



Global Adult Tobacco Survey (GATS)



Field Interviewer Manual

Global Adult Tobacco Survey (GATS) Field Interviewer Manual

September 2020

Global Adult Tobacco Survey (GATS) Comprehensive Standard Protocol

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

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 tobacco¹. Furthermore, more than 8 million people die each year due to tobacco-related illnesses². 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 countries³. 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.

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

1.1 Overview of the Global Adult Tobacco Survey

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

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

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

¹ 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>

² 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.

³ 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 responsibilities and tasks that Field Interviewers are expected to follow when conducting GATS. This chapter provides background information on GATS. Next, the manual provides guidance on how to locate, contact, and screen selected households; how to obtain participation; how to administer the questionnaire; and how to ensure that high-quality data are collected. The last few chapters of the manual describe general administrative and reporting protocols that Field Interviewers are typically expected to follow, as well as protocols for keeping equipment and data secure. Adherence to prescribed procedures and duties is extremely important to the success of this survey.

1.3 Organization Conducting GATS in [COUNTRY]

[INSERT COUNTRY-SPECIFIC INFORMATION.]

1.4 Data Collection Schedule

[INSERT COUNTRY-SPECIFIC DATA COLLECTION SCHEDULE.]

2. Your Job as a Field Interviewer

2.1 Introduction

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

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

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

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

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

2.2 Your Role as a Professional Field Interviewer

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

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

2.3 Professional Ethics and Respondents' Rights

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

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

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

2.4 Importance of Confidentiality

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

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

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

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

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

- Never discuss any aspect of a particular respondent with anyone other than project staff. Also, discussions among project staff should take place only when necessary for the accurate and

timely completion of work. If you need advice or support regarding a respondent, speak with your Field Supervisor.

- Do not screen or interview someone you know personally.
- Do not reveal to others why you need to visit a certain person or a particular home. If you are having trouble locating a certain house, you may ask for directions to the specific address. If asked about the nature of your visit, say that you are contacting the residents about participation in an important survey, but do not mention the specific nature or name of the survey.
- Never give survey-specific information to unauthorized persons, either in writing, by phone, or in person.
- Keep all documents safe and out of view. This guideline means that materials such as household listings, Assignment Control Forms, and Consent Forms containing respondent names, addresses, or other identifiable information must be kept in a safe and secure location.
- Keep all project-related materials and equipment in a secure location at all times.

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

2.5 Performance Expectations

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

Exhibit 2-1. Example GATS Statement of Confidentiality

[TO BE MODIFIED TO ADDRESS COUNTRY-SPECIFIC NEEDS.]

I, _____ (print name), acting in the capacity of a Field Interviewer for the Global Adult Tobacco Survey (GATS) sponsored by [INSERT COUNTRY-SPECIFIC AGENCY], agree to work on GATS in accordance with the guidelines and restrictions specified below. I understand that compliance with the terms of this agreement is a condition of my employment agreement with the 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 my Field Supervisor.
 6. Not photocopy or record by any other means any confidential survey information unless authorized by survey leaders or my Field Supervisor.
 7. Not in any way compromise the confidentiality of survey participants.
 8. Not allow access to any confidential survey information to unauthorized persons.
 9. Report any lost or misplaced equipment and/or confidential survey information to my Field Supervisor immediately.

FIELD INTERVIEWER SIGNATURE

_____/_____/_____
DATE

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

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

3. Contacting the Sample Address

3.1 Introduction

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

3.2 Reviewing Household Assignment Information

After you successfully complete training, you will receive Assignment Control Forms and a handheld device⁴ loaded with the corresponding *Household* and *Individual Questionnaires* for each household in your assignment. The households on your Assignment Control Form represent your initial assignment.

3.3 Scheduling Fieldwork and Planning Your Route

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

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

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

The timing of your fieldwork is very important. Plan your trips so that you will be in your assigned areas during times when the chances of finding a respondent at the address are the best. The most productive hours for first visits to sample addresses may vary by country. **[INSERT COUNTRY-SPECIFIC GUIDANCE.]**

⁴ GATS uses General Survey System (GSS) software, which is designed to run on an Android platform (Version 5.0 or later).

3.4 Assembling Field Materials

Each day, before you start, you must verify that you have all of the equipment and documents you will need. You will need the following materials on all visits **[ADD OR DELETE FROM LIST, DEPENDING ON COUNTRY REQUIREMENTS]**:

- 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, with necessary accessories
- **[INSERT COUNTRY-SPECIFIC ITEMS USED TO FIND ADDRESSES, SUCH AS SEGMENT MAPS]**
- **[INSERT ANY HANDHELD DEVICE ACCESSORIES NEEDED FOR DATA TRANSMISSION, SUCH AS MODEM]**
- Pens or pencils
- Field Supervisor contact information
- *GATS Field Interviewer Manual*
- *GATS Question by Question Specifications* manual

When preparing for a field visit, assume that you will complete a household screening and an individual interview at each sampled address.

3.5 Locating the Sample Addresses and Addressing Missed Households

You are expected to visit your assigned area(s) prior to making any contact with a household within that area. If you are not already familiar with your assigned area(s), use a local street map or consult with your Field Supervisor. Determine the general location of the address and the most efficient route of travel to reach the area(s) during your careful, advance review of your assigned households.

The purpose of this advance visit is to identify all households that you will screen and to make sure that the household listing matches what you see in the field. During this initial visit, you should do the following:

1. Identify any large groupings of housing units that are located within the boundaries of the segment but are *not* included on the household listing that constitutes the sampling frame for that segment. You should record any missed housing units on a sheet of paper, clearly label their location, and send the information back to the sample design team before visiting any individual housing units. Although it depends on the area being sampled, in general, if 50 or more missing housing units in a household listing for that area are found, you should send an updated listing of the area back to your Field Supervisor before you 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 housing units in a segment.

2. Identify any new or missed housing units that are on your route. There are two methods of checking for missed housing units along your route, depending on the structure of the original household listing that was used as the sampling frame for that area. If you have a question as to which method to use, contact your Field Supervisor.

