SURVEY ON OLDER PERSONS IN AFRICA

Supervisor's and Editor's Manual for Malawi

NATIONAL STATISTICAL OFFICE
Zomba, Malawi

UNITED NATIONS
Department of Economic and Social Affaires

8 June 2017

This document draws heavily on the DHS Supervisor's and Editor's Manual (2015)

ICF International. 2015. *Demographic and Health Survey Supervisor's and Editor's Manual.* The Demographic and Health Survey Program. Rockville, Maryland, U.S.A.: ICF International

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NOTE TO SURVEY ORGANIZERS: HOW TO USE THIS MANUAL

The main objective of this supervisor's manual is to provide guidance to field-supervisors on implementing the Multiple Indicator Survey on Ageing (MISA) in the field. This manual familiarizes team leaders and supervisors with the principal directions required to conduct and supervise the MISA in sub-Saharan Africa[1].

The manual is designed to facilitate its use in the field and must be taken along while engaging in field work.

This manual is designed to explain to team leaders and supervisors how to do their jobs. The manual consists of five segments and three annexes addressing the critical aspects of the work of field supervisors during the four phases of fieldwork (1) preparing for fieldwork, (2) organizing and supervising fieldwork, (3) Maintaining fieldwork control sheets, and (4) Monitoring Interviewer performance. It further provides Annexes with copies of (1) Team Leader's Assignment Sheet and (2) Interviewer Progress Sheet. This manual should be used together with the Interviewer's Manual that presents the concepts, goals and field procedures for the MISA in great detail.

This manual is based on the MISA Household and Individual Questionnaires developed for Malawi. Country-specific changes to the Household and Individual Questionnaires as well as in the CAPI application may necessitate changes in this manual, so it is important for survey organizers to carefully review the manual prior to using it.

The most responsible and mature field staff should be appointed to the positions of team leader and field supervisor. Supervisors can be either male or female. It is usually desirable that staff who will be team leaders and supervisors during the main survey should participate in the interviewer training that also includes a pretest of the survey instrument. They should attend all training sessions, and should get experience as interviewers, team leaders and supervisors during the pretest to acquire thorough knowledge of and experience with the questionnaire as well as with CAPI and the interviewers before the implementation of the main survey.

It is advisable to designate team leaders and supervisors prior to the interviewer training in order for them to engage in the final planning stages of the field work and to participate in the interviewer training for the main survey. Active involvement of team leaders and supervisors in interviewer training and the preparatory work for the survey is necessary for an understanding of the role of the interviewer and the problems teams may encounter during fieldwork. Team leaders and supervisors should participate with interviewer trainees in "role playing" interviews and supervise the practice interviewing in the field prior to the start of fieldwork. The latter activity gives team leaders and supervisors as well as interviewers experience in working together as a team. It is also critically important that team leaders and supervisors are fully familiar with the CAPI application and are able to handle general questions regarding its use.

In other cases, the final selection of team leaders and supervisors is made after completion of the interviewer training. In either case, after interviewer training and prior to the beginning of fieldwork for the main survey, two to three days of additional training should be provided on the specific duties of team leaders and supervisors. This is to ensure that all teams will be following

1 This manual provides guidance on paper & pencil surveys. A separate manual has been prepared to provide guidance using Computer Assisted Personal Interviewing (CAPI)

a uniform set of procedures. The additional training is particularly important for individuals who did not participate in the pretest but were selected to be team leaders or supervisors at the conclusion of the interviewer training. It is either during the general interviewer training when appropriate or at this additional training that this manual will be discussed in detail.

I. INTRODUCTION TO THE MISA SURVEY

The number of older persons in Africa is growing rapidly: between 2015 and 2030 the number of people aged 60 years or over in the region is projected to increase by more than 63 per cent, from 64.4 million in 2015 to 105.4 million by 2030 (United Nations, 2015). Rapid population ageing and growing absolute numbers of older persons globally and particularly in Africa demand the full and comprehensive inclusion of ageing matters into the formulation of many sustainable development goals and targets. More than ten years ago, African governments formally adopted the United Nations Madrid International Plan of Action on Ageing (MIPAA) and the African Union Policy Framework and Plan of Action on Ageing (AUPFAA). Following the adoption of MIPAA, successive sessions of the General Assembly have called for the international community and the United Nations system to "support national efforts to provide funding for research and data collection initiative on ageing" (A/RES/69/146).

The Malawi Multi Indicator Survey on Ageing (MISA) is a national sample survey methodology designed to provide information on older persons in sub-Saharan Africa in the three priority areas of the Madrid Plan of Action on Ageing (MIPAA): (1) older persons and development; (2) advancing health and well-being into old age; (3) ensuring enabling and supportive environments[2]. The Malawi MISA will involve interviewing a randomly selected group of older persons 60 years and older. These respondents will be asked questions about their socio-economic background, the children they have given birth to or fathered and living and housing arrangements, their source of income, health and wellbeing and access to social and health services. The survey also assesses the extent older persons provide and receive support and gathers other information helpful to policymakers and administrators in evidence-based policy making to enhance the socio-economic wellbeing and health of older persons in the country.

Field supervisors and team leaders for the Malawi MISA have an important position. They are the primary links between the senior survey staff and the interviewers. As such, they are responsible for ensuring both quality and progress of the fieldwork.

This manual has been prepared to provide the information needed by field supervisors to carry out their duties. Candidates for the positions of field supervisor and team leader for the survey need to study this manual carefully during their training. They also have to study the Interviewer's Manual since it is necessary for them to thoroughly understand the questionnaires and procedures for completing them. Individuals selected to serve as supervisors or team leaders should continue to refer to these manuals throughout the preparation, training and fieldwork period.

A. SURVEY OBJECTIVES

The objective of the development of this methodology is to develop a standard methodology to produce, analyze and deliver harmonized indicators on the situation of older persons in Africa, particularly in the framework of the Madrid International Plan of Action on Ageing (MIPAA) and the 2030 Agenda for Sustainable Development and its related Sustainable Development Goals (SDGs). The cutting-edge survey will be launched in Malawi in July 2017, with the goal to be subsequently implemented in other sub-Saharan African countries. Data from the survey will be used by policymakers to evaluate the situation of older persons in Malawi through first-hand information collected directly from older men and women concerning their living arrangements,

2 More details on the survey is provided in the Interviewer's Manual

socio-economic status and access to health and social benefits. Further topics to be addressed are economic security and employment, asset ownership and support given to and received from the immediate family and community networks. This will enable policy makers to gain a better understanding of the key challenges and needs of older men and women and allow tailoring activities and programmes to efficiently and effectively improve the lives of those in most urgent need. For example information on coverage by social security programs might point to areas that should be targeted with special programs in order to improve coverage in the future. Data on formal and informal support networks will provide insight into the dynamics and scope of formal and informal help and support provided and identify support gaps that need to be filled through Government intervention. Income and asset-ownership data will shed light on the level and depth of poverty amongst older persons. Because the survey covers many interrelated topics, it will be possible to investigate questions such as: are older persons who are taking care of orphans more likely to be poor than others who don't have such responsibilities or, are older men better off than older women or is there a discrepancy in the form of support for older individuals in urban versus rural areas. The information collected in this survey will form the evidence base-line and it is hoped that the survey will be expanded to other districts in Malawi and will also be conducted in other countries in the region to establish a baseline on the situation of older persons, to assess the impact of policies, programmes and other drivers of or hurdles to development.

