control

10.1 Introduction

Quality control is important at all stages of the data collection process. Your ability, preparedness, and willingness to properly perform your data collection tasks are the most important components of the overall quality control process. This chapter discusses the quality control procedures that are in place to help you do your job to the best of your ability.

10.2 Practice, Monitoring, and Evaluation at Training

During the Field Interviewer training session, it is the project staff's responsibility to present you with all the information you will need as a Field Interviewer. You will be given detailed training on using the iPAQ, locating households, and conducting the screening and individual interviews, as well as training on all administrative procedures. An essential part of this training is to provide you with hands-on practice. By the end of the training session, you will have been able to practice every step involved in being an effective Field Interviewer.

To make sure that the training program is properly preparing you for your assignment, project staff will monitor your performance throughout the sessions. The purposes of monitoring are (1) to provide you with more opportunities to ask questions and learn how to do your job well and (2) to enable project staff to evaluate your preparedness for the field. Project staff will observe you conducting practice household screenings, individual interviews, and other tasks.

You will be given training on the following:

- using the iPAQ
 - locating households
 - conducting screenings and interviews
 - administrative procedures
-

Once you have been able to practice and ask questions about the process, the training staff will evaluate your performance during the exercises and give you prompt feedback. You will be evaluated on these areas:

- explanation of the survey
- familiarity with information materials
- presentation skills, including reading and pacing the questions and maintaining eye contact
- skills in gaining cooperation
- familiarity with procedures for missed housing units
- use of iPAQ equipment
- knowledge of data transmission procedures
- reading of the informed consent to respondents
- administration of the *Household Questionnaire* and *Individual Questionnaire*
- recording of administrative data

This evaluation will help the staff determine how well they have done their job of training you and how well you have listened and practiced during the training session.

10.3 Verification of Interviews

To provide continuing feedback to you and to assess the quality and accuracy of household screenings and individual interviews, your work will be subject to a verification process. We must be certain that *all* data collection procedures are being implemented properly. To verify your work, your Field Supervisor will conduct verification interviews of randomly selected finalized households. All finalized households will be subject to verification.

Field Supervisors will perform verification interviews of randomly selected finalized households.

All the Interviewers should undertake to perform the Services with the highest standards of professional and ethical competence and integrity. The Bureau shall terminate this contract if it finds the Agent's work unsatisfactory or he/she is involved in a case of indiscipline.

10.4 Field Supervisor Visits

Periodically during the data collection period, your Field Supervisor may accompany you on your visits to screen and/or interview households to observe that all procedures are being carried out in accordance with the survey protocol. The purpose of these observational visits will be to make sure that all questions are being asked accurately and that all procedures are being followed. Your Field Supervisor will not intervene as you administer the *Household Questionnaire* or *Individual Questionnaire*. He or she will give you feedback at the end of the interview. These visits will provide an excellent opportunity for you to ask your Field Supervisor—an experienced Field Interviewer—how you might continue to enhance your interviewing skills.

Field Supervisors will conduct observation visits to ensure that data collection procedures are performed properly.

10.5 Data Quality

The validity of the survey will depend on the quality of the data collected. Throughout data collection, GATS staff will perform a number of steps to assess quality. In addition to making sure field staff adhere to survey procedures, we will closely monitor the quality of the interview data. Specifically, GATS staff may do any or all of the following:

- Review data from key interview items to identify any potential problems with interview routing or “missing” data.
- Identify questions with higher than expected rates of “don’t know” or “refused” responses.
- Identify questions with higher than expected rates of “other” responses, rather than one of the precoded answer choices.
- Review any “other, specify” responses to ensure that appropriate data are in a form that can be easily coded and do not duplicate one of the precoded options.
- Examine timing data to ensure that interviews are being completed in an efficient, reasonable time.

- Monitor time-per-household and cost-per-household data to ensure efficiency in travel time and effectiveness in time management.

