



# Global Adult Tobacco Survey (GATS)



## Field Supervisor Manual



# **Global Adult Tobacco Survey (GATS) Field Supervisor Manual**

September 2020

## **Global Adult Tobacco Survey (GATS) Comprehensive Standard Protocol**

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### **GATS Questionnaire**

Core Questionnaire with Optional Questions  
Question by Question Specifications

### **GATS Sample Design**

Sample Design Manual  
Sample Weights Manual

### **GATS Fieldwork Implementation**

Field Interviewer Manual  
Field Supervisor Manual  
Mapping and Listing Manual

### **GATS Data Management**

Programmer's Guide to General Survey System  
Core Questionnaire Programming Specifications  
Data Management Implementation Plan  
Data Management Training Guide

### **GATS Quality Assurance: Guidelines and Documentation**

#### **GATS Analysis and Reporting Package**

Fact Sheet Templates  
Country Report: Tabulation Plan and Guidelines  
Indicator Definitions

#### **GATS Data Release and Dissemination**

Data Release Policy  
Data Dissemination: Guidance for the Initial Release of the Data

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Disclaimer: The views expressed in this manual are not necessarily those of the GATS collaborating organizations.



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# 1. Introduction

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Tobacco use is a major preventable cause of premature death and disease worldwide, with approximately 1.4 billion people age 15 years or older using tobacco<sup>1</sup>. Furthermore, more than 8 million people die each year due to tobacco-related illnesses<sup>2</sup>. If current trends continue, tobacco use may kill a billion people by the end of this century, and it is estimated that more than three quarters of these deaths will be in low- and middle-income countries<sup>3</sup>. 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 the 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.

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

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## 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.

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

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<sup>1</sup> World Health Organization. WHO report on the global tobacco epidemic, 2019: Offer help to quit tobacco use. Geneva, Switzerland: World Health Organization; 2019. <https://apps.who.int/iris/bitstream/handle/10665/326043/9789241516204-eng.pdf?ua=1>

<sup>2</sup> GBD 2017 Risk Factor Collaborators. Global, regional, and national comparative risk assessment of 84 behavioural, environmental and occupational, and metabolic risks or clusters of risks for 195 countries and territories, 1990-2017: a systematic analysis for the Global Burden of Disease Study 2017. Seattle, WA: Institute for Health Metrics and Evaluation; 2018.

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

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.

At each address 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; electronic cigarettes; smokeless tobacco; cessation; secondhand smoke; economics; media; and knowledge, attitudes, and perceptions about tobacco.

## 1.2 Use of this Manual

This manual describes the roles and responsibilities of Field Supervisors assigned to the GATS and should be used in conjunction with the *GATS Field Interviewer Manual*, which provides step-by-step guidance to Field Interviewers. Field Supervisors are required to attend Field Interviewer training sessions and to become familiar with the content of the *GATS Field Interviewer Manual*. The *GATS Field Supervisor Manual* covers the following responsibilities of a Field Supervisor: organizing and supervising fieldwork, monitoring Field Interviewer performance, conducting quality control tasks, and performing administrative tasks. Adherence to prescribed procedures and duties is of paramount importance to the success of the survey.

## 1.3 Data Collection Schedule

[INSERT COUNTRY-SPECIFIC DATA COLLECTION SCHEDULE]

## 1.4 Organization of Field Staff

[INSERT COUNTRY-SPECIFIC INFORMATION ABOUT ORGANIZATION OF FIELD STAFF] Discuss here the organization of the Field Supervisors with respect to their field interviewing staff, their reporting structure, the training schedule, contacts at the Central Office, and so forth. It may also be helpful to insert an organizational chart and describe the number of staff members. For example, GATS will have a total of X Field Supervisors, overseeing the data collection of approximately Y Field Interviewers.

## 1.5 Overview of Field Supervisor's Duties

As a Field Supervisor, you are a critical link between your Field Interviewers and the Central Office. Your Field Interviewers depend on you for guidance and support. The Central Office depends on you not only to monitor production and performance, but also to communicate any field issues that may have an impact on the timely completion of GATS. As a senior member of the field data collection team, you are entrusted with ensuring that your team's data are collected according to GATS data collection protocol and are of the highest quality.

*Exhibit 1-1* presents a general description of Field Supervisor duties for the GATS. These responsibilities are discussed in more detail later in this manual.

## Exhibit 1-1. GATS Field Supervisor General Description of Duties

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### POSITION DESCRIPTION

The Field Supervisor position is intended to provide supervision of Field Interviewers who collect data for GATS. The position's major objectives are to ensure the following:

- Field data collection activities produce data of the highest possible quality.
- Field data collection activities are conducted efficiently, within established cost and time frame parameters.
- All fieldwork is performed in a professional manner.

### QUALIFICATIONS

- Ability to understand GATS and its objectives and to implement the survey in accordance with established procedures.
- Successful experience with field data collection activities.
- Demonstrated ability to recruit and work with field staff in a role requiring schedule maintenance, problem identification and resolution, quality control implementation, performance monitoring, and evaluation.
- Ability to serve as liaison between survey Central Office and field staff.

### FIELDWORK PREPARATION ACTIVITIES

- Preparing for and participating in Field Supervisor training activities.
- Conducting or participating in Field Interviewer training.
- Preparing Field Interviewer assignments so that work can be completed in the most efficient manner.
- Contacting local authorities to inform them about the survey and gain their support and cooperation.
- Obtaining all necessary supplies to support fieldwork by your assigned Field Interviewers (including area maps, Question and Answer brochures, consent forms [as needed], survey description letters, etc.).

### FIELDWORK ACTIVITIES

Providing supervision and support of Field Interviewers:

- Accompanying each Field Interviewer on a specified number of screening and interviewing visits to observe and review work.
- Meeting regularly with Field Interviewers to discuss progress.
- Providing assistance with problems, including converting refusals if needed.
- Providing constructive feedback on errors to improve Field Interviewer performance.
- Verifying and validating each Field Interviewer's work according to project specifications and completing appropriate follow-up actions.
- Tracking overall Field Interviewer production, transmission and data quality.
- Compiling prompt and accurate field status reports.

### ADMINISTRATIVE ACTIVITIES

- Reviewing Field Interviewer expense reports to ensure that all reports are timely, accurate, and contain reasonable charges. [REVISE TO COUNTRY-SPECIFIC PROCEDURES]
- Ensuring that all completed work is transmitted to the Central Office on schedule and in the manner specified.
- Maintaining regular communication with the Central Office on field progress and problems.
- Following all field administrative procedures.
- Addressing current and potential problems proactively.

## 1.6 Importance of Confidentiality

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 Supervisors are often in direct contact with the data from completed interviews and respondents, you must demonstrate high ethical standards in all of your actions related to this survey.

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 directly from a response or through casual observations or conducting interviews.

Respondents can be assured that all identifying data, such as their name and address, are never made available to anyone outside the GATS project team. All answers are used for analysis and cannot be used for any other purpose. Furthermore, respondents' names and addresses are never 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 Supervisor to maintain the integrity and confidentiality of the data entrusted to you. As a GATS Field Supervisor, you will be asked to sign a Statement of Confidentiality (shown in *Exhibit 1-2*). By signing, you enter into a binding agreement stating that you will keep all data confidential. It also certifies that you will carry out all survey procedures precisely as they are presented in this manual and at your training.

## 1.7 Data Security

Detailed protocols have been developed that reduce the risk of compromising the confidentiality of survey participants and the security of the data. These protocols are discussed in the following sections and in more detail in *Chapter 12* of the *GATS Field Interviewer Manual*.

### 1.7.1 Security of Physical Materials

Securing data while in your possession not only reduces the risk of compromising the confidentiality of survey participants but also protects against theft or loss of the data. At home, securely store materials out of sight of family members and visitors. All confidential project materials, when not in use, should be safely secured (e.g., in a locked bag or cabinet), even at home. Do not store handheld devices, 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 handheld device in a car often exposes it to extreme temperatures, which can be harmful. Additionally, handheld devices must never be used by anyone but you. Passwords should never be written down, affixed to the handheld device, or made available to anyone.

**Exhibit 1-2. Example GATS Statement of Confidentiality**

[TO BE MODIFIED TO ADDRESS COUNTRY-SPECIFIC NEEDS]

I, \_\_\_\_\_ (print name), acting in the capacity of a Field Supervisor for the Global Adult Tobacco Survey (GATS) sponsored by [INSERT COUNTRY-SPECIFIC AGENCY], agree to work on the Global Adult Tobacco Survey 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 Ministry of Health and that failure to comply with these terms may result in termination of the employment agreement between me and the Ministry of Health.

- 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 [INSERT GATS COUNTRY-SPECIFIC SUPERVISOR INFORMATION].
  6. Not photocopy or record by any other means any confidential survey information unless authorized by survey leaders or [INSERT GATS COUNTRY-SPECIFIC SUPERVISOR INFORMATION].
  7. Not in any way compromise the confidentiality of survey participants.
  8. Not allow access to any confidential survey data/information to unauthorized persons.
  9. Report any lost or misplaced equipment and/or confidential survey information to [INSERT GATS COUNTRY-SPECIFIC SUPERVISOR INFORMATION] immediately.