B. SURVEY ORGANIZATION

Due to the limited financial resources available, the survey will be conducted in Malawi in the following four districts: Mzimba, Lilongwe rural, Mangochi, and Nsanje. A sample at the district level is expected to be representative at the district level, but it will not be representative at the national level. It is expected to draw a total sample of households and, based on the results of the last population census (2008) it is assumed that on average each household has a total of 1.6 -eligible individuals age 60 years and over. The survey aspires to interview a total of age-eligible individuals.

The survey team is composed of the survey manager, the technical team, consisting of data manager, CAPI/data management consultant and IT support as well as six supervisors. Further, the actual fieldwork will be undertaken by eight field-teams consisting of one team leader, four interviewers and a driver per team. Household listing will be undertaken prior to the onset of the interviewing fieldwork. The total field time for the survey is estimated to be 45 working days. This is based on an average of three households/interviewer/day to complete one EA (enumeration area) in three days (average of 1.4 to 2.1interviews/day) .The supervisors will visit the field-teams on a regular basis, undertake spot-checking and address challenges faced by the survey-teams in the field that cannot be solved by the teams on the ground. Team leaders are expected to be in regular contact with the supervisors and other members of the survey team to keep them abreast of the progress of the fieldwork as well as of encountered challenges and delays. It is important that challenges of any nature that cannot be dealt with by the teams on the ground be immediately related to field supervisors or the technical team for immediate onward transmission to the survey director as needed.

C. TRAINING

It is important that team leaders and supervisors attend the interviewer training for the main survey. Supervisors and team leaders should not skip any of the main survey training sessions, even if they were involved in various phases of the development of the survey instrument and/or the planning of the survey. It is also important that the data managers as well as the CAPI expert/consultant participate in the training to be able to address and solve any issues that arise during the training and when testing and pretesting the CAPI application. Active involvement of supervisors, team-leaders and data managers (particularly as they relate to handling the CAPI application) in the interviewer training is crucial for an understanding of the role of the interviewer, the team leader and the supervisor as well as the problems teams may encounter during fieldwork. Supervisors and team leaders should participate in all phases of the classroom training including “role playing” interviews and supervise the practice interviewing in the field prior to the start of fieldwork. The practice interviewing gives supervisors, team leaders, and interviewers experience in working together as a team. Physical presence of the key-actors in the training also allows engaging the entire team to discuss and agree on the composition of field-teams, the procedures and protocols for the day-to-day implementation and management of the survey and the related fieldwork. This will further enable team-members to get to know each other at the personal level. Regardless of status, income, lifestyle or fame – people are people, and making a connection with someone on a personal level is the perfect basis for striking up a sound working relationship. -

It is recommended, if possible, to add two to three days of additional training on the specific duties of team leaders and supervisors. This ensures that all teams follow a uniform set of procedures and to allow team leaders to address any issues and concerns they might have regarding the survey and particularly the field work.

D. RESPONSIBILITIES OF THE TEAM LEADER

The team leader is the senior member of the field team. He/she is responsible for the well-being and safety of team members, the logistics in the field, supervision of the drivers, as well as the completion of the assigned workload and the maintenance of data quality. The specific responsibilities of the team leader are to make the necessary preparations for the fieldwork, to organize and direct the fieldwork, and to conduct periodic spot-checks and re-interviews. The team leader receives his/her assignments from and reports to the project director and is responsible for all communication between the team and the project director.

To prepare for fieldwork, the team leader must:

- Obtain sample household lists and maps for each area in which his/her team will be working.
- Become familiar with the area where the team will be working and determine the best arrangements for travel, food and accommodation.
- Contact local authorities to inform them about the survey and gain their cooperation.
- Obtain all monetary advances, supplies, including tablets for CAPI, and equipment necessary for the team to complete its assigned interviews.

Careful preparation by the team leaders is important for facilitating the work of the team in the field, for maintaining interviewer morale, and for ensuring contact with the central office throughout the fieldwork.

During the fieldwork, the team leader will:

- Assign work to interviewers, taking into account the linguistic competence of individual interviewers and ensuring equitable distribution of the workload.
- Maintain fieldwork control sheets and make sure that assignments are carried out.
- Collect interview consent forms as well as writing samples provided by the respondent (as part of the individual interview) at the end of the field day.
- Conduct regular spot-check interviews and ensure that interviewers perform all quality checks available in CAPI.
- Observe at least one interview every day.
- Conduct regular review sessions with each interviewer and advise him/her of any problems found in his/her interviews.
- Review interviews for completion and approve uploading of completed interviews to network/laptop/computer/server.
- Take charge of the team vehicle, ensuring that it is kept in good repair and that it is used only for project work. Provide guidance and oversight to the driver. Responsible to coordinate transportation requirements within the team and ensure the driver is kept abreast of the transportation requirements of the team.
- In consultation with the team, arrange for lodging and food for the team.
- Make an effort to develop a positive team spirit. A congenial work atmosphere, along with careful planning of field activities, contributes to the overall quality of the survey.
- Keep headquarters informed of the team's location.
- Communicate any problems to the field supervisors.

E. RESPONSIBILITIES OF THE SUPERVISOR/

A team of supervisors responsible for supervising fieldwork teams will coordinate the survey from a central office and provide guidance and overview to the survey staff in the field. They further monitor the progress of the field work, provide support and back-up as needed and review data collected in the case of CAPI interviews. CAPI support staff as well as computer programmers/IT staff will also be assigned to the survey team as needed.

The specific duties of the supervisor are to monitor performance of the field-teams with the aim of improving and maintaining the quality of the data collected. Close supervision and regular engagement as well as backstopping as needed with the field teams is essential to ensure that accurate and complete data are collected. Because the collection of high-quality data is crucial to the success of the survey, it is important that supervisors are mature, responsible individuals who execute their duties with care and precision. This is especially important during the initial phases of fieldwork, when it is possible to eliminate interviewer error patterns before they become habits.

Monitoring field-team performance requires that the field supervisor:

- Visits the teams regularly, at least once a week.
- It is advisable that more visits should be undertaken at the beginning of the survey when the teams generally experience more challenges that need to be rectified rather sooner than later in order to ensure continued smooth operations in the field.
- The supervisor will also engage, as needed, IT and CAPI backup.
- The supervisors are also responsible for all communication from the field teams to the survey director.