To ensure that we collect the highest quality data possible, you must adhere to GATS data quality procedures. Of particular importance are strictly adhering to general questionnaire administration procedures and trusting the iPAQ instruments.

General Questionnaire Administration Procedures

Throughout this manual, a number of references have been made to the techniques you must use to administer interviews properly. Deviating from these prescribed techniques *negatively affects* data quality. For this reason, we stress again the key procedures listed below:

- Have your ***GATS Field Interviewer Manual*** readily available and refer to it as needed to make sure you are completing tasks as directed.
- Read all questions and answer choices exactly as they are written. Do not suggest answers or in any way bias the respondent's interpretation of, or answer to, the question.
- Use the probing techniques described earlier in this manual to elicit more accurate and complete responses. Be careful, however, that you do not appear to pass judgment on, or agree or disagree with, the respondent's comments.

Trust the Instrument

Remember that you are to administer every item that the iPAQ displays and that *you are to read questions and answer choices exactly as they appear on the screen*, even if the question numbers appear to be out of order. Some countries added additional questions, which affected the sequential question numbering; however, these questions are programmed in the correct order. Trust the program to guide you accurately through the interview and provide the appropriate question.

Trust the program to guide you through the interview.

11. Administrative and Reporting Protocols

11.1 Introduction

Knowing and carefully following administrative procedures is important to the success of the survey. Accurate reporting of your time, expenses, and progress is an important aspect of your role as a Field Interviewer. This chapter describes basic communication and administrative duties that you will have as a Field Interviewer on GATS.

Your Field Supervisor is your direct manager.

11.2 Your Field Supervisor

Your Field Supervisor is your direct manager. Your Field Supervisor has full authority to manage staff and will follow established, written guidelines in working with you and other Field Interviewers. You will work closely with your Field Supervisor to determine your household assignments, to develop strategies to gain participation, to review questions that come up during interview administration, and to submit any required paperwork. Communicate regularly with your Field Supervisor as you work your assigned households.

11.3 Recording and Reporting Your Time and Expenses

11.4 Disposition of Assignments

After each visit to a household, you must make an entry in the iPAQ's Record of Calls. Your Field Supervisor or GATS project staff may also request that you record the outcome of calls on your paper Assignment Control Form (see **Exhibit 11-1**). Note that making updates to the Assignment Control Form is not a substitute for making the entry in your iPAQ.

The Assignment Control Form is organized by household, with a space to record the outcome of each visit to the household to complete the *Household Questionnaire* and the *Individual Questionnaire*. The result codes that you enter after each attempt should match the result codes entered in the iPAQ Record of Calls. (See **Sections 6.8** and **7.6** for an explanation of result codes.) In the example below, the Field Interviewer first visited the household on 15 May, 2008, but no one was home to conduct the *Household Questionnaire*. The Field Interviewer returned later in the day and was able to complete the *Household Questionnaire*, and a respondent was selected. However, at that time, the selected respondent was not home. The Field Interviewer inquired when the respondent might be home, returned the next day, and was able to complete the *Individual Questionnaire* with the selected respondent.

Exhibit 11-1. Example GATS Assignment Control Form

GLOBAL ADULT TOBACCO SURVEY (GATS)
ASSIGNMENT CONTROL FORMField Interviewer Name: John SmithField Interviewer ID: 56893Case ID: 8810003Date Assigned: 14 May 08

Address:

123 Elm Street
Los Angeles
California
Postal Code
{address field 5}

	Date	HH Q.	IND Q.
1	15 May	109	
2	15 May	200	309
3	16 May		400
4			
5			

	Date	HH Q.	IND Q.
6			
7			
8			
9			
10			

	Date	HH Q.	IND Q.
11			
12			
13			
14			
15			

Case ID: _____

Date Assigned: _____

Address:

{address field 1}
{address field 2}
{address field 3}
{address field 4}

	Date	HH Q.	IND Q.
1			
2			
3			
4			
5			

	Date	HH Q.	IND Q.
6			
7			
8			
9			
10			

	Date	HH Q.	IND Q.
11			
12			
13			
14			
15			

Case ID: _____

Date Assigned: _____

Address:

{address field 1}
{address field 2}
{address field 3}
{address field 4}
{address field 5}

	Date	HH Q.	IND Q.
1			
2			
3			
4			
5			

	Date	HH Q.	IND Q.
6			
7			
8			
9			
10			

	Date	HH Q.	IND Q.
11			
12			
13			
14			
15			

You should receive an Assignment Control Form with the details of each of the households in your assignment already filled out. However, if you need to add households to the form, you can add them to the blank spaces at the end of your Assignment Control Form. In the Case ID field, enter the first seven digits of the case ID that are common to the *Household Questionnaire* and the *Individual Questionnaire* assigned to that household. Also record the date this household was added to your assignment and the information for the household.

11.5 Use of Passwords and Unlock Codes

As part of GATS confidentiality and quality control procedures, you will need to enter in a password or unlock code to:

- gain access to the Case Management System,
- unlock the Case Management screen after entering the password incorrectly five times, and
- unlock a questionnaire that has been assigned a final result code.

To protect confidential information and respondents' answers to survey questions, Field Interviewers will need to enter a password to gain access to the Case Management System, the central point for managing household assignments and starting interviews (see **Section 6.2**).

To help safeguard against unauthorized use of the iPAQ and a potential breach of respondent confidentiality, a special unlock code will be required to unlock the Case Management System if five incorrect passwords are entered on the main Enter Password screen (see **Section 6.2**). This code will only unlock the system and will redirect you back to the main Enter Password screen, at which time you will again have five chances to correctly enter the Case Management System password.

To protect confidential information, a password is needed to gain access to the Case Management System.

Additionally, interviewers will need to enter an unlock code to re-open any questionnaires that have been assigned a final result code (see **Sections 7.6** and **8.5**). You should not often need to re-open a questionnaire that has been assigned a final result code, and you should only do so after close consultation and agreement with your Field Supervisor. If you re-open a questionnaire that has been assigned a final result code, you will need to go through the entire interview by tapping **Next** to reconfirm the answers and refinalize the interview. Once a questionnaire is re-opened, all answers to the questionnaire are automatically set to "unconfirmed." Failure to confirm all the answers by going through each screen of the questionnaire will cause difficulties in the data processing stage.

An unlock code is needed to re-open any questionnaire assigned a final result code.

Once the questionnaire has been reopened, it will automatically be coded 887, Reopened Final Coded Questionnaire, and a comment must be entered as to why the questionnaire was reopened. The questionnaire cannot remain as code 887. It must be assigned another result code.

11.6 Regular Meetings with Your Field Supervisor

You and your Field Supervisor will set up a time for regular reporting meetings. During these meetings, you will discuss your progress, problems, and plans for the upcoming workweek. You can assist your Field Supervisor by being prepared for the meeting. By carefully documenting your field activities, you and your Field Supervisor will be able to accurately report your progress, problems, and plans.

You will have regular meetings with your Field Supervisor to discuss progress, problems, and plans for the upcoming workweek.

During any given meeting with your Field Supervisor, you will review:

- your hours and expenses;
- your production;
- problem interviews, non-interviews, or refusal cases (be prepared to review what happened with each of these cases);
- locating issues;
- any supplies you need before your next meeting (e.g., GATS Description Letter, Question and Answer Brochures);
- plans for the upcoming week to help you meet goals and deadlines; and
- ways to improve data quality.

These one-on-one meetings are the best time to communicate any problems and successes to your Field Supervisor. Your Field Supervisor is your best advocate on this survey. He or she cannot help you be successful unless you communicate your concerns and needs. Remember that your Field Supervisor wants you to be successful and that it takes a team effort to succeed.

In preparation for your regular meetings, you should update your progress on both the *Household Questionnaire* and the *Individual Questionnaire* on your Assignment Control Form.