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Field Supervisor Signature Date

### 1.7.2 Safeguarding Materials in the Respondent's Home

If you are conducting multiple interview observations or verification visits, you must either (1) carry all materials and confidential information with you as you locate and interview survey participants, or (2) lock them out of sight in the trunk of your car, if applicable, while you are in the field for the day. Use common sense in deciding which of these approaches to use in a given neighborhood to keep materials secure.

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. Do not discuss specific households or participants with anyone other than authorized project personnel. When preparing to leave the respondent's home, conduct a careful check to ensure that you are taking all project materials and belongings with you.

### 1.7.3 Reporting Unanticipated Problems Involving Data Security and Confidentiality

An unanticipated problem is defined as any activity that potentially compromises the confidentiality of the survey participants and the security of the data. It may constitute problems such as the loss or theft of any confidential information that would involve risks to survey participants. Loss or theft of the handheld device, 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. Other situations may also constitute an unanticipated problem. If you are unsure about whether a situation needs to be reported as an unanticipated problem, ask [INSERT GATS COUNTRY-SPECIFIC SUPERVISOR INFORMATION] or other project staff.

If you or one of the Field Interviewers you supervise lose any materials or equipment that contain confidential information, notify your [INSERT GATS COUNTRY-SPECIFIC SUPERVISOR INFORMATION] as soon as you realize something is missing. Be prepared to provide as much information about the loss or theft to your [INSERT GATS COUNTRY-SPECIFIC SUPERVISOR INFORMATION]. Your 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 the handheld device is missing, you will need to know whether the login or password information was included in any of the missing materials. Your [INSERT GATS COUNTRY-SPECIFIC SUPERVISOR INFORMATION] will consult with project staff and tell you how to proceed with any households that may have been affected.

## 2. Preparing for Fieldwork

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This chapter provides a suggested list of materials for you to take with you to the field, an overview of how your team is expected to work together, and some activities that you should plan to undertake in preparation for fieldwork in a given area.

### 2.1 Materials Needed for the Field

Prior to the start of data collection, survey materials will be issued to you and to your Field Interviewers. You are responsible for ensuring that Field Interviewers have the materials they need to conduct their screening and interviewing assignments. The following materials will be essential as you conduct your fieldwork: **[ADD OR DELETE FROM LIST FOR COUNTRY REQUIREMENTS]**

- Field supplies.
- ID badge.
- Letter of Authorization.
- Copies of the GATS description letter to give to respondents.
- Copies of the Question and Answer brochure.
- Statement of Confidentiality.
- Consent forms.
- Handheld device.
- *GATS Field Supervisor Manual* and *GATS Field Interviewer Manual*.
- **[INSERT COUNTRY-SPECIFIC ITEMS USED TO FIND ADDRESSES, SUCH AS MAPS].**
- **[INSERT ANY HAND\_HELD DEVICE ACCESSORIES NEEDED FOR DATA TRANSMISSION, SUCH AS MODEM].**
- Pens or pencils.
- Funds to cover field expenses.
- Team expenses.
- Fuel and minor vehicle repairs.
- Guides.
- Advances for per diem allowances for the team.

In most countries, the Field Interviewers will be required to travel during the course of conducting GATS. Regardless of whether the Field Interviewers need to travel, however, the Field Supervisor is expected to work closely in the field with the team, providing immediate, on-site guidance. You will be able to verify that household screenings and individual interviews are being conducted properly and will be able to find solutions for difficult households as they occur. One of your primary responsibilities will be to develop strategies to convert refusals—whether that means assigning the household to a different Field Interviewer, making the refusal conversion attempt yourself, or providing guidance to the original Field Interviewer to attempt the conversion.

In some countries, the Field Supervisor will need to arrange for their interview team to travel to the assigned areas. Under this model, the Field Supervisor may be responsible for securing vehicles, accommodations, and food for the team. The team's vehicles will travel together, and interviews will be conducted and completed in one area before the team moves on (usually as a group) to another area. If interviews still need to be completed in an area, one or two members of the team may remain behind to finish the interviews and rejoin the team at a later date. Again, the Field Supervisor is responsible for making travel arrangements for the members of the team who remain behind and for those who move on to the next area.

Under an alternate model, the Field Supervisor and the Field Interviewers are responsible for their own travel to the assigned households. They will be expected to make their own arrangements and will be reimbursed according to the survey's expense-reporting protocols. To help track expenses, the Field Supervisor will review each Field Interviewer's weekly expenses, including mileage or miscellaneous expenses incurred in the course of conducting the screening and interviewing activities.

## **2.2 Contacting Local Authorities**

It is your responsibility to contact the [REGIONAL, PROVINCIAL, DISTRICT, AND/OR VILLAGE] officials before your team begins work in an area. The Letter of Authorization (see *Exhibit 2-1*) is designed for this purpose, and a copy should be given to the appropriate authorities. In addition, Field Interviewers should have copies of this letter in case they need to show it to authorities, such as local police officers, that they encounter during their field visits. [INSERT COUNTRY-SPECIFIC PROCEDURES]

## **2.3 Understanding Your Territory (Mapping and Listing)**

You are responsible for managing the efforts of your staff with respect to all mapping and listing activities that may be required for GATS. (The *GATS Mapping and Listing Manual* describes the required activities in detail, and they are not repeated here.) If the same team of Field Interviewers that completes the mapping and listing activities is assigned to do the household screening and interviewing, they will already be familiar with the territory involved.

However, if a new team of Field Interviewers will conduct the household screening and interviewing, you should spend some time and effort traveling with them throughout the sampled segments to make sure they understand the exact segment boundaries and preselected addresses to approach.

## Exhibit 2-1. Example Letter of Authorization

[TO BE MODIFIED TO ADDRESS COUNTRY-SPECIFIC NEEDS]

To whom it may concern:

The [MINISTRY OF HEALTH] is conducting the Global Adult Tobacco Survey, or GATS. GATS is a national household survey that will be conducted in [COUNTRY] 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 [COUNTRY].

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 [MINISTRY OF HEALTH], 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.

All professional Field Interviewers affiliated with this project will be wearing identification badges naming the [MINISTRY OF HEALTH] and the Global Adult Tobacco Survey project. If you need further information, please contact [NAME] at the [MINISTRY OF HEALTH].

Sincerely,

[MINISTRY OF HEALTH OFFICIAL]

## 2.4 Locating the Sample Addresses and Addressing Missed Households

You are expected to visit your staff's assigned areas prior to letting them make any contact with a household. The purpose of this advance visit is to identify all households that your staff will screen and to make sure that the household listing matches what you (and your Field Interviewers) see in the field. The specific tasks they will be asked to do are described in the *GATS Field Interviewer Manual* and are outlined here. *Exhibit 2-2* presents an overview of the process they will be following. Your role throughout is to provide guidance and check their work, because adding missed households and reselecting households represents a change to the existing sample plan. During this initial visit, your Field Interviewers should do the following:

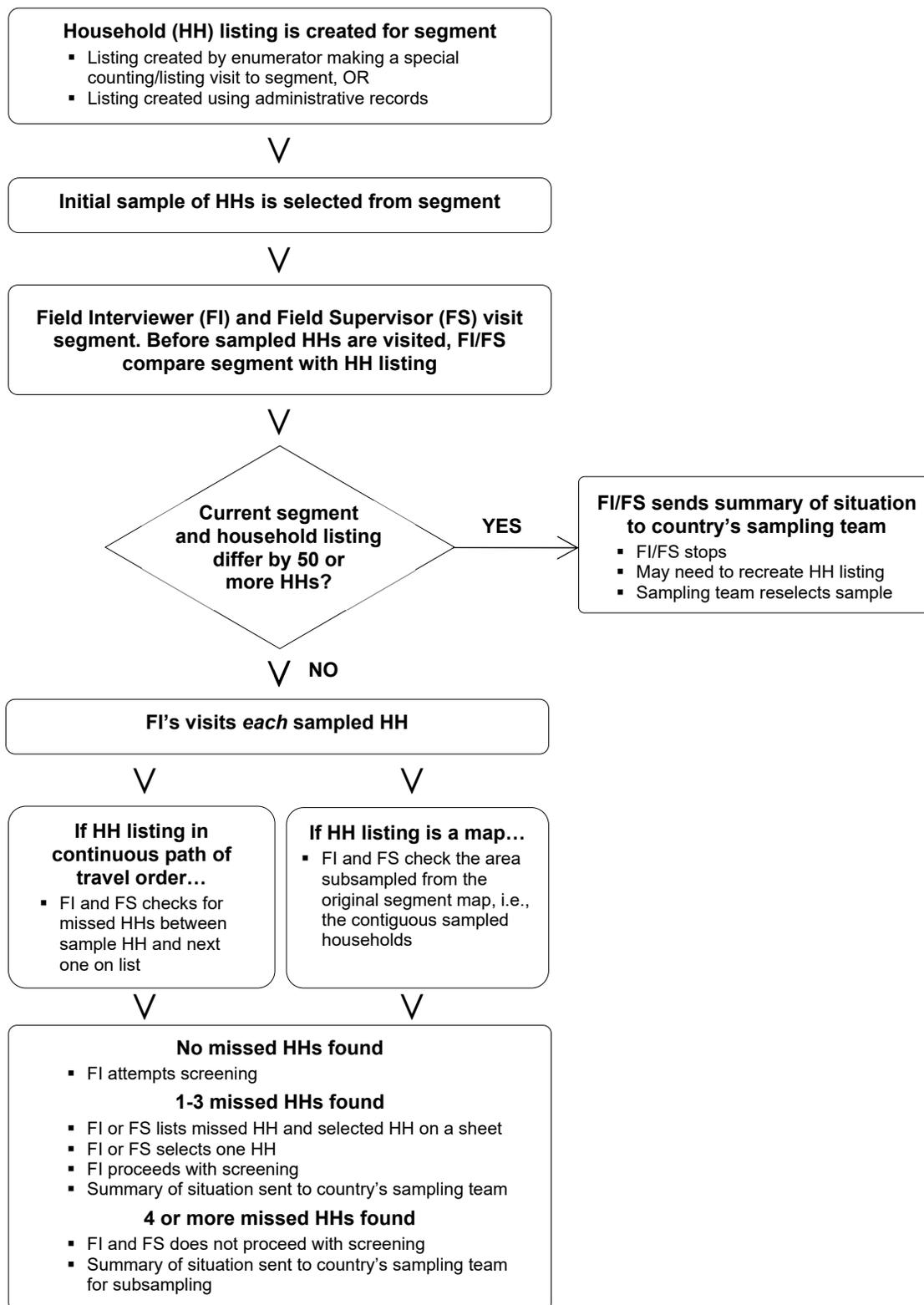
1. Identify any large groupings of households that are located within the boundaries of the segment and that are *not* included on the household listing that constitutes the sampling frame for that segment. The Field Interviewers should record any missed housing units on a sheet of paper, clearly label the location of the housing units, and send the information back to the sample design team before visiting any household. Although it will depend on the area being sampled, in general, if 50 or more missing housing units in a household listing for that area are found, the Field Interviewers should send an updated listing of the area back to you before they conduct any work. If fewer than 50 missed housing units are found, an updated listing may not be necessary. The half-open interval technique (described below) may be sufficient to account for fewer than 50 missed households in a segment.
2. Identify any new houses or missed houses that are along their route. There are two methods of checking for missed houses along the route, depending on the structure of the original household listing that was used as the sampling frame for that area.
  - ***If the household listing or sampling frame reflects a continuous path of travel through the segment, the Field Interviewers should use the half-open interval technique to identify households that might have been missed on the household listing for the area. This method can be used only if the household listing reflects a continuous path of travel. For each sampled household, they should look to see if any household exists between the sample household and the household underneath it on the household listing.***

*If one to three households appear to be missing, the Field Interviewers should record the sampled unit and the missed households on a separate sheet of paper. They should then randomly select one household from within this set. [INSERT COUNTRY-SPECIFIC PROCEDURE FOR RANDOM SELECTION]. The originally selected household may be selected again, or one of the missed households may be selected.*

*The sheet that was used to select the household should be sent to the sample design team so that they can record this information. Among other things, the link between the questionnaire and the newly selected household may need to be adjusted on the final analytic file in instances where the originally selected household was not selected again.*

*If more than three households appear to be missing, the Field Interviewers should send this information back to you before making any contact with a household in the area. The sample design team will decide if taking a random sample of one unit is sufficient to address the missed households or if taking a greater sample is warranted.*

**Exhibit 2-2. Summary of Process to Address Missed Households on Household Listing**



- ***If a household listing does not reflect a continuous path of travel and the sample of households was selected as a contiguous cluster, the Field Interviewers should identify households that might have been missed within the geographic boundaries of the contiguous cluster chosen. If one to three households appear to be missing, they should identify a selected household nearest to that group. The nearest sampled household and the missed households should be listed on a separate sheet of paper, and one household should be randomly selected from this sheet. [INSERT COUNTRY-SPECIFIC PROCEDURE FOR RANDOM SELECTION.]*** The nearest sampled household may be selected again, or one of the missed households may be selected. This sheet should be sent back to the sample design team so that the additional units and the replaced household can be properly documented in the GATS analytic files.

*If more than three missed households were found in a contiguous cluster, the Field Interviewers should record all of the missed households on a sheet of paper and send this information back to you before making any contact with a household. In this instance, the sample design team may want to consider sub-selecting an area within the contiguous group of households.*

Note that an interview should be conducted at an originally sampled address only if it is reselected by one of these methods. However, if one to three missed housing units are discovered *and* an address other than the original address is sampled, the Field Interviewers will need to do the following:

- *Make an entry for the new address at the end of the paper Assignment Control Form and record the household ID from the handheld device entry onto the Assignment Control Form so that the households are properly linked.*
- *Document on the paper Assignment Control Form that the originally sampled household has been replaced with a new address by assigning a result code of 999 to the Household Questionnaire of the originally sampled housing unit, and by making a notation that it was replaced with household ID 9xxxxxx.*
- *In the Case Management System, close the Household Questionnaire for the originally sampled housing unit by assigning result code 999 in the Visit Record (see Section 6.4.3 for instructions on entering a Visit Record). In order to enter result code 999, the Field Interviewer will need to enter an authorization code. Thus, you should discuss the situation with the Field Interviewer before providing the code. Note in the Visit Record Comments that it was replaced with housing unit ID 9xxxxxx. No interviews will take place at the originally sampled housing unit once it has been replaced by the newly sampled unit. Note that result code 999 is a final result code and, like all final result codes, requires an unlock code to reopen the questionnaires (see Section 3.8 of this manual).*
- *Edit the address of the unassigned Household Questionnaire on the handheld device and add in the address information of the newly selected housing unit where the interview attempt will take place. To do this, the Field Interviewers will need to go to the Case Management System and find the first available unassigned Household Questionnaire that matches the sex of the original address that has been replaced. All unassigned questionnaires will have IDs beginning with “9” [CONFIRM CONVENTION WITH COUNTRY] for easy identification. The Field Interviewers will need to touch and hold the*

*unassigned questionnaire to highlight the row and then touch **Edit Address** to enter the address of the new housing unit in the Edit Address screen. They should touch **Update** when they are finished. Once the address has been edited for the Household Questionnaire, it will automatically be updated in the corresponding Individual Questionnaire.*

– **[INSERT COUNTRY-SPECIFIC PROCEDURES FOR OBTAINING THE AUTHORIZATION CODE]**

Overall, whenever the Field Interviewers are expected to contact the sample design team, it is expected that *you* will do the contacting and provide feedback and guidance to the Field Interviewers once you receive the information from the sample design team.



### 3. Organizing and Supervising Fieldwork

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From an operational point of view, the success of every project depends on two basic factors: (1) following established and proven survey protocols to collect quality data and (2) managing the time and resources spent to collect the data. As a Field Supervisor for GATS, it is your responsibility to manage the household screening and interviewing operations. This chapter covers various topics related to your role as a Field Supervisor.

You will be required to follow these standard supervisory procedures:

- Set goals and manage work plans.
- Assign and manage households.
- Mentor and meet with Field Interviewers.
- Monitor data collection.
- Handle reluctant respondents and refusals.
- Manage “nobody home” and “selected respondent not at home” households.
- Assign non-interview final result codes.
- Distribute passwords and unlock codes.
- Solve problems.

Each of these topics is discussed in this chapter, as well as practical staff management tips.

#### 3.1 Set Goals and Manage Work Plans

Three important factors should be considered when monitoring field data collection: production, response rates, and quality. The production goals for your assigned area will be a compilation of the individual goals you set for each Field Interviewer. If some Field Interviewers are not meeting their goals, this will have a negative impact on your area. You will be provided with project goals and expectations that will help you plan the approach for your area.

Discuss with each of your Field Interviewers the goals that you have set so that they can complete their assigned households in the time allowed. Discuss how your expectations coincide with their schedules so that you can be aware of possible conflicts. Be specific. Ask the number of hours and which specific households they plan to work each week. Does their remaining number of households appear realistic considering their schedule and past performance? If not, what adjustments will you make? What weather or social climate considerations need to be taken into account? Be certain to allow for unpredictable nonresponse households that may require extra time as data collection progresses. Discuss any potential problems completing the assignments within your assigned area with your Central Office contact as soon as you discover them.

#### 3.2 Assign and Manage Households

One of your major responsibilities throughout data collection is to monitor the flow of households from the time they are initially assigned to the Field Interviewers until the final data are received at the Central

Office. You are responsible for preparing Field Interviewer assignments in a manner that will allow fieldwork to be completed most efficiently. This includes a household-by-household decision on which Field Interviewer is best suited to complete the interview and the number of households each Field Interviewer can handle competently.