II. PREPARING FOR FIELDWORK

A. COLLECTING MATERIALS FOR FIELDWORK

Before leaving for the field, the team leader is responsible for collecting adequate supplies of the materials the team will need in the field. These items are listed below:

Fieldwork Documents

- Team leader’s and Supervisor’s Manual
- Interviewer’s Manual
- Maps and household listing forms for all clusters in the assigned area
- IDs/name tags
- Letters of introduction to local authorities
- Contact information for central office
- Printouts of Household & Individual questionnaires (as a backup in case of CAPI failures)
- Interviewer consent sheets (for all interviews)
- Team leader’s/Supervisor’s Assignment Sheets
- Interviewer’s Assignment Sheets
- Interviewer Progress Sheets

Supplies

- Blue pens for interviewers
- Red pens for the field editor and supervisor
- Clipboards, briefcases, and backpacks
- Paper clips, scissors, string, staplers and staples, cello tape, etc.
- Tablets & chargers
- Memory stick & internet dongles
- UPS
- First aid kit

Funds for Field Expenses

- Sufficient funds to cover expenses for the team
- [Funds for fuel and minor vehicle repairs]
- [Funds for guides]
- [Funds for communicating with the central office]
- [Advances for per diem allowances for the team].

B. ARRANGING TRANSPORTATION AND ACCOMMODATIONS

It is the team leader’s responsibility to make all necessary travel arrangements for his/ her team, whenever possible, in consultation with the central office. Vehicles will generally transport the team to assigned work areas. The team leader is responsible for the maintenance and security of the team vehicle. The vehicle should be used exclusively for survey-related travel, and when not in use, it should be kept in a safe place. The driver of the vehicle takes instructions from the team leader. In case it may be necessary to arrange for other means of transportation, the team leader has the responsibility for making these arrangements.

In addition to arranging transportation, the team leader is in charge of arranging for food and lodging for the team in consultation with all team members. If they wish, interviewers may make their own arrangements, as long as these do not interfere with fieldwork activities or break the team spirit. Lodging should be reasonably comfortable, located as close as possible to the interview area, and provide secure space to store survey materials. Since travel to rural clusters is often long and difficult, the team leader may have to arrange for the team to stay in a central place.

C. CONTACTING LOCAL AUTHORITIES

It is the team leader's responsibility to contact the [regional, provincial, district, and village] officials before starting work in an area. Letters of introduction will be provided, but tact and sensitivity in explaining the purpose of the survey will help win the cooperation needed to carry out the interviews.

D. CONTACTING THE CENTRAL OFFICE

Each team leader and supervisor should arrange for a system to maintain regular contact with the central office staff before leaving for the field. Regular contact is needed for supervision of the team by central office staff, payment of team members, and the provision of technical support and assistance in all unforeseen matters that cannot be handled by the field teams.

E. USING MAPS TO LOCATE CLUSTERS AND SELECTED HOUSEHOLDS

[ADAPT SECTION TO REFLECT SPECIFIC CHARACTERISTICS OF SAMPLE DESIGN.]

A major responsibility of the team leader is to assist interviewers in locating households in the sample. The project director will provide the supervisor and team leaders with maps and a copy of the household listing for each of the clusters in which his/her team will be working. These documents enable the team to identify the cluster boundaries and to locate the households selected for the sample. The representativeness of the survey depends on finding and visiting every sampled household.

Each team will be given general cluster maps, household listing forms, and sketch maps and/or written descriptions of the boundaries of selected areas. Regional or provincial maps help the supervisors and team-leaders to determine the location of sample areas and the distance between them, while general cluster maps and sketch maps of the sampled clusters will help identify how to reach selected households or dwellings.

A cluster is the smallest working unit in any census or survey operation that can easily be covered by one enumerator. It has identifiable boundaries and lies wholly within an administrative or statistical area. The general cluster maps may show more than one cluster (see Figure 1). Each cluster is identified by a number (e.g., EA-05, enumeration area 05). Symbols are used to indicate certain features on the map such as roads, footpaths, rivers, and railroads (see Figure 1). Sketch maps show more details of the selected cluster (see Figure 2).

In most clusters, the boundaries follow easily recognizable land features (such as rivers, roads, railroads, swamps, etc.). However, at times, boundaries are invisible lines. The location and determination of invisible boundaries will require some ingenuity. The following guidelines are suggested to locate the selected clusters:

Figure 1. Example of a General EA Map

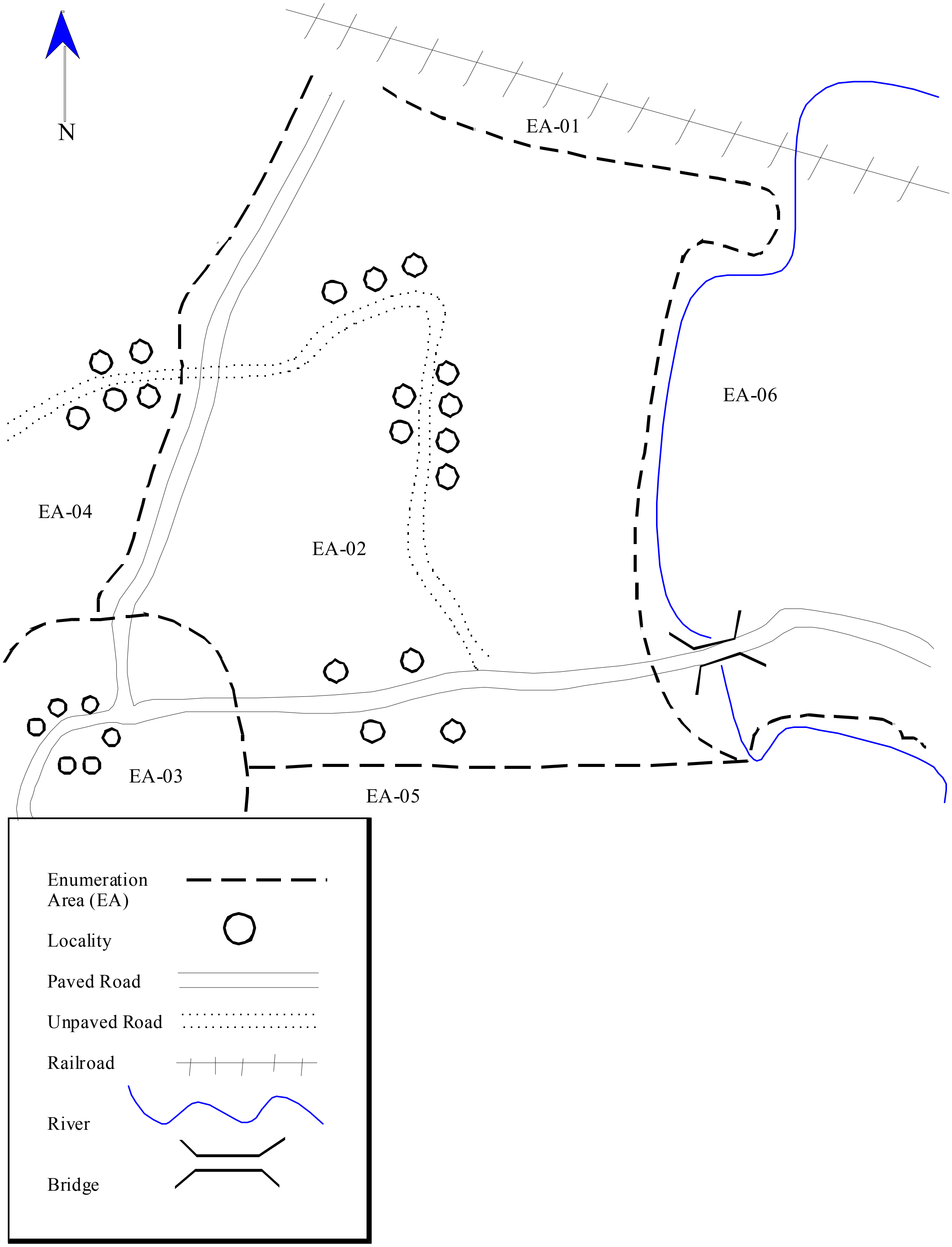
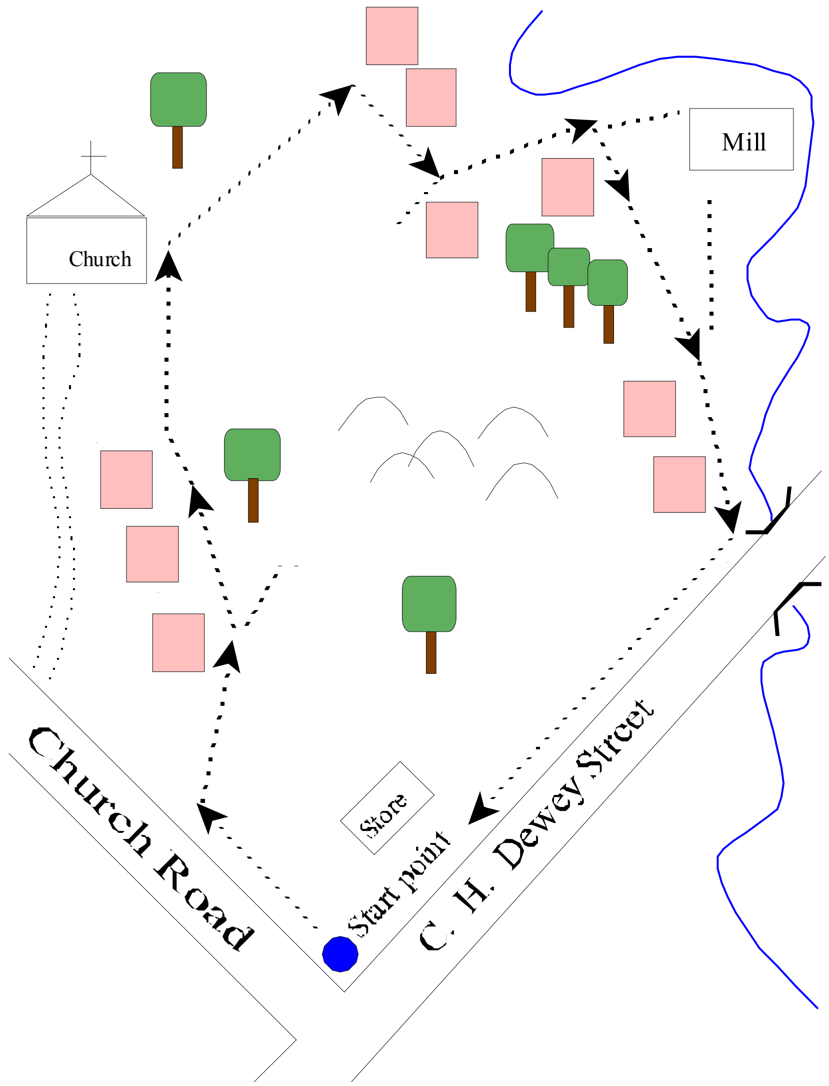
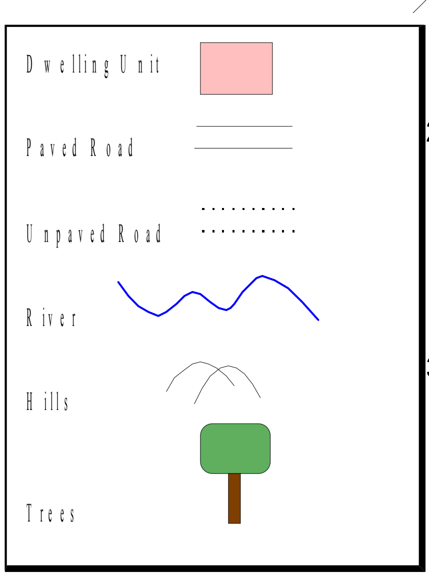


Figure 2. Example of a Sketch Map

1) Identify on the map the road used to reach the cluster. When you reach what appears to be the boundary, verify this by checking the location of terrain features and landmarks





against their location on the map. Do not depend on one single feature; use as many as possible.

2) It is usually possible to locate unnamed roads or imaginary lines by asking local authorities or people living in the area. In most cases, these people will know where the villages or other landmarks are, and by locating these, you can usually determine where the boundary runs.

3) Although there are cases in which boundaries shown on the map no longer exist or have changed location (e.g., a road has been relocated or a river has changed course), do not jump to conclusions. If you cannot locate a cluster, go on to the next one and discuss the matter later with

the team leader.

4) In urban areas, street names will often help you locate the general area. Boundaries can be streets, alleys, streams, city limits, power cables, walls, rows of trees, etc.

5) Check the general shape of the cluster. This will help you determine whether you are in the right place.

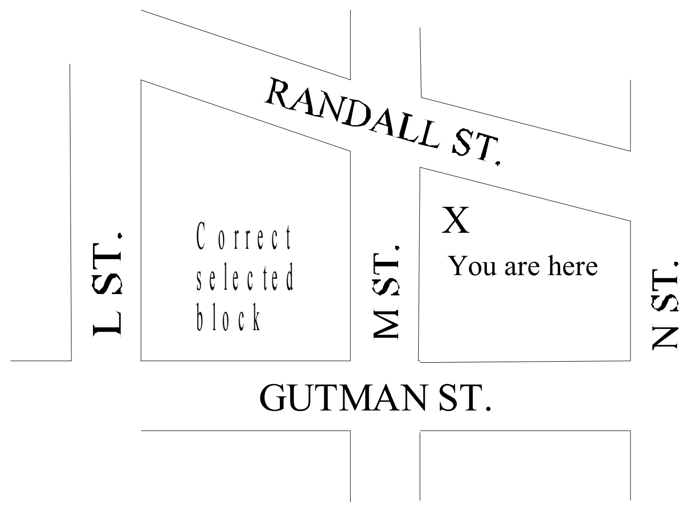
6) Read the written description.