In the first column, you should record the IDs of all households you have been assigned. Before each meeting, you should review each household in the iPAQ's Case Management System and record the most recent result code for each household on the Assignment Control Form, so that you can quickly provide summary information on *each* household to your Field Supervisor. (See **Exhibit 11-1** for an example Assignment Control Form.) For each meeting, you must report the status of the *Household Questionnaire* and *Individual Questionnaire* for each household listed.]

11.7 Transmitting Materials

When submitting materials to project staff, you should include a Materials Transmittal Form (see **Exhibit 11-2**). The Materials Transmittal Form will be used to track materials as they are transferred from one staff member to another. This form is in

Use a Materials Transmittal Form to track materials as they are transferred from one staff member to another.

duplicate. You should place the top copy in the package of materials being transferred and keep the bottom copy for yourself. The Materials Transmittal Form serves several purposes. First, the form creates a record of who has held and currently holds project materials. Second, it allows the receiver of the package to verify that all materials that should have been transmitted are actually in the package. All received package contents should be checked against the list of materials on this form to ensure that all materials were included. Third, in the event that the entire package is lost, or if one or more items do not make it to their destination, the Materials Transmittal Form will provide information about what materials may have been lost.

Exhibit 11-2. Example Materials Transmittal Form

MATERIALS TRANSMITTAL FORM					
Package ____ of ____			Date Shipped: ____/____/20____		
From: _____			To: _____		
	Quantity	Item Description		Quantity	Item Description
1.			11.		
2.			12.		
3.			13.		
4.			14.		
5.			15.		
6.			16.		
7.			17.		
8.			18.		
9.			19.		
10.			20.		

12. Data Security and Confidentiality

12.1 Introduction

Data collected through this survey are confidential. It is your responsibility as a professional Field Interviewer to maintain the integrity and confidentiality of the data entrusted to you. This chapter outlines the procedures and protocols for all Field Interviewers to ensure data security and confidentiality.

At training, you will be asked to sign a GATS Statement of Confidentiality (see **Exhibit 2-1**), which certifies that you will carry out all project procedures precisely. Your signature on this agreement will affirm your understanding of project policies and your agreement to comply with all of them.

12.2 Security of Data and Equipment

Detailed protocols have been developed that reduce the risk of compromising the confidentiality of survey participants and the security of the data. The loss of equipment and the data that reside on the hard drive of the iPAQ and any SD cards that may be used is a serious concern. The following sections describe several methods to help you protect the data and equipment.

Unauthorized access or loss of materials and equipment could compromise the confidentiality of survey participants.

Safeguarding Data and Equipment in the Field

You have the *legal* and *ethical* obligation at all times to safeguard participant confidentiality and to secure the following materials and equipment from unauthorized access or use:

- information found on paper forms (e.g., your Assignment Control Form)
- iPAQ equipment (including data residing on the hard drive and any SD cards that may be used)

Of these, the most sensitive type of data are paper forms, because paper materials could contain identifying information that can easily be read by anyone. Because of this danger, *you are not permitted to write respondent names anywhere on your Assignment Control Form or on any other paper materials.* All notes concerning a respondent's name should only be made in your iPAQ.

It is of paramount importance that Field Interviewers be particularly careful about maintaining the security of the iPAQ device itself. Similarly, the SD card that is located in the top of the device must be kept secure at all times. Remember that all interview data currently on the iPAQ are recorded onto this small card, which can easily pop out and be lost if proper care isn't taken to keep it secure. Even though the data are encrypted and password protected, great care must still be taken by Field Interviewers to ensure that the iPAQ and SD cards are not lost.

Store all project materials and equipment in a secure location when not in use, even at home. Do not store iPAQs, extra SD cards, paper forms, or other materials or equipment in your car overnight, even in a locked trunk. In addition to the increased risk of theft, keeping the iPAQ and SD cards in a car often exposes them to extreme temperatures, which can harm the device and cards.