When choosing which Field Interviewer to assign to a household, consider the Field Interviewer's capability and efficiency based on any previous experience you may have had working with him or her. Also consider your observation of the Field Interviewer at training. Once data collection begins, you can adjust the assignments as needed.

Although it is more efficient for Field Interviewers to have a sizable number of households to work, it can also be problematic to reassign households from a Field Interviewer who is not producing to another Field Interviewer. Consequently, you may not want to assign all households as soon as you receive them; rather, you may want to make small but reasonable initial assignments and, after a few weeks, make additional assignments to the better producers.

The Central Office will give you a Sample Control Form (see *Exhibit 3-1*) with the address of every household under your responsibility. You will use this form to keep track of the households that you have assigned and those you have not assigned, the date they were assigned, the Field Interviewers they were assigned to, and the final result codes of those households. As you make household assignments, write down the date you made the assignments and the ID numbers of the Field Interviewers to whom you assigned the households.

The Sample Control Form has room to make changes in assignments if you need to transfer a household from one Field Interviewer to another. The columns where you identify these changes are marked in grey. As households become finalized, write down the final result codes so you know which households under your responsibility still need to be worked.

**Exhibit 3-1. Example Sample Control Form—Global Adult Tobacco Survey (GATS)**

Supervisor Name: \_\_\_\_\_ Supervisor ID \_\_\_\_\_

PSU #: \_\_\_\_\_ Segment #: \_\_\_\_\_ Area Name: \_\_\_\_\_

Household ID: {household id}	Date Assigned	Interviewer ID	Date Assigned	Interviewer ID	Date Assigned	Interviewer ID	Final Result Code
{address field 1}	HQ						
{address field 2}							
{address field 3}	IQ						
{address field 4}							
{address field 5}							

Household ID: {household id}	Date Assigned	Interviewer ID	Date Assigned	Interviewer ID	Date Assigned	Interviewer ID	Final Result Code
{address field 1}	HQ						
{address field 2}							
{address field 3}	IQ						
{address field 4}							
{address field 5}							

Household ID: {household id}	Date Assigned	Interviewer ID	Date Assigned	Interviewer ID	Date Assigned	Interviewer ID	Final Result Code
{address field 1}	HQ						
{address field 2}							
{address field 3}	IQ						
{address field 4}							
{address field 5}							

Household ID: {household id}	Date Assigned	Interviewer ID	Date Assigned	Interviewer ID	Date Assigned	Interviewer ID	Final Result Code
{address field 1}	HQ						
{address field 2}							
{address field 3}	IQ						
{address field 4}							
{address field 5}							

**[USE TEXT BELOW IF USING DATA TRANSMISSION VIA SD CARDS; UPDATE WITH COUNTRY-SPECIFIC PROCEDURES]**

You can assign additional households to a Field Interviewer by giving him/her an SD card with the additional households loaded. The Field Interviewer will follow the steps outlined in the *GATS Field Interviewer Manual, Chapter 6*, to load these households from the SD card onto the handheld device.

### **3.3 Mentor and Meet with Interviewers**

Regular contact with Field Interviewers provides a continuous means of field support. While you will be working closely with your Field Interviewers as they conduct data collection activities, it is also advisable that you set aside time each week for an individual meeting with each Field Interviewer. These meetings should be planned and carried out in such a way that you obtain the information necessary to assess progress and problems and determine how effectively the Field Interviewer is working.

During each regular meeting, you should review all of the Field Interviewer's work currently under way and his or her work plan for the upcoming period. Problem households and refusals should be discussed in detail so that you have the information needed to determine what further action should be taken. Information obtained should allow you to identify Field Interviewers who need special or additional supervision. These meetings also provide an opportunity to listen to the Field Interviewers' problems and concerns about their fieldwork. If serious or potentially serious problems become evident during regular meetings, you should schedule a field visit to work with them to resolve these problems.

To conduct an effective conference with each Field Interviewer, you should organize any necessary forms and reports and make sure that he or she is doing the same. To establish a structured conference, you will want to prepare an agenda that is specific for each Field Interviewer. A recommended agenda includes the following:

- A general overview about the progress of the project at a top level, across all Field Interviewers.
- A discussion of each of the Field Interviewer's pending questionnaires and any questionnaires to which the Field Interviewer has assigned a final non-interview code.
- A discussion of any refusal or other problem households.
- A report of the number of hours, miles, and expenses for that reporting period **[IF APPLICABLE]**.
- Other items that you or the Field Interviewer need to discuss.

Depending on the experience and number of households assigned to the Field Interviewer, the time allotted for each meeting should be between 30 and 60 minutes.

Aside from the regular meetings, Field Interviewers should be made to feel that you are available at all reasonable times to assist them with problems or emergencies. Arrangements should be made to advise Field Interviewers on how to contact you when you are away on field visits or for other reasons. (NOTE: This does not imply that you are expected to be available 24 hours a day or at unreasonable hours. Frequent checks of messages when you are away will normally allow for adequate responses on the same or next business day.)

### 3.4 Monitor Data Collection

The major tasks in monitoring data collection are as follows:

- Inform the Field Interviewers about the target number of household screenings and interviews desired.
- Underscore the importance of achieving high survey response rates.
- Provide tools such as training and materials to Field Interviewers so that they can do their jobs.
- Keep the Field Interviewers informed about the time period in which the interviews must be completed.
- Keep track of the Field Interviewers' progress toward the completion of interviews during your regular meetings.
- Ensure that the interviews are completed on schedule by motivating and enabling the Field Interviewers to work effectively to complete screenings and interviews.

Your most important task as a Field Supervisor is to ensure that Field Interviewers put in effective and efficient hours of work for the commitments that they make. The Field Interviewers must limit time spent on nonproduction activities so that they can spend the majority of their time on the productive components of the interviewing job. Those components are *correctly locating sampled households and successfully screening and interviewing each one*.

As a manager, you must set goals for your staff. You need to be sure that the Field Interviewers have the tools (training and materials) to achieve these goals. To be an effective manager, you must evaluate the Field Interviewers' activities. You must help them develop plans so that they can perform their tasks and accomplish or exceed their goals in less time, in a less costly manner, or with a better level of quality.

Underscoring all of the guidance you give your interviewing staff should be your commitment (and their commitment) to achieving high response rates and collecting data of the highest quality. One of the most important indicators of a survey's overall quality is its *response rate*. It is of paramount importance that the *Household Questionnaire* be completed for each selected household, and that the individual who is selected to complete the *Individual Questionnaire* actually does so. Unless an extremely high survey response rate is achieved, harmful nonresponse bias can be introduced into the overall survey results. Nonresponse bias occurs if the households and individuals who are not interviewed have different characteristics from those that participate in GATS.

The overall response rate is computed as the product of the household screening rate and the individual interview rate. For example, if your staff are only able to screen successfully 50% of the households they are assigned, even if they successfully interview 100% of the selected respondents in these households, the response rate for your assigned area will be only 50% \* 100%, or 50%. With a survey as important as GATS, all countries are striving to achieve the highest response rates possible, preferably higher than 85%. Other surveys similar in nature and scope to GATS have achieved this goal by successfully screening virtually all (98%) of the households and by interviewing almost 90% of the individuals selected.

Your team's ability to complete successfully both *Household Questionnaires* and *Individual Questionnaires* is therefore *critical* to your country's ability to achieve results that are representative of

your county's population. Good Field Supervisors and Field Interviewers can be depended on to achieve excellent response rates.

### 3.5 Handle Reluctant Respondents and Refusals

Your job as a Field Supervisor includes providing guidance and support to your Field Interviewers, particularly for more challenging households. The response rate for your area will be affected by how your Field Interviewers deal with refusals and reluctant respondents. This section is a guide for you. What issues do you need to address with your Field Interviewers, and what steps can you suggest to get the interview completed?

Most reasons that respondents give for refusals fall into four categories:

1. No time—ever.
2. Don't like surveys/waste of time.
3. Hostile to/lack of interest in the subject matter.
4. Lack of trust/intrusion of privacy, confidentiality.

Each of these reasons needs to be countered with a different emphasis in response (discussed in *Chapter 3 of the GATS Field Interviewer Manual*). At other times, there may be other, more complex factors at work in the refusal process that involve the dynamics between the Field Interviewer and the respondent. These factors can be grouped under the broad categories of *Field Interviewer style* and *local social climate*.

#### 3.5.1 Importance of Interviewer Style

A Field Interviewer's appearance and manner of delivery establish an initial impression that can either alienate the respondent or encourage cooperation. Field Interviewers should project a professional manner that can be modified according to circumstance. The basic elements of a professional approach are as follows:

- Show proper identification and supporting documentation.
- Have a thorough knowledge of the purpose of the project and its materials.
- Have a courteous, confident, and straightforward presentation.
- Listen to the respondent.
- Show respect for the respondent.