7) Locate all the cluster boundaries before you begin interviewing. For example, if the cluster is a rectangular block, the names of three boundary streets is not enough to unequivocally identify the cluster; check all four boundary streets (see Figure 3).

8) In most cases, the selected households can be located by referring to the household listing form or to the detailed maps of the selected clusters. Because people move around, and sometimes the listing teams may have made errors, you may have difficulty locating the residents of dwellings that were selected.

9) See the Interviewer's manual for a discussion of how to find selected households (see chapter 7.2 in the Interviewer's Manual).

Figure 3. Importance of Identifying All Cluster Boundaries



III. ORGANIZING AND SUPERVISING FIELDWORK

A. ASSIGNING WORK TO INTERVIEWERS

The following tips may be helpful to the team leader in assigning work:

- Make daily work assignments. Be sure each interviewer has enough work to do for the day, taking into account the duration of an interview and the working conditions in the area. The project director will advise you about how many household and how many interviews each interviewer should be able to complete in a day.

- Assign more households to interview than an interviewer can actually do in one day. This will be necessary because some households or identified individuals may not be available for one or both interviews at the time of the interviewer's visit. Sometimes there may be as many as three or four of these cases a day for a particular interviewer. In general, assign fewer households at the beginning of the survey to allow time for discussion of problems and for close supervision. As needed, interviewers need to be given time for second and third visits to selected households to complete the assignment.

- Distribute work fairly among the interviewers. Work should be assigned taking into account the capabilities and strengths of each interviewer but never consistently assigning more difficult workloads to certain interviewers. Drawing numbers out of a hat is a good system to ensure that team and interviewer assignments are distributed on a random basis and that interviewers are aware of this. Bad feelings among the interviewers can be avoided by using this system. If an interviewer is unlucky and consistently draws difficult assignments, the supervisor can purposely provide her some easier assignments.

- Ensure that each interviewer has all the required information and materials for completing the work assignment.

- Maintain complete records each day using the control sheets (see Section IV). All assignments and work completed by each interviewer and for each work area should be carefully monitored for completeness and accuracy.

- Make sure that all selected households and eligible respondents for that cluster have been interviewed before leaving an area. Ensure that all households finally not interviewed were contacted at least three times (different days and different times of the day). See Section C for details on how to handle pending interviews.

- Reassign a household or individual interview to a different interviewer if it turns out that the interviewer knows the respondent or anyone in the household. Interviewers are not allowed to interview anyone they know. It should also be avoided to have interviewers interview households, if individual household members are personally known to an interviewer.

- Finally, it is the responsibility of the team leader to make sure that the interviewers fully understand the instructions given to them and that they adhere to the work schedule.

The work schedule is prepared in advance by the central office, and adherence to it is crucial to avoid overruns in the total amount of time and money allocated for the fieldwork. Team leaders should also monitor the work of each interviewer to assess whether he or she is performing according to the standards set by the central office.

- Team leaders are also responsible to alert the supervisors of any challenges the team faces that cannot be solved within the team. The can be managerial, technical, financial and time related issues that need immediate attention by the supervisor (and possibly also by the survey director) to avoid negative impact on the progress of the fieldwork and finally the success of the survey as a whole.

B. REDUCING NONRESPONSE

One of the most serious problems in sample surveys is nonresponse, that is, failure to obtain information for selected households or failure to interview eligible individuals, in this case, heads of households and older persons. A serious bias could result if the level of systematic nonresponse is high. One of the most important duties of the team leader is to try to minimize this problem and to provide critical support to the interviewers to ensure that all efforts are undertaken to collect the most complete information possible. In many cases, interviewers will need to make return visits to households in the evening or on the weekends to reduce nonresponse. Revisiting households might be a challenging and also time-consuming task and requires strict monitoring by means of the control CAPI. For more details, see also the Interviewer's Manual.

Nonresponse may be classified into three basic types:

Type 1 – the selected household cannot be located
Type 2 – a respondent eligible for the individual interview cannot be located
Type 3 – a respondent refuses to be interviewed.

Various ways of dealing with these types of nonresponse are discussed below (see also chapter 7.3 in the Interviewer's Manual).

Type 1: The interviewer is unable to locate the selected household

a) *Occupied structure inaccessible.* There may be some occupied structures for which no interviews can be made because of impassable roads, etc. The interviewer should be instructed to hold the questionnaire until later. He or she should make another attempt to reach the dwelling at a later date when the situation may have changed. The team-leader should immediately inform the supervisor or director of any difficulty in gaining access to a whole cluster or a sizable number of structures within the same cluster.

b) *Structure not found.* The team leader should make sure the interviewer has tried several times to locate the structure using the household listing form, maps, etc. If the interviewer is still unsuccessful, the team leader should attempt to locate the structure and ask neighbors whether they know anything about the structure or the household members. Again, if this problem occurs frequently, it should be reported to the supervisor or director of field operations. Although no interview has taken place, the cover sheet of a Household Questionnaire should be filled out and code ‘7’ (DWELLING NOT FOUND) filled in for the result code. CAPI!

c) *Structure nonresidential, vacant, or demolished.* If the interviewer indicates that a structure is not a dwelling unit or that it is vacant or demolished, the team leader or supervisor should verify that this is the case. If the interviewer is correct, there is no need for further callbacks (return visits). Although no interview has taken place, the cover sheet of a Household Questionnaire should be filled out and a result code ‘5’ (DWELLING VACANT OR ADDRESS NOT A DWELLING) should be entered.

Type 2: <u>The interviewer is unable to locate the respondent eligible for the individual interview</u>

a) *No one home at time of call.* The interviewer should make every effort to contact neighbors to find out when the members of the household will be at home or where they might be contacted. At least three visits should be made to locate the household members, possibly at different days and different times of the day: it may be necessary to call at mealtime, in the early morning, in the evening, or on the weekend. However, the interviewer should not make “hit or miss” calls just to fill the quota of three visits. UNDER NO CIRCUMSTANCES IS IT ACCEPTABLE TO MAKE ALL THREE VISITS ON THE SAME DAY.

b) *Respondent temporarily absent.* The respondent may not be at home or may be unable to complete the interview at the time of the first call. The interviewer should find out from other household members or neighbors when the respondent can best be contacted, and a return visit should be made then. If the respondent is still not at home at the time of the second visit, another time should be set for a return visit. At least three attempts should be made to locate the respondent. If the interviewer is not able to complete the entire interview during the initial visit, the procedure for callbacks should be followed.

Type 3: <u>The respondent refuses to be interviewed</u>

The number of refusals reported by each interviewer should be closely monitored. If an interviewer reports an unusually high number of refusals, it may indicate that he or she gives up too easily or explains the survey inadequately. If this appears to be the case, the team leader should observe the interviewer promptly. Suggestions for handling potential refusals include the following:

- *Approach respondent from their point of view.* Refusals may stem from misconceptions about the survey or other prejudices. The interviewer must consider the respondent’s point of view, adapt to it, and reassure them. If there is a linguistic or ethnic barrier between the respondent and the interviewer, the team leader should, if possible, send a different interviewer to complete the questionnaire.