Safeguarding Data and Equipment in the Field Interviewer's Home

At home, securely store all materials and equipment out of sight of family members and visitors. Additionally, **iPAQs must never be used by anyone but you**. Passwords should never be written down, affixed to the iPAQ, or made available to anyone.

Safeguarding Data and Equipment in the Respondent's Home

You are responsible for ensuring the security of your equipment and all project materials. At the end of each interview, make sure you have all of your materials and equipment with you. While you can carry materials for multiple households with you to improve efficiency and minimize travel costs, you must prevent the inadvertent disclosure of confidential information associated with other households in your assignment. When working, keep materials for other households out of sight.

Keep all project materials and equipment secure at all times.

If you are in a respondent's home, do not let survey participants view the Case Management System display, which could list participant-specific information. Avoid carrying materials for other households into a respondent's home, when possible. Store materials related to other households out of the respondent's or other household members' sight. Also, do not discuss specific households or participants with anyone other than your Field Supervisor or other authorized project personnel.

When preparing to leave the respondent's home, conduct a careful check of all your materials and other belongings to ensure you are leaving with all items and equipment, including any project management forms and the iPAQ.

Safeguarding Data and Equipment When Traveling

When traveling by road (e.g., car or jeep) *during the day*, store all materials in the locked trunk, out of sight. Never leave the iPAQ or SD cards in your car overnight, even in a locked trunk.

When traveling by air, never check your iPAQ or SD cards as luggage. You must take them with you as carry-on luggage to reduce the chances of damage or loss. Never allow anyone to inspect your iPAQ or any SD cards unless they have presented official airport security identification. Beware of imposters who might try to trick unwary travelers into allowing them access to or control of their equipment. Also, beware of two-person or larger teams working to get between you and your iPAQ as you pass through security checkpoints.

Protecting Passwords

All iPAQs, case management applications, and data collection applications are password protected. Only authorized Field Supervisors and Field Interviewers can use the iPAQs. You must protect the passwords. *Do not* carry a written copy of the passwords with your survey materials, and do not affix the passwords to the iPAQ, give the passwords to others, or leave the passwords where others can find them.

Using Personal E-mail Accounts

Do not use personal e-mail accounts to send or receive confidential survey information. Personal e-mail accounts may only be used to discuss nonconfidential information, such as rescheduling a conference call or requesting a resupply order. When in doubt, call your Field Supervisor to discuss any survey information.

Field Supervisors should not send e-mail with confidential information to your personal account unless it is absolutely necessary to provide a back-up when there are time-sensitive or urgent matters to communicate. If a personal e-mail account is used, the message must not contain any confidential information.

Do not:

- affix the password to the iPAQ,
 - give the password to anyone,
 - carry a written copy with survey materials, or
 - leave the password where others can find it.
-

12.3 Reporting Unanticipated Problems Involving Data Security and Confidentiality

An unanticipated problem is defined as any activity that potentially compromises the confidentiality of survey participants and the security of the data. An unanticipated problem may constitute the loss or theft of any confidential information that involves risks to survey participants. Loss or theft of the iPAQ, any SD cards containing interviews or preloaded information, and any paper documents containing sample information is considered an unanticipated problem. Similarly, the electronic transmission of any confidential information through your personal e-mail is considered an unanticipated problem.

An unanticipated problem is any activity that potentially compromises the confidentiality of survey participants and the security of the data. Unanticipated problems must be reported to your Field Supervisor.

Other situations may also constitute an unanticipated problem. If you are unsure whether a situation needs to be reported as an unanticipated problem, ask your Field Supervisor.

Communication protocols for reporting the loss or theft of physical survey materials and equipment have been developed. If you lose any survey materials or equipment that contain confidential information, notify your Field Supervisor by phone as soon as you realize something is missing. Whatever the situation may be, you must contact your Field Supervisor immediately. You can take time to search for any missing items after you have notified your Field Supervisor.

Your Field Supervisor will contact GATS project staff about the potential loss. If you are unable to reach your Field Supervisor, please contact the ICT personnel whose telephone numbers you will be given during training.