- *If the household listing or sampling frame reflects a continuous path of travel through the segment, use the half-open interval technique to identify housing units 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 housing unit, look to see if any housing unit exists between the sample housing unit and the housing unit underneath it on the household listing.*

The half-open interval technique should be used to identify missed housing units when the household listing reflects a continuous path of travel.

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

If one to three missed housing units are found, list them on a sheet of paper, and then randomly select one.

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

- If more than three housing units appear to be missing, record all of the missed housing units on a sheet of paper and contact your Field Supervisor before making any contact with a housing unit in the area. The sample design team will decide if taking a random sample of one unit is sufficient to address the missed housing units or if taking a greater sample is warranted.
- *If a household listing does not reflect a continuous path of travel and the sample of housing units was selected as a contiguous cluster, you must identify housing units that might have been missed within the geographic boundaries of the contiguous cluster chosen. If one to three housing units appear to be missing, you must identify a selected housing unit nearest to the group of missed housing units. List the nearest sampled housing unit and the*

When households are selected as a contiguous cluster, identify missed housing units within the boundaries of the cluster chosen.

missed housing units on a separate sheet of paper, then randomly select one unit from this sheet. **[INSERT COUNTRY-SPECIFIC PROCEDURE FOR RANDOM SELECTION.]** The nearest sampled housing unit may be selected again, or one of the missed housing units may be selected. Send the sheet back to the Sample Design Team so that the additional units and the replaced unit can be properly documented in GATS analytic files. If you find more than three missed housing units in a contiguous cluster, you must record all of the missed housing units on a sheet of paper and send this information to your Field Supervisor before making any contact with a housing unit. In this instance, the Sample Design Team may want to consider sub-selecting an area within the contiguous group of housing units.

Note that an interview should be conducted at an originally sampled housing unit only if it is reselected by one of these methods. However, if you discover one to three missed housing units and a unit other than the original housing unit is sampled, you must do the following:

- Make an entry for the new housing unit at the end of the paper Assignment Control Form and record the housing unit ID from the handheld device entry onto the Assignment Control Form, so that the housing units are properly linked.
 - Document on the paper Assignment Control Form that the originally sampled housing unit has been replaced with a new housing unit by assigning result code 999 to the Household Questionnaire of the originally sampled housing unit, and by making a notation that it was replaced with housing unit 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). Entering result code 999 will require an authorization code from your Field Supervisor. 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 household questionnaire (see Section 11.5).
 - Edit the address of the unassigned Household Questionnaire on the handheld device and add the address information of the newly selected housing unit where the interview attempt will take place. To do so, go to the Case Management System and find the first available unassigned Household Questionnaire that matches the sex designated for the original address that has been replaced. All unassigned questionnaires will have IDs beginning with “9” **[CONFIRM CONVENTION WITH COUNTRY]** for easy identification. Touch and hold the unassigned questionnaire to highlight the row and then touch **Edit Address**. Enter the address of the new housing unit in the Edit Address screen. Then touch **Update** when you are finished. Once the address has been edited for the Household Questionnaire, it will automatically be updated in the corresponding Individual Questionnaire.
3. For each housing unit on your Assignment Control Form, you should inspect the selected housing unit to see if there appears to be more than one household living in the unit. For example, an old house may have been converted to several apartments. When this occurs, create a listing of all of the households in the unit on a separate sheet of paper and randomly select one of the households

for participation in the GATS survey. If a single housing unit has more than three missed households, the information should be sent back to your Field Supervisor prior to any contact with a household.

3.6 Materials to Help You Obtain Participation

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

3.6.1 GATS Description Letter

Your materials may include a GATS Description Letter, which you should present to members of the selected household when you initiate contact (*Exhibit 3-1*). This letter explains the purpose of the survey, describes how the interviews will be conducted, and requests the household's participation. Plan to leave a copy of the letter with each household you visit.

Leave a copy of the GATS Description Letter with each household you visit.

Exhibit 3-1. Example GATS Description Letter

[TO BE MODIFIED TO ADDRESS COUNTRY-SPECIFIC NEEDS.]

Dear Resident,

The [MINISTRY OF HEALTH] is conducting a national household survey in your area [SPONSORED BY THE MINISTRY OF HEALTH]. This survey will collect information on the use of tobacco products, smoking in various places, and general questions about tobacco products and health. Both smokers and nonsmokers will be included. Your household was randomly selected to participate in this survey, which is called the Global Adult Tobacco Survey, or GATS. Many other countries around the world will also be participating in this survey.

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

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

Sincerely,

[SURVEY SPONSOR]

3.6.2 Question and Answer Brochure

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

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

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

3.6.3 Letter of Authorization

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

3.6.4 Statement of Confidentiality

The intent of the Statement of Confidentiality is to provide legitimacy and authenticity to the survey. The statement ensures that you will keep confidential all of the information you observe. Use the Statement of Confidentiality to assure respondents that any potentially identifying information cannot be released to anyone who is not directly connected with the survey. The Statement of Confidentiality (*Exhibit 2-1*) can be found in *Chapter 2*.

3.7 A Professional Approach

Your appearance and manner of delivery are extremely important in determining whether you will gain cooperation from residents. When you arrive at a sample address, your approach will establish an initial impression that could either encourage cooperation or alienate a respondent. The goal of your initial approach is to alleviate any apprehension or fear a potential respondent may have about participating. A relaxed, confident, and professional approach will most likely help you accomplish this goal.

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

Exhibit 3-2. GATS Question and Answer Brochure

[TO BE MODIFIED TO ADDRESS COUNTRY-SPECIFIC NEEDS.]

Global Adult Tobacco Survey GATS logo here

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

How was I selected for this survey?

Addresses were scientifically selected throughout the country. Your address was one of those selected. A professionally trained Field Interviewer will visit your address and ask a few questions to see if anyone in your household is eligible to participate in the interview. We will be interviewing approximately [8,000] households across the country.

Frequently Asked Questions and Answers

What is the Global Adult Tobacco Survey (GATS)?