While maintaining these criteria, a Field Interviewer should also make an effort to *fit in* in the neighborhood—that is, to dress and act in concert with the majority of individuals in the area. The goal is to alleviate any respondent suspicion.

Rapport is probably the Field Interviewer's most important tool. It is a condition that results from sensitivity to the respondent and his or her living conditions. This sensitivity, although difficult to teach, gradually can be developed in your staff. During your weekly meetings, ask questions about the Field Interviewer's approach to non-interview households, and try to assess how the respondent may have reacted. Part of your job is to make Field Interviewers aware of how they are being received. The eventual aim is to

nurture the Field Interviewer's ability to predict and even modify respondent reaction. Once the Field Interviewer is able to do this, he/she will be more successful in avoiding and converting refusals. The Field Interviewer will be better equipped to counter respondent objections with an appropriate response.

An abrasive interviewing manner is not desirable. Conversely, a Field Interviewer who is too passive will not be successful. A passive approach conveys a lack of confidence or commitment to an action. This attitude will not motivate the neutral or uninterested respondent. The Field Interviewer will have to win over such a respondent, to convince him or her of the importance of participation. To do this effectively, the Field Interviewer first must be thoroughly convinced of the importance of the work and completely comfortable with his or her right to be there asking questions. *Part of your job as a Field Supervisor is to build and reinforce the Field Interviewer's sense of personal value to the project.* This reinforcement is probably the best remedy for a Field Interviewer's lack of confidence and/or motivation.

### **3.5.2 Local Social Climate**

Occasionally, refusals will occur no matter how effective and adaptive the Field Interviewer is. These refusals can be due to factors outside the control of the Field Interviewer and may or may not be situations that you, as a Field Supervisor, can counter. If a neighborhood is experiencing a series of thefts or personal assaults, residents may be especially reluctant to allow entrance into their homes. If the Field Interviewer reports such circumstances, it is a good idea to contact local authorities and to inform them of your Field Interviewer's presence in the area. Also, you might instruct the Field Interviewer to wait a few days before returning to the neighborhood at a calmer time.

## **3.6 Manage "Nobody Home" and "Selected Respondent Not at Home" Households**

Every person is at home sometime or another. We all know the effort it sometimes takes to successfully convert a reluctant respondent. It can sometimes require extra effort just to find someone at home.

As a Field Supervisor, you need to carefully monitor the number of "nobody home" or "selected respondent not at home" questionnaires each member of your staff codes. Some Field Interviewers are more adept at contacting than others. Interviewers who are successful are often more willing to work at odd hours. Carefully reviewing all the steps taken on a "nobody home" or "selected respondent not at home" household is necessary to ensure everything possible has been attempted. As a Field Supervisor, you should learn from the strategies used by your successful staff and share them with the rest of your staff. Please note that many of the obvious initial strategies are not listed here; those can be found in *Chapter 3 of the GATS Field Interviewer Manual.*

Below is a list of techniques that should be implemented for all hard-to-contact households:

- Make sure the Field Interviewer is not going out at the same time of day and the same days of the week each time he/she attempts to contact the respondent. By attempting to make contact at a different time of day and different days of the week, the Field Interviewer will know when the respondent is more likely to be at home and available. Make sure the Field Interviewer attempts contact during different times (i.e., after dinner hour, a weekend afternoon, etc.).
- If a respondent continuously breaks appointments and always disappears at the appointment time, Field Interviewers should show up at least 15 to 30 minutes before the appointment to try and catch them before they leave.
- Interviewers should not be overly aggressive or pushy when trying to contact respondents. If it is clear that the respondent is avoiding the Field Interviewers, they should leave the household on good terms. It is possible that the respondent is simply providing a passive refusal.
- A respondent may be afraid that a Field Interviewer is a bill collector, law enforcement official, or government official. If this is the case, Field Interviewers should show their badge and affirm that they are not there to collect debts, nor are they there to report their behavior to the government. Field interviewers should stress that interviews are confidential—no one will be able to connect their answers to their name.

### 3.7 Assign Non-interview Final Result Codes

As a Field Supervisor, you must approve the final non-interview result code before a questionnaire is finalized. If you believe that alternative actions can be taken to convert a refusal household (for example, use of a special refusal letter, as discussed in *Chapter 3* of the *GATS Field Interviewer Manual*), you are expected to try to turn the non-interview into a completed interview. Other tools at your disposal may include sending a different Field Interviewer to the household (if you believe that the Field Interviewer may have more success than the one to whom the household was initially assigned) or attempting to convert the refusal yourself. If, however, you are convinced that no further action should be taken on the household, instruct the Field Interviewer to record the appropriate final non-interview result code on the Case Management System and, if applicable, on the Assignment Control Form (see *GATS Field Interviewer Manual, Exhibit 11-1*). Keep in mind that each non-interview has a negative influence on the survey response rate.

### 3.8 Distribute Passwords and Unlock Codes

As part of the GATS confidentiality and quality control procedures, Field Interviewers will need to enter a password or an unlock code to:

- gain access to the Case Management System,
- unlock the Case Management System 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 the survey, Field Interviewers will need to enter a password to gain access to the Case Management System, the central point for managing households and starting interviews (see *GATS Field Interviewer Manual, Section 6.2*). **[INSERT COUNTRY-SPECIFIC PROCEDURE FOR OBTAINING CASE MANAGEMENT SYSTEM PASSWORDS]**

To help safeguard against unauthorized use of the handheld device and a potential breach of respondent confidentiality, an unlock code will be required to unlock the Case Management System if five incorrect passwords are entered on the main Enter Password screen (see *GATS Field Interviewer Manual, Section 6.2*). This code will only unlock the system and will redirect Field Interviewers back to the main Enter Password screen, at which time they will again have five chances to correctly enter the Case Management System password. **[INSERT COUNTRY-SPECIFIC PROCEDURE FOR OBTAINING CASE MANAGEMENT SYSTEM UNLOCK CODE]**

Additionally, Field Interviewers will need to enter an unlock code to re-open any questionnaires that have been assigned a final result code (see *GATS Field Interviewer Manual, Sections 7.6 and 8.5*). The need to re-open a questionnaire that has been assigned a final result code should be very rare. Exercise caution in allowing your Field Interviewers to re-open a questionnaire that has been assigned a final result code. Note also that once a questionnaire is re-opened, all answers to the questionnaire are automatically set to “unconfirmed.” Interviewers will need to go through the entire interview by taping “Next” or the “Fast Forward” button to reconfirm the answers and re-finalize the interview. Failure to do so will cause difficulties in the data processing stage. **[INSERT COUNTRY-SPECIFIC PROCEDURE FOR OBTAINING UNLOCK CODE FOR QUESTIONNAIRES ASSIGNED A FINAL CODE]**

### **3.9 Problem Solving**

Up to this point, this manual has covered some of your *routine* supervisory responsibilities. However, when problems arise, often the answers cannot be found in a review of standard operating procedures. This section highlights some typical problems that you may encounter in the course of supervising a field survey. A few insights are also provided to help you effectively handle these problems.

No matter what kind of problem you are addressing, always remember that you are acting as a manager. Therefore, the manner in which you address the issue is as important as the substance of your response. Your degree of expertise in conducting fieldwork is extremely valuable. It is your job as a Field Supervisor to transfer that expertise to your interviewing staff.

Consider the best way to evoke the desired response from your staff, keeping in mind that the best approach is an honest one—one that clearly defines both the problem and your expectations for solution. Often problems arise because people simply are unclear of what is expected of them. Interviewer training presents mainly *factual* information. It is your ongoing job as a Field Supervisor to reinforce these facts by impressing upon your staff the rationale behind what is required. Emphasize the importance of each individual's performance. Everyone is equally critical to the overall success of GATS.

Most of the problems that you encounter will fall into one of the categories that follow.

#### **3.9.1 Timeliness**

All projects operate on a timeline with critical dates or milestones. It is important that you and your Field Interviewers are aware of the GATS timeline requirements. You must set goals for each of your Field Interviewers during your regular meetings. Be sure to revisit these goals in subsequent meetings to monitor a Field Interviewer's success and to address problems as needed. What *you* emphasize as important will become important to your staff.

### 3.9.2 Reporting and Communicating Problems

Good communication between Field Interviewer and Field Supervisor will set the tone for your working relationship throughout the field period. Keep the lines of communication open and candid. It is also important for your Field Interviewers to know when they can reach you. Establish your parameters and inform your staff. Most reporting problems can be avoided by instructing Field Interviewers on proper preparation for their regular meeting with you.

- The Field Interviewers must be able to discuss the status of any pending questionnaires and any newly finalized non-interview questionnaires. Result codes for all questionnaires need to be up-to-date and reported to you so that you can assist them in planning strategies for bringing the pending questionnaires to resolution. This is especially important for all questionnaires that the Field Interviewer believes may result in a non-interview.
- Instruct the Field Interviewers to have any administrative records with them so that you can review their hours, any expenses incurred, etc. **[INSERT COUNTRY-SPECIFIC PROCEDURES]**

Early in the field period, you should convey to your Field Interviewers the importance of being available at the scheduled meeting time. It is their responsibility to notify you if they will not be available at the designated time. You will have a demanding schedule with respect to completing your regular meetings. It will be critical to be able to speak with each Field Interviewer at the appointed day and time.