Be prepared to give your Field Supervisor as much information as possible about the loss or theft. Your Field Supervisor will need (1) a detailed description of the incident; (2) a comprehensive list of missing equipment, materials, and data for each affected household; and (3) identifying information, if any, that was in the materials (e.g., participant names). If your iPAQ is missing, your Field Supervisor will need to know whether the iPAQ password information was included in any of the missing materials. Your Field Supervisor will let you know if any further documentation of the loss is necessary.

12.4 Monitoring Field Staff Compliance with Data Collection Protocols

Field staff compliance with all the data collection protocols will be monitored closely. To minimize follow-up efforts with field staff on any possible noncompliance of protocol, *be proactive about reporting any justifiable circumstances or situations that prohibit you from performing tasks according to protocol*. There should be constant communication between Field Interviewers and their Field Supervisors and between Field Supervisors and Central Office project staff.

12.5 Retrieving Materials and Equipment When Field Staff Leave the Project

All equipment is the property of the GATS project. When you leave the project, your Field Supervisor will be responsible for ensuring that all survey materials and equipment are promptly returned.

Your Field Supervisor will keep an inventory of all materials and equipment that are in your possession, including your iPAQ and any SD cards. Your Field Supervisor will closely monitor the return

of all materials and equipment. Appropriate follow-up action will be taken if items are not returned within a specified period of time. This will include deducting your last payments to cater for the loss of the items.

All equipment is the property of the GATS project and must be returned at the end of the survey.

Best wishes for success with your important work!

Appendix A: Interviewer Tips

DOs

- **Make a good impression by being prepared and organized.**

Make a good impression by being prepared for interviewing activities. This demonstrates your professionalism and increases the likelihood that households will participate in the survey. If you are thoroughly familiar with the survey and procedures and have all the materials you need, you can complete assignment activities quickly without sacrificing accuracy.

- **Maintain communication with your supervisor.**

Regular communication with your supervisor ensures that you stay on track to complete your assignments on time and according to specified procedures. Your Field Supervisor can provide advice for completing difficult cases and tips for improving your Field Interviewer skills.

- **Be courteous and sympathetic to concerns.**

Interviewers often work long hours in difficult conditions, but it is important to meet each household or potential respondent with a courteous attitude. Be sympathetic to concerns and answer questions honestly and with confidence. Although surveys are commonplace to you, some people might have questions about why you are visiting them and about the survey process in general. Your demeanor will go a long way toward establishing trust and rapport.

- **Be positive and persuasive, but not aggressive.**

Be businesslike, courteous, and confident. A Field Interviewer who is too passive will not be as successful at motivating people to participate as one who is confident. You must be prepared to convince the resident of the survey's importance by explaining its purpose and the participant's role in it. Be positive in your outlook. Assume that people will be interested and want to participate. Approaching a household or a respondent with an air of apology or defeat can sometimes trigger a refusal. Do not, however, become aggressive. Bullying residents into participating is not appropriate.

- **Be proactive.**

Identify and address problems early. Preempt trouble by looking ahead and being prepared. Don't delay or wait for problems to improve on their own. When in doubt, discuss issues with your Field Supervisor before they become a problem.

- **Listen.**

Listen carefully to the participant's comments, and try to determine the basis for his or her concerns or objections. Then, target your responses to those concerns or objections. Listening is one of the most important skills of successful Field Interviewers.

- **Be flexible and keep to the schedule.**

Respondents are being generous by sharing their time and thoughts with us. It is important that you keep all scheduled appointments. If you show up for a scheduled appointment and the respondent isn't there or is too busy to keep the appointment, be flexible and find a time when you both can meet.

- **Take care of your iPAQ and survey equipment.**

Although the iPAQs are sturdy, they are not indestructible. Take care to keep the iPAQ dry and to protect it from dusty environments whenever possible. Use only the provided stylus to tap on the iPAQ screen. Using a pen or some other device may damage the iPAQ. Also, only a light touch is needed. Be patient with the iPAQ's operating speed. Forcefully jabbing the iPAQ screen won't make the device work faster.