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

Who is sponsoring this survey?

GATS is being conducted by the [IMPLEMENTING AGENCY/MINISTRY OF HEALTH].

she will be asked questions in a face-to-face interview.

How will the results of the survey be used?

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

Will the information I give be kept confidential?

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

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

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

What types of questions will be asked?

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

What will my household's participation involve?

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

Exhibit 3-3. 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]

Approach the residence confidently and with a positive attitude. With your demeanor, show that you appreciate the significance of your job and are proud to be a part of this important project.

Be sure your GATS identification badge is displayed prominently. The basic elements of a professional approach include:

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

You must wear your identification badge at all times.

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

3.8 Establish Rapport

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

As a Field Interviewer, your first responsibility is to establish rapport with the respondent. You establish rapport by being sensitive to his or her situation. Rapport begins as you introduce yourself and the survey and continues throughout the screening and interviewing process. Establish rapport early and maintain it throughout your contact at the household. The rapport you develop during the initial contact at the door and as you conduct the household screening will determine the tone of your visit. Be aware of how you are being received. When you are alert and responsive to the resident's reactions, you will be more successful in avoiding refusals and better equipped to counter respondent objections with appropriate responses.

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

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

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

3.9 Overcoming Objections

Many people have strong opinions and feelings about smoking and the use of tobacco products. Although most individuals are friendly and willing to cooperate, you can expect a few individuals to have concerns, objections, or fears. Some respondents may fear they are being judged. What may appear to be a refusal to cooperate is

only an expression of concern, or a need for more information about the procedures or the background of the survey. The following points will be helpful in reducing or eliminating refusals when making contacts:

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

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

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

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

Exhibit 3-4. Responses to Common Concerns about Participation

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

3.10 Dealing with Refusals

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

[DELETE IF COUNTRY DOES NOT WISH TO USE.] GATS has developed a refusal letter to send to respondents. If you feel that the respondent who is refusing could be converted by a letter, discuss the situation with your Field Supervisor. Your Field Supervisor will send the letter a few days before you, another Field Interviewer, or your Field Supervisor returns to the address. The GATS refusal letter is included in *Exhibit 3-5*. Read through the letter and be familiar with its contents. Keep in mind, however, that by successfully averting a refusal, you will avoid a delay in completing the interview, reduce additional costs associated with converting refusals and, most importantly, improve the overall quality of GATS.

3.11 Updating the Visit Record

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

Exhibit 3-5. Example GATS Refusal Letter

[TO BE MODIFIED TO ADDRESS COUNTRY-SPECIFIC NEEDS.]

Dear Resident:

Recently, one of our Field Interviewers contacted your household about participating in the Global Adult Tobacco Survey, or GATS, a survey being conducted by the [MINISTRY OF HEALTH].

For the survey to be successful, it is important that we interview as many selected households for this survey as possible. We cannot substitute another household for yours; therefore, your participation is very important. I have enclosed a brochure describing the survey in more detail. I hope that, after reading it, you will decide to participate in this important survey.

Our Field Interviewer will try to contact you again. We understand that you may be busy, so he or she will be happy to schedule the interview at a time that is convenient for you. If you have any questions or concerns in the meantime, please feel free to call me at [TELEPHONE NUMBER].

Sincerely,

[NAME]

Field Supervisor

4. General Interviewing Techniques

4.1 Introduction

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

Administer the questionnaire exactly as it is written.

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

4.2 General Questionnaire Conventions

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

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

4.3 Standardization of Questionnaire Administration

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

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

4.3.1 Asking the Questions

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

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

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

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

4.3.2 Probing

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

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

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

Use neutral non-biasing probes to elicit a more complete or accurate response from the respondent.

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

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

- **Encouragement.** This technique involves conveying to the respondent that you understand what he or she has said, and you would like to hear more. Nonverbal probes of this nature include a nod of the head or an expectant expression. Some examples include the following:

- “I see...”
- “That’s interesting...”

- **Repetition.** Repetition could be either repeating the question or repeating the response. Repeating the question is useful when it appears that the respondent may have misunderstood the question or has deviated from the topic at hand. Repeating the response may produce additional comments or explanation from the respondent, especially if you say it in the form of a question.

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

4.3.3 “Don’t Know” Responses

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

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

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

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

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

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

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

5. Introduction to the Handheld Device

5.1 Introduction

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

A handheld device will be used to administer the *Household and Individual Questionnaires* and to perform Case Management System functions.

5.2 Equipment Overview

The parts of the handheld device are illustrated below, and their functions are briefly described. More detail on how to use this device for GATS appears later in this chapter. **[ADD OR DELETE PARTS IN THIS SECTION, PER COUNTRY-SPECIFIC NEEDS.]**



Handheld device



Power adapter & converter

Used to power the device from a home electrical outlet.



Case cover

Used to protect the device from dust and moisture.

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

Main Features Used on GATS



(1) Power/Lock Key – Used to turn the device on or off; press to lock device or to wake the screen for unlocking.

(2) Volume Key – From a Home Screen, press to adjust master volume.

(3) Memory Card Slot – Install a memory card for storage of files (not included).

(4) Recent Key – Touch and hold to display recently

(5) Home Key – Display the central Home Screen.

(6) Back Key – Return to the previous screen or option.

5.3 Care of the Handheld Device

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

5.3.1 Temperature, Moisture, and Dust

- Store the device only in safe environments—those that are not too hot (over 40°C or 104°F) or too cold (under 0°C or 32°F). Storing the handheld device in temperatures outside this range can cause it to malfunction. Heat can also damage the case and the internal parts of the unit. Do not leave the handheld device near a heater or locked in your car. (Temperatures in closed cars can exceed the desired range quickly on hot or cold days.)

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

- Do not leave the handheld device in a location that is dusty, damp, or wet. Dust and moisture can damage the handheld device and cause it to malfunction. You must be particularly careful when working in rainy weather or dusty locations.
- If the handheld device gets wet while plugged in, unplug the power adapter from the device *before doing anything else*. Doing so will help prevent you from getting an electric shock.