### 3.9.3 Production/Cost Problems

Keeping inefficiency and overcharging by Field Interviewers to a minimum is one of the most important Field Supervisor tasks. It is also one of the most difficult. Because Field Interviewers work in a wide variety of locations, it can be challenging to distinguish efficient Field Interviewers who are working difficult assignments from Field Interviewers who are less efficient and working moderate or less difficult assignments.

As a Field Supervisor, you are in the best position to monitor and evaluate individual Field Interviewer performance in this area. If the Central Office is to meet its goals and operate within budgeted resources, you must identify Field Interviewers who are working inefficiently or are overcharging and work with them to correct problems.

Factors that can contribute to inefficient production and cost problems are as follows:

- **Wrong days/wrong hours.** Some Field Interviewers insist on maintaining a work schedule that is convenient or desirable for them without regard to when respondents are most often at home. Interviewers must be willing to tailor their schedule and efforts to the nature of their assignments. They must be willing to work various days of the week and various hours of the day to avoid nonproductive work patterns. While fieldwork allows for flexibility, it also requires flexibility on the Field Interviewer's part.
- **Too small/too heavy workloads.** It is important to make sure that Field Interviewers have enough work so that their visits to the field are productive. Giving a Field Interviewer too small an assignment can limit the amount of productive time they spend. Conversely, too large an assignment can limit the thoroughness with which they work, or necessitate too much travel time between sample areas that are not in the same vicinity.

You may encounter these factors at some point during your assignment as a Field Supervisor for GATS. These factors contribute to your ability to successfully work your assigned area and thus must be monitored and controlled.

### 3.10 Practical Staff Management Tips

The following tips have been developed and used for years by successful Field Supervisors and are provided here as a summary of the previous sections. Please review these tips and incorporate them into your approach to managing your team.

#### DO:

- **Be readily available to your Field Interviewers.** Being available demonstrates your commitment to and support of your staff. Your availability can and should be reasonable, with some boundaries established. Except for true emergencies, you do not have to be available 24 hours a day.
- **Be responsive to the questions and concerns of your staff.** This is a supportive behavior that encourages your Field Interviewers to view you as a competent manager who is there to assist them in their duties.
- **Be knowledgeable, resourceful, enthusiastic, and decisive.** Supervisors must be thoroughly familiar with project policies and procedures. Additionally, you should be alert to field issues. Interviewers require answers, guidance, and suggestions from their manager. Your knowledge, judgment, reasoning, and creativity are critical to your ability to manage successfully.
- **Be professional, friendly, and courteous with your staff.** It is never appropriate to use coarse or belittling language with staff. In the long run, a pleasant, professional, supportive relationship yields the best results with Field Interviewers.
- **Be proactive.** Identify and address problems early. Preempt trouble by looking ahead and being prepared for it. Don't delay and wait for things to improve on their own.
- **Follow up!** Always check with your Field Interviewers after giving instructions or guidance. Don't assume a task is going to get done just because you expect it will be done or set it up to be done.
- **Provide regular feedback on Field Interviewer performance.** Field Interviewers appreciate having some gauge of their progress. Supervisors should furnish appropriate comments and sincere compliments, if warranted, on a regular basis.
- **Learn to deal with disappointments.** Not everything will go right, or your way. Don't let it affect your attitude or performance. Look ahead to new opportunities.

#### DON'T:

- **Be your Field Interviewer's "best friend."** It is difficult to be a best friend to someone you must supervise and evaluate. Such relationships can create problems with other staff members as well.
- **Be overly sympathetic or empathetic with Field Interviewers and their problems.** All employees have personal impediments to their availability and performance now and then. However, it is not your job to solve their problems or to become burdened by them. Seek solutions with your Field Interviewers, but do not support their excuses for lack of performance.



## 4. Monitoring Interviewer Performance and Ensuring Data Quality

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Of paramount importance to the success of GATS is the issue of data quality. As a Field Supervisor, you will be directly involved in assessing the quality of work from each of your Field Interviewers. Continuous feedback from you to your Field Interviewers concerning quality issues, both positive and negative, will emphasize the importance the GATS team places on *quality*. Schedule, cost, and production are unimportant if the quality of data is poor. Early in your professional relationship with each of your Field Interviewers, you should communicate the need for and expectation of quality performance.

During the data collection period, you will need to react quickly to data quality issues. This practice will help to ensure (1) proper resolution, (2) completion of interviewer retraining (if necessary) in a timely manner, and (3) minimal damage to the quality of the data. Methods for tracking and ensuring data quality are discussed in this chapter.

### 4.1 Production Goals and Reports

Production includes all activities required to successfully achieve the project's response rate goals. These goals include initiating activities for each assigned household; carrying out contacting, locating, and refusal conversion efforts; and completing these activities successfully, in compliance with all project specifications. Successfully completing interviews for each of their assigned households is the overriding goal for Field Interviewers.

To be able to meet all of the project's expectations, the Field Interviewers must be made aware of each of the goals. Otherwise, production might be slower than necessary, at a higher cost than the project can afford, or of such low quality that the data are not useful. So, initially, the Field Supervisor has the responsibility to ensure that Field Interviewers know the correct parameters that will be used to judge the merits of their efforts:

- How many completed interviews will be required to reach the Field Interviewer's response rate goals?
- What is the time schedule for the Field Interviewer to reach these goals?
- What are the targets for hours and expenses per household?
- What are the project's quality requirements?

If a Field Interviewer knows these parameters, there is a significantly better chance that the job will be done within them.

However, the job of completing interviews and the steps necessary to get to that point can be labor intensive and all consuming. Field Interviewers may become so caught up in the task that they lose track of time, quality, and costs. Therefore, it is the Field Supervisor's job as manager to use reports to keep each Field Interviewer on target. Although the reports are used to gauge the performance level or production of the Field Interviewer, the job is just beginning at that point. The ultimate challenges for the Field Supervisor are to motivate and to enable the Field Interviewers to do better. Interviewers must be stimulated through information about their and others' performance to improve the number of interviews completed.

As part of the regular review of the Field Interviewers' progress and problems, the Field Supervisor must be alert to any occurrences that will affect a Field Interviewer's ability to complete assignments during the data collection period. Such problems must be identified early enough that households can be reassigned to individuals whose workloads will allow completion of work before the deadline.

As a Field Supervisor, you are the Field Interviewer's connection to the time requirements of the survey. It is your responsibility to reinforce what Field Interviewers are told in training with your own proven methods for making things happen on time. All projects run on a timeline with critical dates. That timeline is essential, or the work will never get done. It is important that you and your Field Interviewers are aware of the GATS requirements. What you make important will become important to your staff.

**[USE TEXT BELOW IF YOU WILL HAVE WEB-GENERATED PRODUCTION REPORTS; UPDATE SECTION BASED ON COUNTRY-SPECIFIC PROCEDURES]**

GATS has many different reports that can be used to monitor production. In this section, we have highlighted the reports that we expect you to use on a frequent basis:

- Pending Cases Report.
- Completion Counts and Response Rates, by Interview Type.
- Interview Status Report.
- Case Detail Report.
- Transmission Log Report.

#### **4.1.1 Pending Cases Report**

- **Where Located.** [INSERT COUNTRY-SPECIFIC INFORMATION]
- **What It Tells You.** This report lists each pending questionnaire in your assigned area, including the most recent status code, the date the code was applied, the Field Interviewer who has the household, and the Primary Sampling Unit to which the household belongs.
- **How to Use.** Use this report during your scheduled meetings with your Field Interviewers to review their assignment.

#### **4.1.2 Completion Counts and Response Rates, by Interview Type**

- **Where Located.** [INSERT COUNTRY-SPECIFIC INFORMATION]
- **What It Tells You.** This report shows overall production at a project level nationally and can be filtered by the Field Supervisor's assigned area.
- **How to Use.** Use this report to get a quick snapshot of your response rates for the household screener and individual interview.

#### **4.1.3 Interview Status Report**

- **Where Located.** [INSERT COUNTRY-SPECIFIC INFORMATION]
- **What It Tells You.** This report shows the current number of questionnaires at each status code in your assigned area. This report can be viewed at the project level, at the Field Supervisor level, or by the individual Field Interviewer.

- **How to Use.** Use this report as a quick snapshot of how your households are broken down (for example, are they mostly refusals, no one home, etc.). You may identify households at a certain code that you need to follow up on.