- **Maintain accurate records.**

The GATS project team relies on information from you to correctly manage the survey and to interpret the survey results. Be thorough when recording the outcome of each visit to a household or respondent, even if you have no direct contact with a person. Keep both the iPAQ's Case Management System and the paper Assignment Control Form up to date. Stay current with all your reporting responsibilities.

- **Be open to feedback about your performance.**

Everyone on the GATS project wants you to be a successful Field Interviewer. After all, the data rely on the good work that you do. Be open to improving your technique. Be open to discussing your performance with your Field Supervisor, and accept advice on ways to improve your performance even more.

- **Trust the iPAQ program.**

The iPAQ program has been thoroughly tested to perform correctly and to ask the appropriate questions to respondents. Don't second guess the iPAQ, instead trust that it is walking you through the correct procedures. Read the questions and answer choices exactly as they appear on the screen and do not paraphrase the question or change the words, even when it is your intent to help the respondent.

- **Record the respondent's complete answer.**

Some questions require you to type the respondent's answers to questions. For these questions, you must record the respondent's complete and full answer. Don't worry about trying to clean up the respondent's grammar or try to minimize colloquialisms or words. Also, don't paraphrase the response. Do the best you can to record the full answer exactly as it was spoken. If you are unsure if you have captured what the respondent said, simply say, "I want to make sure I got your full answer. Is this correct?," and then read the answer you have to the respondent. Doing so allows the respondent to make any edits necessary.

- **Interview the respondent in a private environment.**

For the *Individual Questionnaire*, make every effort to interview the respondent in private, so that others cannot hear the interview. Privacy ensures the confidentiality of the respondent's answers and allows the respondent to be honest in his or her answers. If possible, it is best to interview in a well-lit area without distractions or other people. However, cultural norms should guide whether or not it is possible to interview the respondent alone.

- **Be neutral in your words, actions, and demeanor.**

The goal of your job as interviewer is accurately to record the respondents true answer to each and every question. Your actions and behavior may lead or direct a respondent to a particular answer. Be conscious of subtle changes in your body posture, tone of voice, or facial

expressions. Do not have a questioning expression, nod your head, or appear surprised by a respondent's answers.

DON'Ts

- **Do not screen or interview someone you know personally.**

It is unethical for you to interview or screen someone you know personally. Contact your supervisor if you know someone at one of the households in your assignment.

- **Do not discuss confidential information with unauthorized persons.**

Never discuss any aspect of respondents or their answers with anyone outside of project staff, including the respondent's family or neighbors. To do so is a violation of the GATS code of confidentiality and privacy. Likewise, discussions among project staff should take place only when necessary for the accurate and timely completion of work. If you need advice or support regarding a respondent, speak with your Field Supervisor.

- **Do not share details on the purpose of your visit.**


Do not reveal to others why you need to visit a respondent or a respondent's home. If you are having trouble locating a house, ask for directions to the specific location. If asked about the nature of your visit, say that you are contacting the residents about participation in an important survey, but do not mention the specific nature or name of the survey.

- **Do not "help" the respondent answer the questionnaire.**

Some respondents may not immediately understand a question. If this occurs, repeat the question, and give the respondent time to think. Respect the respondent's right to give his or her answer in his or her own words. Do not rush the respondent to give an answer. Also, do not help the respondent answer by rewording the question, suggesting answers, or setting expectations (through words or body language) that the respondent should answer in a particular manner.

Appendix B: iPAQ Troubleshooting Guide

- **There isn't a keyboard to enter responses.**

The keyboard has been deselected. Tap the white keyboard icon () along the bottom of the iPAQ screen to reactivate the keyboard. If you don't see a white keyboard, tap the small triangle at the bottom-right corner of the screen. A pop-up menu should display. Make sure there is a black dot next to “

- **Everything is in the wrong language.**

Tap **Eng** or the **KIS** at the bottom of the screen. This button toggles the screen back and forth between the English language and the Kiswahili language.