5.3.2 Screen Care

- Take care not to break the glass screen. Do not drop the device or subject it to any strong impact.
- Do not press too hard on the screen when touching. Do not forcefully jab or hit the screen.
- Be careful not to scratch the screen.
- To clean the screen, wipe it with a soft cloth such as one made for cleaning eyeglasses. Dampen the cloth with water first if that will help remove fingerprints and spots. Do not use harsh cleaners or strong solvents to clean the screen.
- When your device is not in use, keep the case cover closed to protect it.

5.3.3 Cables, Ports, and Expansion Slots

- Do not use frayed or otherwise damaged cables. When connecting or disconnecting a cable, hold the cable only by its connector (the plug), not by the cord.
- Never force a connector into a port if the connector and port do not join easily. Make sure the connector matches the port and that it is properly aligned before you attempt to attach it.
- When transporting the device, always disconnect any cables or cords.

5.3.4 Traveling by Air with the Handheld Device

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

5.4 Charging the Battery

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

Be sure to check the battery level daily and recharge the battery every night. When working in the field, monitor the battery power indicator so that you are aware of how much power is left. When the gauge indicates that 15% or less battery power remains, plan to recharge your battery as soon as possible. *Never approach a*

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

household with less than 15% battery power on your device. You don't have to wait for the battery power to drain to less than 15% before recharging. The unit can be charged at any time, regardless of how much power remains.

To charge your device with the home charger, follow the steps listed below.

1. Insert the USB cable into the Charging Head.
2. Insert the USB cable into the device's Charger/Accessory Port.
3. Plug the Charging Head into a standard AC Power outlet. (While the device is charging, if the touch screen does not function due to an unstable power supply, unplug the USB power adapter from the power outlet or unplug the USB cable from the device.)
4. When charge is complete, unplug the Charging Head from the power outlet and remove the USB cable from the device.

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

5.5 Using your Handheld Device

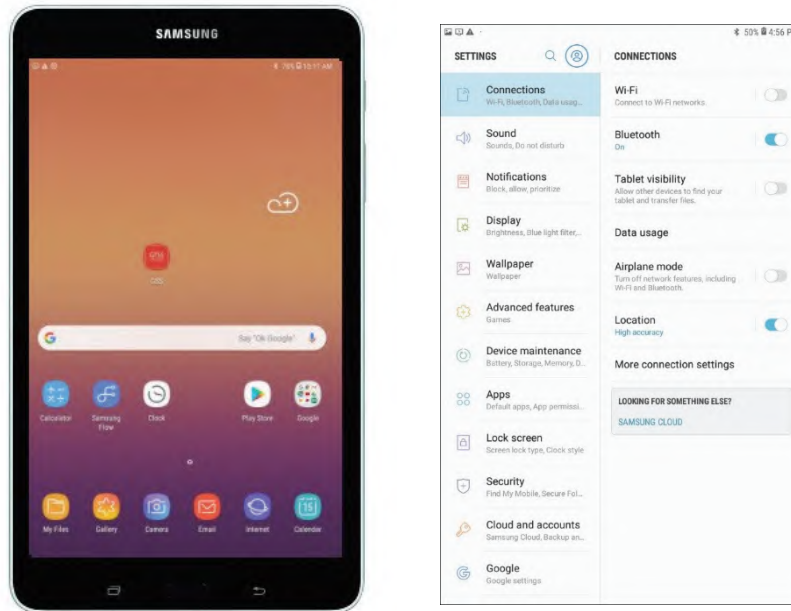
To turn on the handheld device, press the power button on the upper right side of the device. To turn off the device, repeat the same process. To conserve battery power, you should turn off the device as you move between households, until you are ready to use it again. If you turn on the device but do not touch the screen for a set amount of time, the device will power off to conserve battery power. If this happens, press the power button to turn it back on.

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

5.5.1 Home Screen

The home screen is the starting point for using your device. Unless otherwise noted, instructions in this user guide start with the device unlocked at the home screen. It provides access to all programs and applications. When you have finished working each day, exit all programs and go to the home screen.

Start by swiping the screen to unlock your device and display the home screen.

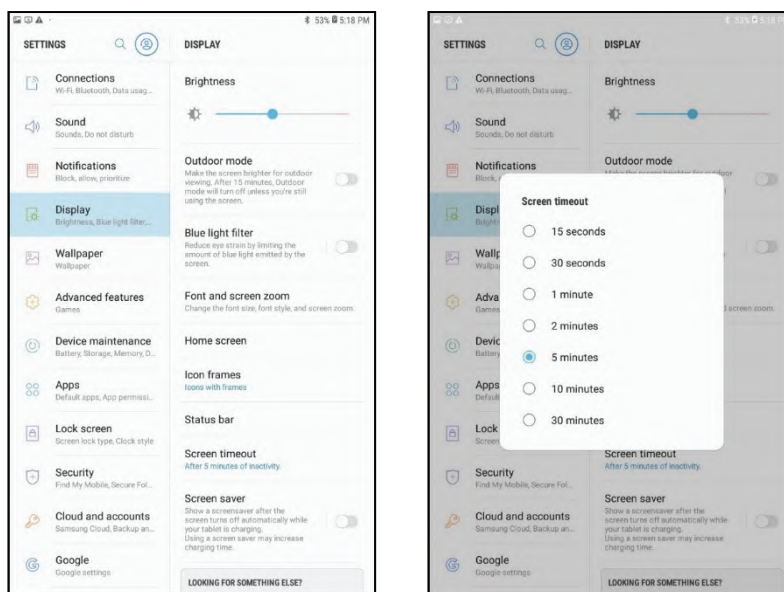


When you swipe the screen to unlock it, you go to the home screen (see above left), which is also the default screen when you have closed all applications. On the home screen, swipe down and tap the **Settings** gear icon to open the system settings. (See screenshot above on the right).