- *Postpone interview to another day.* If interviewers sense that they have arrived at an inconvenient or awkward time, they should try to leave before the respondent gives a final “no”; they can should offer to return at a more convenient time later the same day or at another day when circumstances are more likely to result in a successful interview.

- *Have team leader or supervisor carry out the interview.* The team leader's knowledge, skill, and maturity may enable him/her to complete a difficult interview when the assigned interviewer was unable to do so.

C. HANDLING PENDING INTERVIEWS

When information has not been collected from a selected household or from an eligible respondent and the return visits have not been completed, the interview is considered "pending." All materials pertaining to this interview should remain with the interviewer until he or she has completed the pending interview. Team leaders should keep track of all assignments including pending interviews on the Team Leader's Assignment Sheet (see Section IV.A).

Completing callbacks for pending interviews is time consuming and should be carefully planned. If a few interviews remain pending as interviewing in a cluster nears completion, one or two interviewers should be assigned to remain in the area and complete the interviews while the rest of the team proceeds to the next assignment area. In this way, the whole team is not kept waiting for one or two interviewers to finish. Clear instructions should be left with the interviewers as to where and when to rejoin the team and what method of transportation should be used.

D. MAINTAINING MOTIVATION AND MORALE

The team leader and supervisors play a vital role in creating and maintaining motivation and morale among the interviewers. Sustained strong motivation and positive moral within the team is essential to good-quality work. To achieve this, it is necessary to make sure that interviewers:

- Understand clearly what is expected of them.
- Are properly guided and supervised in their work.
- Receive recognition for good work.
- Are stimulated to improve their work.
- Work in tranquil and secure conditions.

In working with the interviewers it may be useful to adhere to the following principles:

- Rather than giving direct orders, try to gain voluntary compliance before demanding it.

- Without losing a sense of authority, try to involve the interviewers in decision-making, and at the same time, see to it that the decision remains firm.

- When pointing out an error, do it with tact, in a friendly manner, and in private. Listen to the interviewer's explanation, show him/her that you are trying to help, and examine the causes of the problem together.

- When interviewers voice complaints, listen with patience and try to resolve them.

- Try to foster team spirit and group work.

- Under no circumstances show preference for one or another of the interviewers.

- Try to develop a friendly and informal atmosphere.

Finally, remember that encouraging words, instructions, and constructive criticism are not worth anything unless the team leaders and supervisors set good examples. It is important to *demonstrate* punctuality, enthusiasm, and dedication in order to demand the same of other team members. Never give the impression that you are working less than other members of the team, or that you are enjoying special privileges; this may produce a lack of faith in the project and cause general discontent. An ill-prepared team leader or supervisor will not be able to demand high-quality work from interviewers and will lose credibility and authority. Interviewer morale and motivation depend on your morale and motivation.

IV. MAINTAINING FIELDWORK CONTROL SHEETS

Control of fieldwork within sample clusters is maintained by keeping control sheets for interviewer assignments. Three forms are used to maintain control of questionnaires and measure progress:

- Team Leader’s Assignment Sheet
- Interviewer’s Assignment Sheet
- Interviewer’s Progress Sheet

A. TEAM LEADER’S ASSIGNMENT SHEET

One Team Leader’s Assignment Sheet should be completed for each cluster by the team leader and returned through the supervisor to the head office upon completion of the survey and uploading of the data from that cluster following the procedures provided by the NSO. An example of the Team Leader’s Assignment Sheet is shown in Annex 1.

The first step in completing the Team Leader’s Assignment Sheet is to copy the cluster identification information (cluster number and name of the locality) from the household listing form or the map. The cluster number is a [xxx]-digit number and will be written on the top of each page of the household listing.

The next step is to record the information for all selected households from the household listing forms or the maps. They should be written on the Team Leader’s Assignment Sheet **in the same order** in which they are written on the household listing forms. The project director] will provide the team leader with the appropriate forms or maps for each cluster the team is assigned.

Several pages of the Team Leader’s Assignment Sheet will usually be needed to list all of the selected households in a cluster. The cluster number and name of locality should be filled in on all of the pages, and they should be numbered sequentially in the space provided at the top of the sheet (page 1 of 5 pages, p. 2 of 5 pages, etc.). If an additional sheet is needed, either because additional households were found during the interviewing or because a household has more eligible older persons the team leader should staple that sheet to the others for that cluster and correct the total number of pages reported for the cluster.

Using the guidelines in Section III, the team leader should assign each interviewer a number of households to interview. When making household interview assignments, Columns (1) through (5) of the Team Leader’s Assignment Sheet should be completed. TBD

The interviewers are then responsible for 1) interviewing the assigned households, 2) determining who in the household is eligible for interview with the Individual Questionnaires, and 3) interviewing all the eligible respondents in the household.

At the end of each day, the interviewers will return the tablets in which all interviews have been completed to the team leader for checking). The team leader will review the Household and Individual Interview to check that:

- All eligible respondents have been correctly identified on the Household Questionnaire.

- Each eligible respondent was contacted for an interview even if the interview was not completed.

- All CAPI checks have been conducted and dealt with accordingly

- Other CAPI….

Next, copy the information from the questionnaires about the results of the interview into Columns (6) through (9) of the Team Leader's Assignment Sheet. Record the final result of the household interview in Column (6) and the number of older persons age 60 and over in Column (7). Record the line numbers of eligible older persons.

Remarks and comments about the interview assignment, results, or interviews may be recorded in Column (9). For example, reassignment of a pending interview or a change in the name of a household head may be recorded here. Also note here any irregularities observed during spot-checks or re-interviews.

Check to be sure that you have listed all the households on the Team Leader's Assignment Sheet that were selected. To ensure this, you are required to fill in the two boxes at the bottom of the Team Leader's Assignment Sheet marked "Number of households selected" and "Number of Household Interviews to be conducted." There can never be fewer Household Interviews to be conducted than selected households or dwellings, but there can be more.

Always start a new cluster on a separate Team Leader's Assignment Sheet. Be sure to write neatly since these forms will be used for control purposes in the central office to ensure that all household and individual interviews were conducted as scheduled.

B. INTERVIEWER'S ASSIGNMENT SHEET

Each interviewer will fill out an Interviewer's Assignment Sheet for each cluster (it may be necessary to use more than one sheet per cluster). The Interviewer's Assignment Sheet is similar to the Team Leader's Assignment Sheet and helps each interviewer keep track of the households assigned to him/her. The team leader should review the Interviewer's Assignment Sheets each evening and discuss the results of the interviews. The Interviewer's Assignment Sheet is described in the Interviewer's Manual.