**[USE TEXT BELOW IF USING NON-WEB COMPUTER GENERATED REPORTS]**

Basic production reports that monitor the number of completed questionnaires, pending questionnaires, unworked questionnaires, and so forth can be produced by the Central Office **[IF SUPERVISOR IS GATHERING DATA FROM INTERVIEWERS' SD CARDS]** or can be produced from your laptop based on the most current data you've collected from Field Interviewers' SD cards. **[REVISE BASED ON COUNTRY-SPECIFIC PROCEDURES]**

**[THE TEXT BELOW OUTLINES THE USE OF PAPER-BASED MONITORING, WHICH CAN BE USED ALONE OR IN ADDITION TO ELECTRONIC PRODUCTION MONITORING]**

The Field Supervisor Master Assignment Control Form (see *Exhibit 4-1*) is one of the tools available to you to help monitor the progress of your Field Interviewers. You can maintain one of these forms for each member of your field staff, by Primary Sampling Unit or by Segment (as noted on the top of the form). The form is divided into three sections that are designed to help you see at a glance how efficiently a Field Interviewer is working his or her assigned households and where your intervention or direction might be needed. The information on this form is meant to provide guidance to both a Field Supervisor and to the Central Office on the status of data collection by Field Interviewers. This form will *not* be used to compute preliminary response rates from the survey because all the required elements for computing response rates are not being recorded. Each section of the form is described below.

**Section 1: Household Assignment Information**

The first section of the Field Supervisor Master Assignment Control Form is called "Household Assignment Information." This section is used to record and track the number of *Household* and *Individual Questionnaires* assigned to the Field Interviewer. You will want to fill out this form roughly once a week, although frequency may vary depending on the timing of your scheduled meeting with your Field Interviewers and the availability of data on their interviewing progress.

In rows A and B, record the number of questionnaires in the Field Interviewer's assignment. Note that, for the first period, the number of *Household* (row A) and *Individual* (row B) *Questionnaires* will match both each other and the number of households in the Field Interviewer's initial assignment. If, at some point in the data collection process, you add questionnaires to or remove questionnaires from the Field Interviewer's assignment, the numbers in rows A and B will no longer match the number of households in the initial assignment.

In *Exhibit 4-1*, Field Interviewer #4532 was assigned 34 households on 1 May, 2008. These 34 *Household* and *Individual Questionnaires* remained in the Field Interviewer's assignment in the first and second performance periods, ending 6 May and 10 May, respectively. In the period ending 27 May, 2 *Household* and *Individual Questionnaires* were added to the Field Interviewer's assignment. As of the period ending 27 May, this Field Interviewer had 36 *Household Questionnaires* and 36 *Individual Questionnaires* in his/her assignment.

**Exhibit 4-1. Example Field Supervisor Master Assignment Control Form—GATS**

(Complete one form per Field Interviewer)

FI ID# 4532

PSU #: 51

Segment #: 2

Area Name: Hilltop

Row #	Date of initial assignment: 1 May 2008 Number of households in initial assignment: 34_	Period Ending					
		1 May	6 May	10 May	20 May	27 May	
<b>Household Assignment Information</b>							
A	# of Household Questionnaires at start of period	34	34	34	34	36	
B	# of Individual Questionnaires at start of Period	34	34	34	34	36	
<b>Household Questionnaire Results</b>							
C	Unworked Household Questionnaires	34	10	2	0	0	
D	Completed Household Questionnaires (cumulative)	0	14	25	28	30	
E	Pending non-complete Household Questionnaires (not cumulative)	0	7	3	2	1	
F	Final non-complete Household Questionnaires (cumulative)	0	3	4	4	5	
G	# of Household Questionnaires in assignment at end of period (= C + D + E + F)	34	34	34	34	36	
<b>Individual Questionnaire Results</b>							
H	Unworked Individual Questionnaire	34	17	5	2	1	
I	Completed Individual Questionnaires (cumulative)	0	10	15	20	24	
J	Pending non-complete Individual Questionnaires (not cumulative)	0	4	8	6	4	
K	Final non-complete Individual Questionnaires (cumulative)	0	3	6	6	7	
L	# of Individual Questionnaires in assignment at end of period (= H + I + J + K)	34	34	34	34	36	

## Section 2: Household Questionnaire Results

The next section of the Field Supervisor Master Assignment Control Form is used to record information about the *Household Questionnaire* results—that is, the rostering of eligible household residents and the selection of an individual to interview. The information recorded in this section of the form relates to the *Household Questionnaire* only, not the subsequent *Individual Questionnaire*.

In row C, enter the current number of unworked *Household Questionnaires*. Unworked *Household Questionnaires* are those for which the Field Interviewer has not yet attempted to contact the household. When the initial assignment is made, all questionnaires in the Field Interviewer's assignment are unworked. As the Field Interviewer makes contact with households, other result codes are assigned, depending on the outcomes of the attempts and the number of questionnaires that are reassigned.

In row D, record the number of *Household Questionnaires* the Field Interviewer completed at the end of the first performance period. For each subsequent period, enter the *cumulative* number of completed *Household Questionnaires*. Thus, in row D, you will have a running total of the number of completed *Household Questionnaires* for that Field Interviewer. *Exhibit 4-2* shows a mapping of *Household* and *Individual Questionnaire* result codes to each row of the Field Supervisor Master Assignment Control Form.

In row E, enter the number of pending non-complete *Household Questionnaires*. Pending non-complete *Household Questionnaires* are those for which the Field Interviewer has made at least one attempt to complete, but that attempt did not result in a completed screening. Examples of pending non-complete *Household Questionnaires* are households that the Field Interviewer has visited but no one was home, or households that refused to participate. For this row, enter the number of households that are pending as of that week, not the cumulative number of pending households.

### Exhibit 4-2. Mapping of Household and Individual Result Codes to the Field Supervisor Master Assignment Control Form

Household Questionnaire Results	GATS Result Codes
Completed Household Questionnaires (See row D in Exhibit 4-1.)	200, 201
Pending Non-complete Household Questionnaires (See row E in Exhibit 4-1.)	102, 103, 104, 105, 106, 108, 109
Final Non-complete Household Questionnaires (See row F in Exhibit 4-1.)	202, 203, 204, 205, 206, 208, 209
Individual Questionnaire Results	GATS Result Codes
Completed Individual Questionnaires (See row I in Exhibit 4-1.)	400
Pending Non-complete Individual Questionnaires (See row J in Exhibit 4-1.)	302, 303, 304, 307, 308, 309
Final Non-complete Individual Questionnaires (See row K in Exhibit 4-1.)	402, 403, 404, 407, 408, 409

In row F, record the total number of final non-complete *Household Questionnaires*. This row is cumulative, and you should record the total number of households in the Field Interviewer's assignment that have been coded as final non-completes. Final non-complete *Household Questionnaires* are for households for which (1) the Field Interviewer has made at least one attempt, (2) that attempt did not result in a completed screening, and (3) future attempts are unlikely to yield a completed screening. Field Interviewers must receive your approval before coding a questionnaire with a final non-complete code. An example of a final non-complete *Household Questionnaire* is a household that the Field Interviewer has visited multiple times but no one was home, and it was determined that further attempts would not lead to a completed screening (code 209).

Row G is a tally of all the *Household Questionnaires* remaining in the Field Interviewer's assignment at the end of that performance period. Row G will equal the total number of unworked *Household Questionnaires* (row C), plus the number of completed *Household Questionnaires* (row D), plus the number of pending non-complete *Household Questionnaires* (row E), plus the number of final non-complete *Household Questionnaires* (row F).

At the initial assignment on 1 May, all 34 *Household Questionnaires* were unworked, but by the period ending 10 May, there were only two households that the Field Interviewer had not yet visited. By 20 May, the Field Interviewer had made at least one visit to each address in his/her assignment and had completed 28 *Household Questionnaires*, coded 2 *Household Questionnaires* as pending non-completes, and coded 4 *Household Questionnaires* as final non-completes.

### **Section 3: Individual Questionnaire Results**

This section of the Field Supervisor Master Assignment Control Form is used to track the status of the *Individual Questionnaires* in the Field Interviewer's assignment. Refer to *Exhibit 4-2* for a mapping of *Individual Questionnaire* result codes to each row of the Field Supervisor Master Assignment Control Form.

In row H, enter the number of *Individual Questionnaires* for which the Field Interviewer has not made any attempts to complete. Note that an *Individual Questionnaire* cannot be worked until the corresponding *Household Questionnaire* has been completed.

In row I, record the number of *Individual Questionnaires* that the Field Interviewer has completed. Remember that, in each week, this number must reflect the cumulative total of all completed *Individual Questionnaires*—that is, all *Individual Questionnaires* completed to date.

Enter the current number of pending incomplete *Individual Questionnaires* that the Field Interviewer is still working in row J. Pending incomplete *Individual Questionnaires* include the households in which future visits might lead to a completed interview. Such households include, for instance, if a respondent is sick (code 307) or is not at home (code 309), but a future visit might find the respondent well or at home and willing to complete an interview.