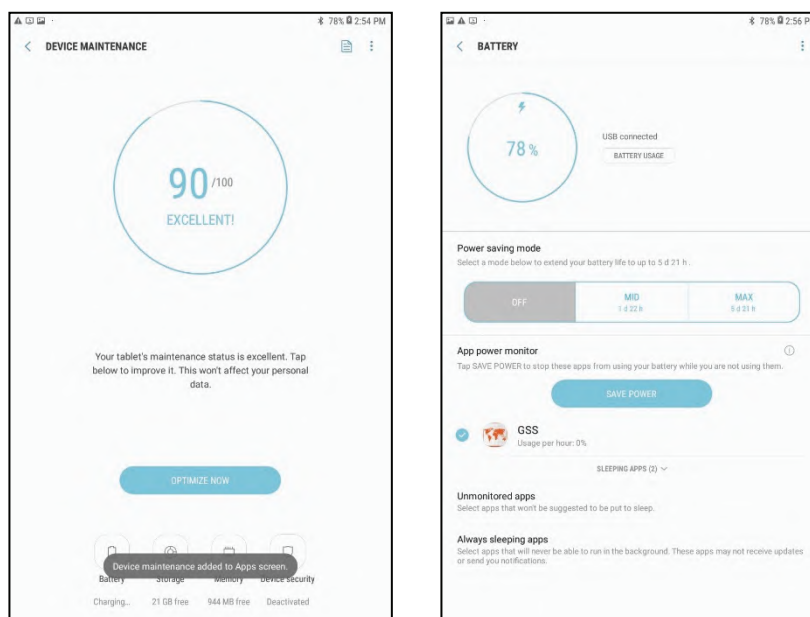
5.5.2 Settings

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

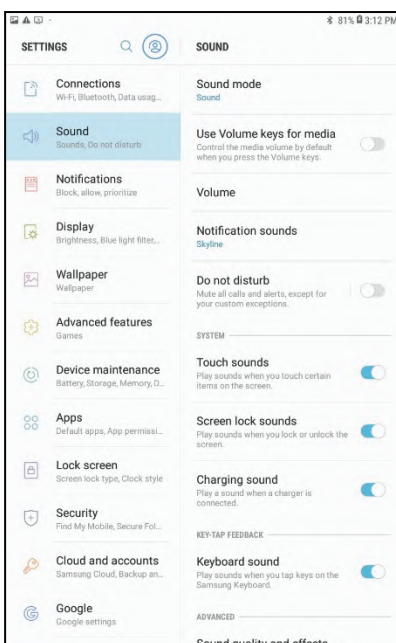
- **Backlight.** Select the **Settings** gear icon. Tap **Display** and select **Brightness** to adjust the settings. Use the scroll bar to select a degree of brightness. Remember that increased brightness can increase the drain on the battery.
- **Screen timeout** should be set to “After 5 minutes of inactivity.” Select the **Settings** gear icon. Tap **Display** and select **Screen timeout** if you need to adjust this setting. See the screenshots below to view how these settings will look on your handheld device.



- **Battery status.** Select the **Settings** gear icon. Tap **Display** and select **Device maintenance** to view information such as battery usage, power saving mode, and GSS usage per hour.



- **Sound/notifications and volume.** Select the **Settings** gear icon. Tap **Sound** in the left column and select **Volume** to make changes in the sound volume for notifications, media or the system. Remember that increased volume may increase the drain on the battery and may become disruptive during the interview if set too loud.



- Tap **Sound Mode** in the right column to access the **Sound/Mute** controls.
- Tap **Keyboard Sound** in the left column to turn off keystroke sounds or clicks when making screen selections.
- Tap **Notifications** in the left column to access controls to change the type of sound played for notifications.
- **Additional menu items.** Do not use the other settings without instructions from your Field Supervisor or technical support staff.

5.6 Technical Support

For technical issues with your device, you should first contact your Field Supervisor. Your Field Supervisor may be able to assist you with your problem quickly. If your Field Supervisor cannot assist you, you should contact technical support staff. **INSERT COUNTRY-SPECIFIC CONTACT INFORMATION FOR TECHNICAL SUPPORT.**

5.6.1 Troubleshooting the Handheld Device

Occasional problems may arise with your handheld device.

- The interview program is acting erratically.
 - *If you are in the survey program, exit to the Select Case screen. If you are unable to return to the Select Case screen, tap the Recent apps button at the bottom of the handheld device on the left side, end the program and re-start.*
- The screen contrast is too light or too dark.
 - *You can make several adjustments to correct the screen contrast:*
 - Adjust your viewing angle.

- Adjust the surrounding light. For instance, try shading the screen with your hand or standing in the shade of a tree.
- Adjust the screen brightness. See *Section 5.5* for instructions on how to make this adjustment.
- Make sure your handheld device is not too hot or too cold. Extreme temperatures may affect the device.
- The handheld device will not turn on after charging the battery.
 - *Make sure the battery was charged correctly as outlined in Section 5.4. Some issues may be fixed if you power off and restart. If your device remains frozen and unresponsive, contact technical support for assistance.*

5.6.2 Transmission Problems

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

5.6.3 Reporting Problems to Your Field Supervisor

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

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

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

6. Using a Handheld Device to Manage Household Assignments and Input Data

6.1 Introduction

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

6.2 Case Management System

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

- Turn on the handheld device.
- At the Home screen, tap the GATS icon to start the first of the GSS programs, the CMS.