C. INTERVIEWER'S PROGRESS SHEET

The team leader will keep an Interviewer Progress Sheet (see Annex 2) for each interviewer. The team leader will update the Progress Sheet at the end of work in each cluster. The supervisor will keep these sheets until the end of the fieldwork.

The Interviewer Progress Sheet is designed to give the team leader and field supervisor an objective and continuous measure of the interviewer's performance. Serious discord within a team can occur when one interviewer does much less work than the others. These cases must be identified and examined in order to assess whether there is good reason for lower performance or whether the interviewer is just taking it easy and leaving his or her colleagues to do most of the work. Similarly, this sheet will allow you to identify whether an interviewer is getting more nonresponses or refusals than others on the team. In such a case, spot-checking should be carried out to determine whether the nonresponses or refusals are due to poor interviewer performance. If the interviewer is at fault, the team leader should have a serious talk with him/her, pointing out the problems, suggesting ways he/she can improve, and indicating that he/she must perform better. If performance does not improve, the director of field operations must be informed. He or she will decide what further action to take. CAPI

Assign one Interviewer Progress Sheet for each interviewer. The team leader will make entries on the sheet each time a cluster is completed. The procedure for filling in the Interviewer Progress Sheet is as follows:

> Column (1): Enter each cluster number on a separate line in Column (1).
>
> Columns (2) and (4): For each cluster, enter the number of completed Household Questionnaires (i.e., with result code '1') in Column (2) and the number of Household Questionnaires not completed (with result codes '2' through '9') in Column (4).
>
> Columns (6) and (8): Enter the number of Individual Interviews completed in Column (6) and the number not completed in Column (8).
>
> Columns (3), (5), (7), (9),: The figures recorded in these columns are cumulative for all clusters. In Column (3), you will keep a cumulative count of the numbers recorded in Column (2), and in Column (5), you will keep a cumulative count of the numbers recorded in Column (4), etc.

The cumulative figures make it possible to check at any time the number of interviews assigned to an interviewer and the results of their work. The team leader can also check to see whether the workloads and the completion rates are approximately the same for all interviewers.

V. MONITORING INTERVIEWER PERFORMANCE

Controlling the quality of the data collection is the most important function of the team leader and the supervisors. Throughout the fieldwork, he/she will be responsible for observing interviews and carrying out spot-checks and re-interviews. By checking the interviewers' work regularly the team leader can ensure that the quality of the data collection remains high throughout the survey. It may be necessary to observe the interviewers more frequently at the beginning of the survey and again toward the end. In the beginning, the interviewers may make errors due to lack of experience or lack of familiarity with the questionnaire; these can be corrected with additional training as the survey progresses. Toward the end of the survey interviewers may become bored or lazy in anticipation of the end of fieldwork; lack of attention to detail may result in carelessness with the data. To maintain the quality of data, the team leader should check the performance of interviewers thoroughly at these times.

A. OBSERVING INTERVIEWS

The purpose of the observation is to evaluate and improve interviewer performance and to look for errors and misconceptions that cannot be detected through editing. It is common for a completed questionnaire to be technically free of errors but for the interviewer to have asked a number of questions inaccurately. Even if the team leader does not know the language in which the interview is being conducted, s/he can detect a great deal from watching how the interviewers conduct themselves, how they treat the respondents, and how they fill out the questionnaire. The team leader should observe each interviewer many times throughout the course of fieldwork. The first observation should take place during interviewer training and may also be used as a screening device in the selection of interviewer candidates. Each interviewer should also be observed during the first two days of fieldwork so that any errors made consistently are caught immediately. Additional observations of each interviewer's performance should be made during the rest of the fieldwork. The team leader should observe at least one interview per day during the course of the fieldwork, with the heaviest observation at the beginning and end.

During the interview, the team leader should sit close enough to see what the interviewer is writing/typing, in the case of CAPI assisted interviews. This way, she can see whether the interviewer interprets the respondent correctly. It is important to write notes of problem areas and points to be discussed later with the interviewer. The team leader should not intervene during the course of the interview and should try to conduct him/herself in such a manner as not to make the interviewer or respondent nervous or uneasy. Only in cases where serious mistakes are being made by the interviewer should the team leader intervene.

After each observation, the team leader and interviewer should discuss the interviewer's performance. The questionnaire should be reviewed, and the team leader should mention things that the interviewer did correctly as well as any problems or mistakes.

At this stage it will also be crucial to catch any inconsistencies with CAPI, such as erroneous skipping patterns, missing questions, misplaced interviewer instructions and mal functioning data quality checks.

B. EVALUATING INTERVIEWER PERFORMANCE

The team leader should meet daily with the interviewers to discuss the quality of their work. In most cases, mistakes can be corrected and interviewing style improved by pointing out and discussing errors at regular meetings. At team meetings, the team leader should point out mistakes discovered during observation of interviews or noticed during interview review (see Chapter VI). S/he should discuss examples of actual mistakes, being careful not to embarrass individual interviewers. Re-reading relevant sections from the Interviewer's Manual together with the team can help resolve problems. The team leader can also encourage the interviewers to talk about any situations they encountered in the field that were not covered in training. The group should discuss whether or not the situation was handled properly and how similar situations should be handled in the future. Team members can learn a lot from one another in these meetings and should feel free to discuss their own mistakes without fear of embarrassment.

The team leader should expect to spend considerable time evaluating and instructing interviewers at the start of fieldwork. If they feel that the quality of work is not adequate, the interviewing should stop until errors and problems have been fully resolved. In some cases, an interviewer may fail to improve and will have to be replaced. This applies particularly in the case of interviewers who have been dishonest in the recording of ages of household members and particularly older persons.

C. REINTERVIEWS

As said before, the most important function of the team leader is to ensure that the information collected by the interviewers is accurate and complete. A powerful tool in checking the quality of the data is to systematically spotcheck the information for particular households. This is done by conducting a short reinterview in some households and checking the results with what was collected by the interviewer. Reinterviews help reduce three types of problems that affect the accuracy of the survey data.

First, reinterviews are used to check that the interviewer actually interviewed the selected household. Sometimes interviewers either inadvertently locate the wrong household or they may deliberately interview a household that is smaller or a household in which someone is home at the time they are in that area, thus making it easier to finish their work quickly. Occasionally, an interviewer may not interview any household and just fill in a questionnaire on his/her own. Reinterviews are a means of detecting these problems.

Another problem that arises frequently is that some interviewers may deliberately subtract a year or two from the date of birth of an older person in order to avoid having to conduct the individual interview. An interviewer may even change the age of the older person on the Household Questionnaire to avoid suspicion by people checking the questionnaires. Or, interviewers may omit listing an older person age 60 and over altogether.

It is also important to ensure that the interviewer has administered the informed consent form to all respondents properly, so the person conducting the reinterview should also ask the respondent if he/she was fully informed by the interviewer about the voluntary nature of participation, the confidentiality of the information provided, and other key aspects of informed consent. For more details on the administration of the informed consent form please refer to the Interviewer's Manual, chapters 5 & 6.