- **I don't see any letters on the keyboard—only numbers and symbols.**

Tap the “123” key on the top-left corner of the keyboard. The “123” key toggles back and forth between the numeric keyboard and the full keyboard.

- **The iPAQ won't turn on after changing the battery.**

Press the stylus into the hole on the bottom of the iPAQ to perform a soft reset. The iPAQ should restart itself after a few moments.

- **My iPAQ freezes/locks up frequently or is running unusually slowly.**

Press the stylus into the hole on the bottom of the iPAQ to perform a soft reset. The iPAQ should restart itself after a few moments.


- **My battery doesn't last as long as it should.**

Make certain the iPAQ's wireless feature is off. The wireless feature is a quick drain on the battery and should only be on when you need it to transmit data. When the wireless feature is off, there will be a red “x” in the wireless icon on the screen. The backlight and brightness settings can also drain the battery and may need to be adjusted.

- **Cases have unexpectedly disappeared or appeared in my Case Management System. I can't see any of the pending cases, only the completed cases, or vice versa.**


Go to the View menu and make sure that there is a check mark next to “All” so that all cases are displayed. If the household or questionnaire is still missing, contact your Field Supervisor. When you transmitted data, your Field Supervisor or the Central Office may have assigned or transferred new households to your assignment.

- **The code to unlock the Case Management System after five bad password attempts or to unlock a questionnaire assigned a final result code doesn't work.**

The unlock codes change daily and will not work if the time and date settings on the iPAQ are incorrect. Go to the Enter Password screen in the Case Management System and correct the time and date. Make sure the correct time designation (AM or PM) is assigned. If you are locked out of the Case Management System, you can still correct the time and date from the main iPAQ Today screen. From the iPAQ Today screen, tap the clock icon () . This will bring up the window to correct the time and date. Once you have entered the correct time and date, tap **OK** to save the settings and exit back to the Today screen.

- **My screen keeps going black or gets extremely dim so that I can't see.**

Check to see if the backlight has been turned down too low. On the Start screen, locate the light bulb icon. There is a small circle below the light bulb icon. Drag this icon to the right to increase the intensity of the backlight. Alternatively, you may need to adjust your backlight settings to

stay on longer between periods of activity. To do so, tap the light bulb icon (). On the Battery Power tab, set the backlight to turn off if not used after 3 minutes.

- **The question text ends abruptly or I don't see all the response categories I need.**

Most of the time, all of the question text, interviewer instructions, and response categories fit on one screen. However, sometimes the text is too long, and you will need to scroll to see all of the remaining text. To see additional question text, scroll up and down by using the stylus to tap and drag the light blue scroll bar on the right of your screen. Note that there are separate scroll bars for the large window where question text appears and the smaller window that displays the response categories.

- **The iPAQ asks me to roster more persons than live in the household.**

You may have inadvertently entered too many people on one of the beginning screens of the *Household Questionnaire*. For instance, you may have mistakenly entered 11 instead of 1 to roster. You will need to back up to the beginning of the questionnaire and confirm that you've entered the correct number of people in each screen. Alternatively you can break off the interview, exit the questionnaire, restart the questionnaire, and start the rostering process over from the beginning.

- **I can't export data to an SD card.**

Make sure the SD card is fully inserted. Verify that the plastic tab on the SD card is in the unlock position.

- **I tap on one thing, but the iPAQ enters something completely different or doesn't respond at all.**

The screen alignment of your iPAQ might be off. Recalibrate your screen by tapping on or around the **Start** menu and tapping on or around **Settings**. Tap on or around the **System** tab along the bottom of the screen. Tap **Screen**, and then tap on or around **Align Screen** and follow the directions.



GLOBAL TOBACCO SURVEILLANCE SYSTEM (GTSS)