The Home screen



Your password will be provided at training. As a security feature, you will see asterisks on the screen when you type your password. Exercise care when entering the password. You have five chances to type the correct password. If you enter the incorrect password five times, the device will lock you out, and you will have to enter an unlock code to regain access **[INSERT COUNTRY-SPECIFIC PROCEDURES FOR OBTAINING THE UNLOCK CODE.]**

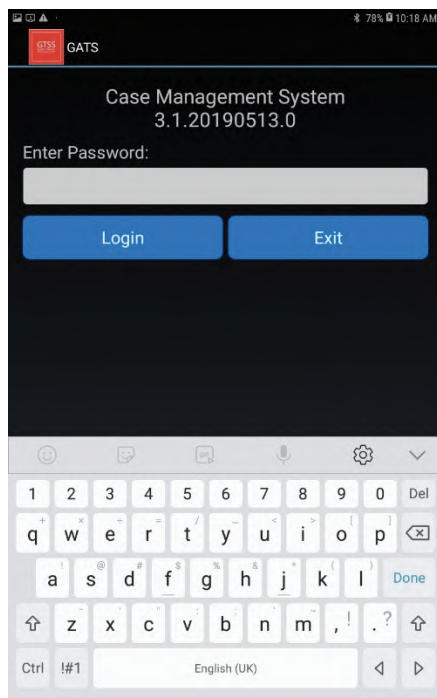
Note that the unlock code is not case sensitive, and, after successfully unlocking the handheld device, you will be routed to the password screen where, once again, you will have five chances to enter the password to launch the Case Management System.

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

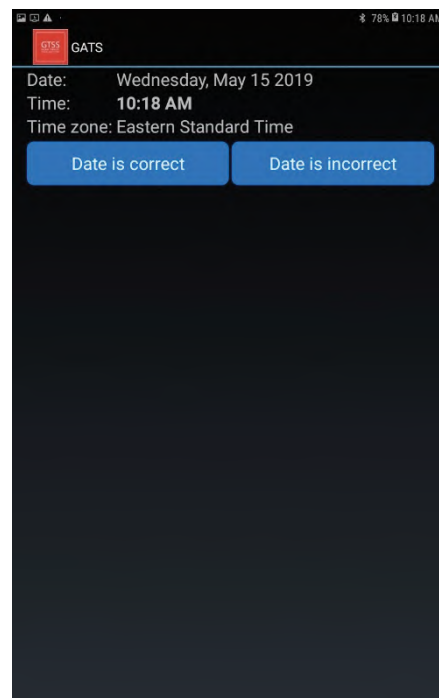
The CMS login screen and Date/Time screen are shown below.

The screen displays the current version number of the CMS. Enter your password and tap "Login." The next screen displays the current date, time, and time zone. You should confirm these before continuing. If they are incorrect, reset these using the "Date is Incorrect" button to access the Date and Time settings for the device. Reset the time and/or date and tap "Done."

First Login Screen



Date/Time Screen



The Case Management System screen is your starting point for all interviewing and case management tasks on the handheld device. Each household assigned to you will appear here, along with information to help you identify and locate the housing unit. The CMS main screen is shown below.

The CMS main screen

Cases		All (0)	Unworked (0)	Pending (0)	Complete (0)	Trail (1)
XX10001-00	509 WARD ST TARBORO, NC 27432 ALAMANCE				0	
XX10002-00	6705 W MAIN ST 14A CHICAGO, IL 60626 COOK				0	
XX10003-00	1701 1/2 N CLARK ST CHICAGO, IL 60626 COOK				0	
XX10004-00	1738 W WALLEN AVE BTM UNIT CHICAGO, IL 60626 COOK				0	
XX10005-00	1026 WEST BROAD ST DENVER, CO 32165 BURKE				102	
XX10006-00	237 POPLAR ST 123 CARRBORO, NC 27765 ORANGE				200	
XX10006-01	237 POPLAR ST 123 CARRBORO, NC 27765 ORANGE				0	
XX10007-00	21 KING ST LOS ANGELES, CA 90291 ORANGE				0	

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

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

As you work each questionnaire, select the appropriate case ID to record the status and to start interviews. Be very careful when updating the Visit Record. Always ensure that you are updating the Visit Record for the appropriate questionnaire. To help you manage your case load, the Case Management System grid is color coded to show three states – pending but not yet worked (amber), pending (green), and final (red).

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

To scroll through the list of all households, swipe upward on the screen.

The list includes:

- **Case ID.** The first line provides the "Case ID," which is the household identification number, in the top left corner of each block.

- **Case status code.** The one- to three-digit number in the top right corner of each block is the case status number.
- **Street address.** This line contains the street address for the selected housing unit. In rural areas, there may be only a description of the housing unit and surrounding area, with no street name and number.

[INSERT COLUMN TITLES FOR COUNTRY-SPECIFIC INFORMATION, SUCH AS STATE/PROVINCE.]

6.3 Managing your Case Load

The next sections describe CMS action that allow you to manage your case load:

- **Transmission** allows the user to transmit a case or view the transmission log; however, this is not used by GATS at this time.
- **Information** provides access to the Version Report and Summary Statistics.
- **Sort** allows you to rearrange the sort order of cases by Case ID, Number Case ID, Event Code, ZIP Code, City, or County.
- **Data** allows maintenance activities, including shrinking the database, checking the database, and exporting data.
- **System setting** is an administrative function that requires an authorization code.
- **More options** allows the user to select FTP Transmit, Load Cases, Reload Training Cases, or Erase Training Cases, or Exit.

Each of these choices is described below.

6.3.1 Information Tab

The Information tab allows the user to see the Version Reporter and Summary Statistics.

The Version Reporter displays the current device settings, and other user- and device-related information, including:

- User Information—Your ID and name as the Field Interviewer
- System Information—The current level of the battery
- Version Information—Information about the current version
- Survey Information—Information about the current survey.