In row K, record the cumulative number of households that have been assigned a final non-complete code. These households are all ones for which you believe future visits will not result in a completed interview. For example, if the respondent has refused on multiple occasions, despite your and your Field Interviewer's best attempts to convince the respondent, you may allow the Field Interviewer to code

the questionnaire with a final non-complete code (code 404), and no future attempts will be made to contact the household.

Row L is a tally of all the *Individual Questionnaires* remaining in the Field Interviewer's assignment at the end of that performance period. Row L will equal the total number of unworked *Individual Questionnaires* (row H), plus the number of completed *Individual Questionnaires* (row I), plus the number of pending non-complete *Individual Questionnaires* (row J), plus the number of final non-complete *Household Questionnaires* (row K).

The Field Interviewer must be able to account for all households that are eligible for an *Individual Questionnaire* and tell you the status of those questionnaires. Again, during your regular meetings with your Field Interviewers, all pending non-complete households must be discussed, and you will work with your Field Interviewers to determine how to best resolve the households.

In *Exhibit 4-1*, as of 6 May, the Field Interviewer had 17 unworked, 10 completed, 4 pending non-complete, and 3 final non-complete *Individual Questionnaires*. In the period ending 10 May, the Field Interviewer worked all but 5 *Individual Questionnaires* with 15 completed, 8 pending non-complete, and 6 coded as a final non-complete.

By the period ending 27 May, the Field Interviewer was able to complete a total of 24 *Individual Questionnaires*, with 4 pending non-complete, 7 final non-complete, and 1 *Individual Questionnaire* for which no attempt had been made because the *Household Questionnaire* is still outstanding.

Note that, for planning and monitoring purposes, you will want to calculate unofficial response rates for the households assigned to your areas. For these purposes, a partial interview can be counted towards the response rate calculation when the respondent has completed the applicable questions through section D of the *Individual Questionnaire*. The exact number of questions the respondent will need to have completed through section D will vary based on the respondent's tobacco use.

Also note that result code 999 households are not included in the tallies of completed *Individual* and *Household Questionnaires*, as code 999 is used to replace a household in the original sample with a newly selected household (as part of the missed housing unit procedure). The total number of cases does not change when a case is assigned code 999.

## 4.2 Observing Interviews

Observing Field Interviewers is an important part of your quality control efforts and can serve as a way to help your Field Interviewers become better at their job. To help Field Interviewers understand the value that the GATS team places on data quality, you must make quality control an integral part of your weekly activities. Your involvement and observation of your Field Interviewers' work will also help avert any temptation on their part to take shortcuts in administering the questionnaire or otherwise not follow the GATS interviewing protocol.

At a minimum, you are expected to observe each of your Field Interviewers during the first few days of the field period and then more infrequently, based on the Central Office's guidelines. On these observations, you will accompany the Field Interviewer to sampled households to verify that the Field Interviewer is recording the visit outcome correctly in the Case Management System on the handheld

device and conducting the household screening and subsequent interview properly. These early visits will go a long way toward making sure that errors in questionnaire administration or use of the result codes are identified quickly and that the Field Interviewer can be given additional training or guidance as needed. Although you are expected to observe your Field Interviewers throughout the field period, your heaviest period of observation should be early in the data collection period. In addition, you may decide to accompany Field Interviewers on particularly difficult visits (for example, households that have refused previously).

You will also be responsible for verifying a percentage of each of your Field Interviewers' completed work, according to parameters set by the Central Office. These verification interviews are described in *Section 4.4*.

### **4.3 Monitoring Data Quality**

The validity of the survey depends on the quality of the data collected. Throughout data collection, GATS staff may perform a number of different steps to assess the quality of the Field Interviewers' interviews. Here are some of the things the GATS project staff and you, as Field Supervisor, may be instructed to look for:

- Potential problems with interview routing or “missing” data.
- Questions with higher than expected rates of “don't know” or “refused” responses.
- Higher than expected rates of “other” responses, rather than one of the pre-coded answer choices.
- “Other, specify” responses that are unclear and cannot be easily coded or that are duplicates of one of the pre-coded options.
- Whether too much or too little time is consistently taken to conduct an interview.
- Data on time per household and cost per household to ensure efficiency in travel time and effectiveness in time management.

### **4.4 Conducting Verification Interviews**

One way to check the quality of the data collected by your interviewing staff is to conduct short verification interviews with households that have already been screened and interviewed. Conducting a short verification interview will allow you to confirm that the Field Interviewer has done the following:

- Identified and screened the correct household. Occasionally, a Field Interviewer may select a household different from the one that was sampled. If this happens, you must direct the Field Interviewer to go to the correct household and conduct the screening and interviewing with that household.
- Recorded the correct age, gender, and smoking status of household members. If the age is not properly recorded (for example, the Field Interviewer includes residents younger than age 15 on the roster in addition to residents 15 years of age or older), this error will affect the identification of eligible individuals and could cause the Field Interviewer to select an incorrect household member to interview.
- Administered the *Individual Questionnaire* to the selected household member.

The exact number of these verification interviews will be determined in conjunction with the Central Office; however, it is generally expected that you will conduct randomly selected verification interviews for about 10% of each Field Interviewer's assignment via in-person or telephone. Verification interviews may consist of either (1) a short verification that asks the selected respondent a small number of questions to verify that the respondent recently completed a survey on smoking-related topics and to assess the performance of the interview or (2) if a country desires, a full re-interview of the *Household Questionnaire* and, if feasible, the *Individual Questionnaire*. Recognizing that respondents may perceive the re-interview process as a burden, you need not administer the entire *Individual Questionnaire*.

Furthermore, verification interviews may be conducted via paper-and-pencil administration or via a handheld device loaded with the households to be verified. When introducing yourself to the household resident(s), be prepared to explain that the purpose of your visit is to ensure that the information collected by the Field Interviewer is accurate and therefore you would like to speak with the previously selected respondent.

You should conduct the verification interview with the previously selected respondent, so that you can accomplish the verification in one visit. However, if you are conducting a full re-rostering of the household as part of the verification interview, you may conduct the household screening portion with someone different from the selected respondent and return to complete the remainder of the verification interview with the selected respondent.

Later, you will compare the responses that you obtained from the re-interview with those recorded by your Field Interviewer. **[INSERT COUNTRY-SPECIFIC PROCEDURES FOR OBTAINING/REVIEWING ANSWERS, IF APPROPRIATE]**. If differences exist and it appears that the Field Interviewer conducted an interview with the incorrect person in the household, you will need to send the Field Interviewer back to the household to interview the correct individual, and the responses should subsequently be compared again. In all cases, whether an error was discovered in the verification process or not, the information from the verification interview should be transmitted to the Central Office along with all other materials.



## 5. Administrative Procedures

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This chapter provides guidelines on your administrative tasks as well as travel and related expenses. A thorough understanding of administrative procedures is important. Errors in completion of required reports and other administrative forms not only cause additional work but often result in costly, time-consuming troubleshooting in the field.

### 5.1 Ordering Supplies

When Field Interviewers have returned from training, they will receive, in bulk, the materials and supplies they need to implement the data collection procedures. It is likely, however, that they will need additional materials and supplies during the fieldwork period. Field Interviewers should inform you during your regular meeting of any need for additional materials and supplies, which you will request for them.

[INSERT COUNTRY-SPECIFIC PROCEDURES]

### 5.2 Reporting with the Central Office

Each Field Supervisor should set up a system for conducting regular meetings with their Central Office counterpart. During these meetings, it is expected that you will be able to provide a summary of data collection progress in your assigned area, including the number of completed or otherwise finalized questionnaires and the status of pending questionnaires.

[INSERT COUNTRY-SPECIFIC PRODUCTION MONITORING INFORMATION] If electronic production reports are not available, a Field Supervisor Master Assignment Control Form will allow for production monitoring on paper.

In addition, you should be prepared to discuss any potential problems that the Central Office staff needs to be made aware of, such as a high incidence of non-interviews in your assigned area. Also during this meeting, you may be expected to provide a summary of your Field Interviewers' time and expenses.

### 5.3 Submitting Materials to Central Office

[INSERT COUNTRY-SPECIFIC PROCEDURES]

When submitting materials to project staff, such as staff at the Central Office or Field Interviewers, you should include a Materials Transmittal Form. The transmittal form will be used to track materials as they are transferred from one staff member to another. An example transmittal form is displayed in *Exhibit 5-1*. The transmittal form is in duplicate. The sender should place the top copy of the transmittal form in the package of materials being transferred and keep the bottom copy for his or herself. The transmittal form serves several purposes. First, it forms 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 the transmittal form to ensure that all materials were included. If materials are listed on the transmittal form but are not in the package, an attempt to locate the materials should be made immediately so that mistakes can be determined, or lost data can be identified as soon as possible. Third, in the event that the entire package has been lost or if one or more items do not make it to their destination, the transmittal form will provide information about what materials may have been lost.

**Exhibit 5-1. 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.		

**5.4 Recording and Reporting Your Time and Expenses**

[INSERT COUNTRY-SPECIFIC PROCEDURES]



## Global Adult Tobacco Survey (GATS)