To reduce the occurrence of such problems, team leaders will be responsible for conducting at least one re-interview in each cluster O). The team leader should focus the re-interviews on households that contain older persons at the borderline ages of 57-59. Also, team leaders should make sure that households from all of the team's interviewers are occasionally reinterviewed. The reinterview should, if possible, be made on the same day as the interviewer's visit so that any visitors who stayed there the night before can still be contacted.

To conduct the re-interview, the team leader should visit the selected household with only the reinterview questionnaire (without taking the original questionnaire) and interview the household, filling in the household listing of the Household Questionnaire only. After completing the reinterview, the supervisor should obtain and review the original household interview and compare the information. He or she should write the results of the comparison on the reinterview questionnaire. For example: "identical listings," "Person on Line 02 not in original questionnaire," "Person on Line 05 in original questionnaire not there now," "Older Person on Line 06 was age xx in original questionnaire," "Eligible older person on Line 08 not in original questionnaire." Some differences in information are to be expected, especially if a different household member is interviewed during the reinterview. However, if the supervisor discovers an age eligible woman or man who was not identified in the original interview, he or she should call this to the interviewer's attention and send him/her back to interview the eligible respondent. Similarly, if an older person who is 60 years or older was either omitted from the original questionnaire or listed as being under age 60 in the original questionnaire, the interviewer should return to gather the missing information on the original questionnaire.

If such omissions or displacements occur frequently with the same interviewer, the team leader should check the interviewer's work very closely. Interviewers will be less tempted to displace or omit age eligible individuals if they know that this practice will be exposed during reinterviews.

VI. EDITING QUESTIONNAIRES

Ensuring that interviews are reviewed for completeness and consistency is the most important task of the interviewer and team leader using the CAPI built-in checks. *Every questionnaire must be completely checked in the field.* This is necessary because even a small error can create much bigger problems after the information has been entered into the computer and tabulations have been run. Often, small errors can be corrected just by asking the interviewer. For example, if an answer of '02 MONTHS' is inconsistent with another response, the interviewer may recall that the respondent said '2 years,' and the error can easily be corrected. In other cases, the interviewer will have to go back to the respondent to get the correct information. Timely review and editing of the interview and related questionnaire permits correction of questionnaires in the field.

Since errors make the analysis of the data much more difficult, the data processing staff has prepared a set of checks in CAPI that will check each questionnaire and present a list of all errors. If the errors are major ones, an entire questionnaire may be omitted from the analysis. As you are editing questionnaires in the field, it may help to try imagining how the questionnaire would look to a clerk in the office. Would he or she be able to read the responses? Are the answers consistent? Since editing is such an important task, we have prepared a set of instructions that describe the procedures for editing questionnaires.

A. <u>GENERAL INSTRUCTIONS</u>

1) Correct errors following the system described in the Interviewer's Manual. Draw two lines through the existing code and circle or enter the new response.

2) Correct errors following the system described in the Interviewer's Manual. Draw two lines through the existing code and circle or enter the new response.

3) As you go through the questionnaires, if a response is missing (the question should have been asked, but there is no answer recorded), or the response is inconsistent with other information in the questionnaire and you cannot determine the correct response, put a question mark ('?') next to the item, using your red pen.

4) As you review questionnaires, write the page number or the question number on the front or back of the questionnaire those pages or questions that indicate the issues you need to discuss with the interviewer.

5) When you have completed the review of the completed interviews, discuss with each interviewer, individually, the observations you found. Refer to the page/question numbers on your log to be sure you address all the problems you found. Any errors that you find frequently should be discussed with the whole team.

6) If the problems are major, such as discrepancies in the age of household members or the economic or health sections, it will be necessary to go back to interview the respondent again. If a return visit is not possible, try to establish, with the interviewer's assistance, the correct response from other information in the questionnaire. For example, if there is no code circled to indicate a person's sex, you might be able, with the interviewer's help, to determine from the name, which sex the person is.

***UNDER NO CIRCUMSTANCES SHOULD YOU MAKE UP AN ANSWER*.**

B. ORGANIZING QUESTIONNAIRES FOR RETURN TO THE OFFICE

1) Check the interviews against the Team Leader's/ Assignment Sheet to be sure that:

- The correct number of Household Interviews were conducted.
- The correct number of Individual interviews were conducted.

C. FORWARDING QUESTIONNAIRES TO THE HEAD OFFICE

After all the checking described above has been completed, the team leader should authorize the uploading of all interviews (follow CAPI procedures).

Also provide instruction regarding back-ups from the tablets to team leaders and interviewers Interviewer and Team Leader Assignment Sheets need to be kept – use separate ones for each Cluster.

ANNEX 1: TEAM LEADER Progress Sheet

TEAM LEADER'S NAME ____________________ |__|__|

HOUSEHOLDS						OLDER PERSONS				
DHS HOUSE-HOLD NUMBER (1)	STRUC-TURE NUMBER OR ADDRESS (2)	NAME OF HOUSEHOLD HEAD (3)	HOUSE-HOLD HAS AGE ELIGIBLE MEMBER (4)	INTER-VIEWER AND DATE ASSIGNED (5)	INTER-VIEW FINAL RESULT (6)*	TOTAL OLDER PERSONS (60 YEARS OF AGE AND OLDER) (7)	LINE NUMBER OF OLDER PERSON (8)			NOTES (9)
			Y N							
			Y N							
			Y N							
			Y N							
			Y N							

*CODES FOR COLUMN (6)

1 COMPLETED
2 NO HH MEMBER AT HOME/NO COMPETENT RESPONDENT
3 ENTIRE HH ABSENT FOR EXTENDED PERIOD
4 POSTPONED
5 REFUSED
6 DWELLING VACANT/ADDRESS NOT A DWELLING
7 DWELLING DESTROYED
8 DWELLING NOT FOUND
9 NO ELIGIBLE HH MEMBER
10 OTHER

NUMBER OF HOUSEHOLDS SELECTED |__|__|	NUMBER OF HOUSEHOLD INTERVIEWS |__|__|	NUMBER OF INDIVIDUAL INTERVIEWS |__|__|

ANNEX 2: INTERVIEWER Progress Sheet

MISA INTERVIEWER PROGRESS SHEET

(USE A SEPARATE SHEET FOR EACH INTERVIEWER)

INTERVIEWER NAME ______________________________

CLUSTER NUMBER (1)	HOUSEHOLD QUESTIONNAIRES				OLDER PERSON'S QUESTIONNAIRES			
	NUMBER COMPLETED		NUMBER NOT COMPLETED		NUMBER COMPLETED		NUMBER NOT COMPLETED	
	PER CLUSTER (2)	CUMULATIVE (3)	PER CLUSTER (4)	CUMULATIVE (5)	PER CLUSTER (6)	CUMULATIVE (7)	PER CLUSTER (8)	CUMULATIVE (9)