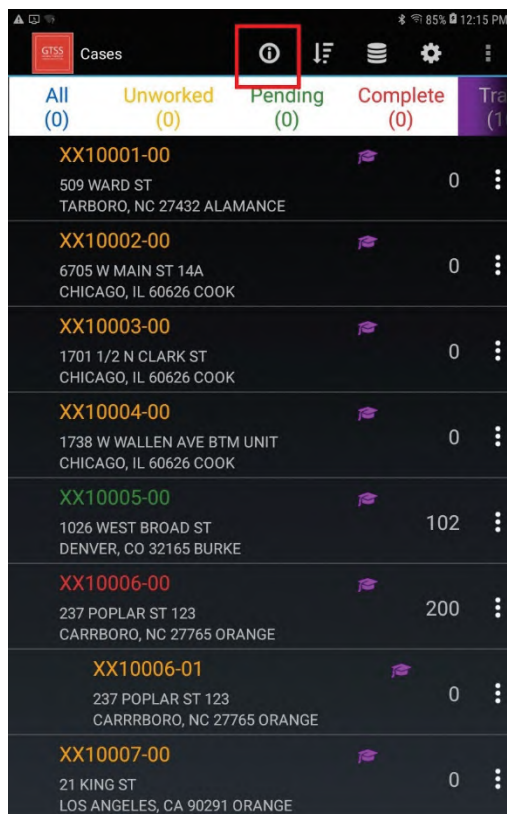
Counts and percentages in the survey information section are shown for both the *Household Questionnaire* and the *Individual Questionnaire*. The rows are as follows:

- Total—a count of all the cases for that form
- Unworked—a count and % of the number of cases that have not been accessed (are at result code 0)

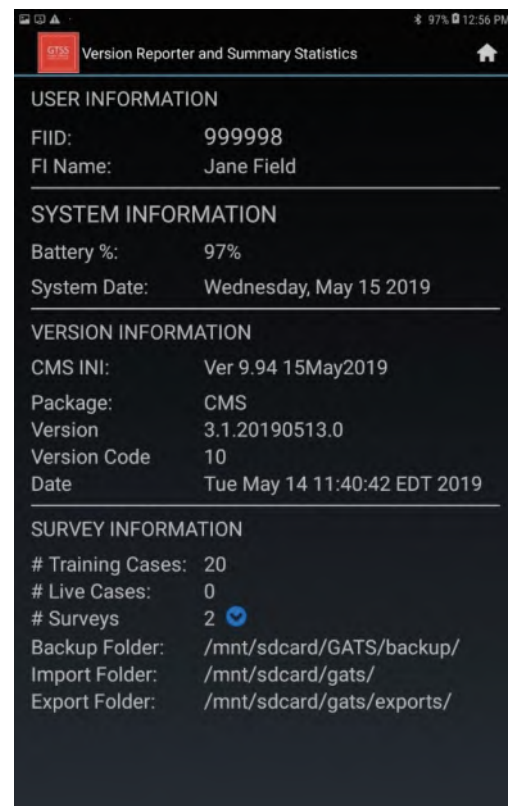
- Pending—a count and % of cases in the GATS pending status
- Final—a count and % of cases in the GATS final status
- Completed Interviews—a count and % of cases that are completed interviews

The screenshot below on the left shows the location of the Information icon. The screenshot on the right shows an example of the Version Reporter and Summary Statistics screen.

Version Reporter screen



Summary Statistics screen

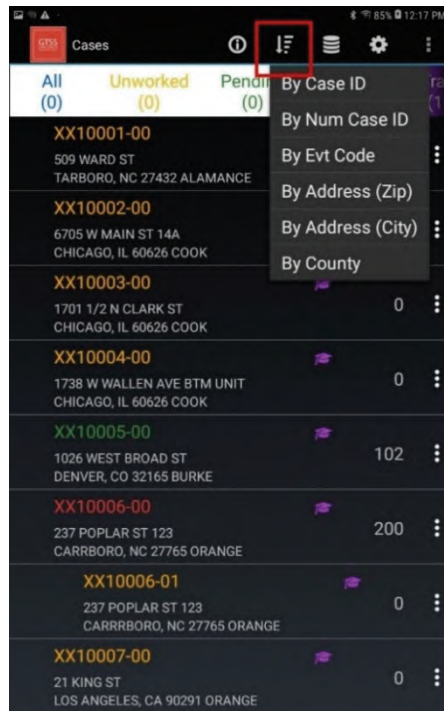


6.3.2 Sort Menu

The Sort menu allows you to control the sort order of the cases in the Select Screen. Cases can be sorted by a number of case variables (for example, County). The default sort order is by Case ID.

The screenshot below shows the Sort icon and its drop-down menu.

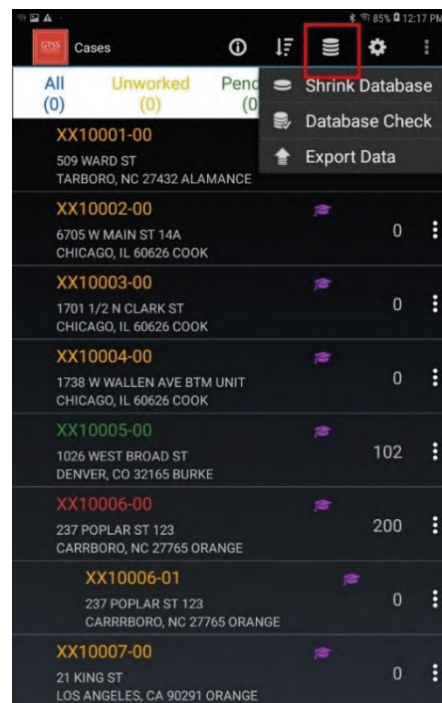
Sort icon and drop-down menu



6.3.3 Data Menu

The **Data** menu provides access to the functions Shrink the Database, Database Check, and Export Data. Touch **Data** to view the drop-down menu seen in the screenshot below:

The Data menu

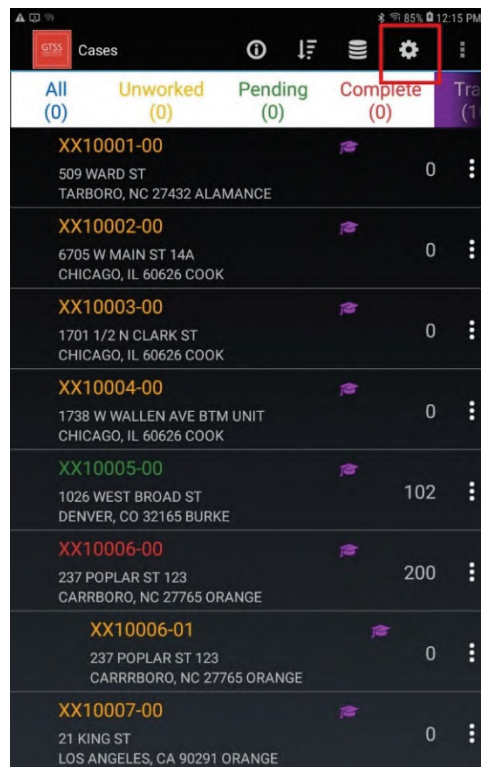


- **Shrink Database:** Use this option to clean up and compress the database. Use this housekeeping tool only if your Field Supervisor or Technical Support asks you to do so.
- **Database Check:** Use this option to view a recap of cases, that is, number of cases, events, sent events, unsent events, responses, sent responses, unsent responses, media, sent media and unsent media.
- **Export Data:** Use this option to reload training cases. You can use these households at any time for additional practice. Each time you reload training cases, they will be unworked.

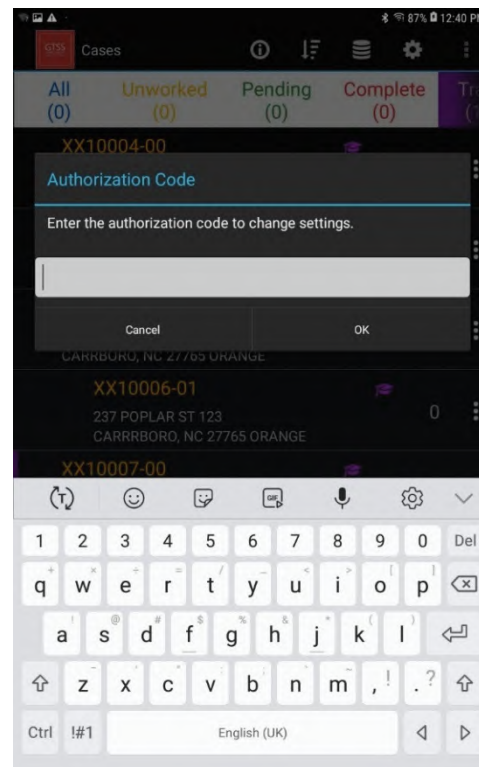
6.3.4 Settings

This option is used to set or change your Field Interviewer information that is used during transmission. This information is also used in the Visit Record. An authorization code is required to change settings. Do not change these items unless instructed to do so by technical support.

The Settings icon



Authorization code screen



6.3.5 More Options

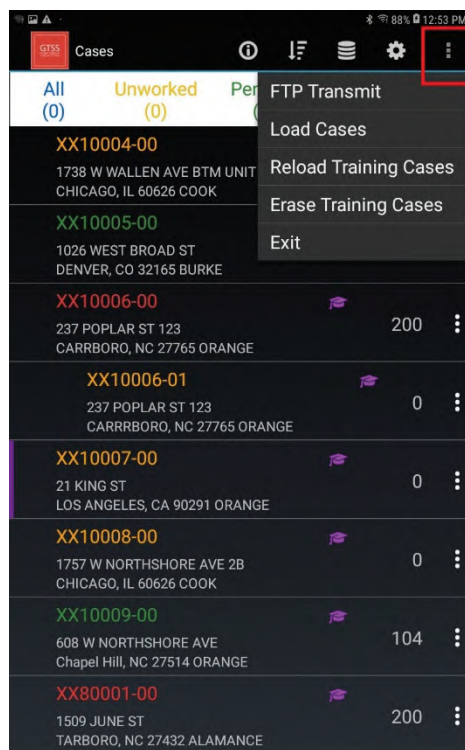
The drop-down menu for **More Options** offers these selections:

- **FTP Transmit:** Field Interviewers can use the File Transfer Protocol (FTP) or Secure FTP to send and receive data to or from a project operated FTP server. The system will acknowledge a successful transmission with the message: "Transmit complete. Case data uploaded to remote server successfully." The message will also indicate whether or not new cases were downloaded

from the remote server. The entire transmission process takes between 30 seconds and a few minutes to complete, depending on the amount of data sent and received.

- **Load Cases:** This feature prompts the CMS to look for a file (casefile.txt) in the specified folder. If this file exists, the Load Cases feature will read it and load cases targeted for a given Field Interviewer into the CMS case grid. Only new cases will be imported.
- **Reload Training Cases:** Use this option to reload training cases. You can use these households at any time for additional practice. Each time you reload training cases, they will be unworked.
- **Erase Training Cases:** Use this option to remove the training cases from the list of housing units. You can select “Reload Training Cases” to have them reappear.
- **Exit.** Use this option to exist the system.

The More options menu



6.4 Working on a Case

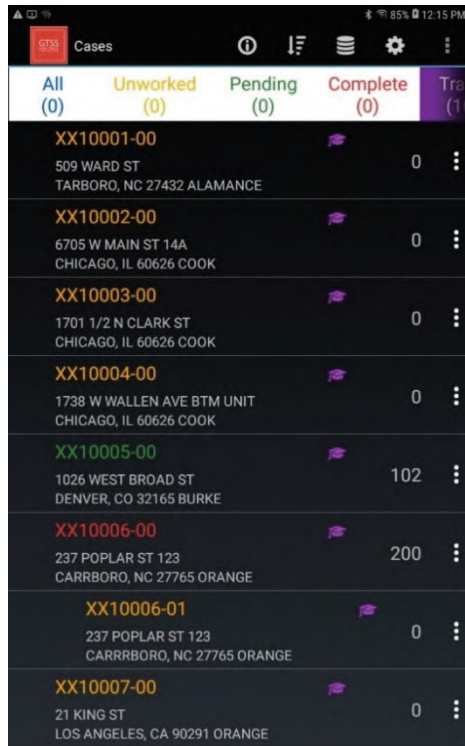
The Case Management System has several menus to perform actions pertaining to individual cases as well as groups of cases.

When the CMS begins, the program shows all active cases available to you on the handheld device. The list of cases should contain all the necessary information for you to locate each household and to conduct field work. From this list of households, you can plan strategies to execute your assignments.

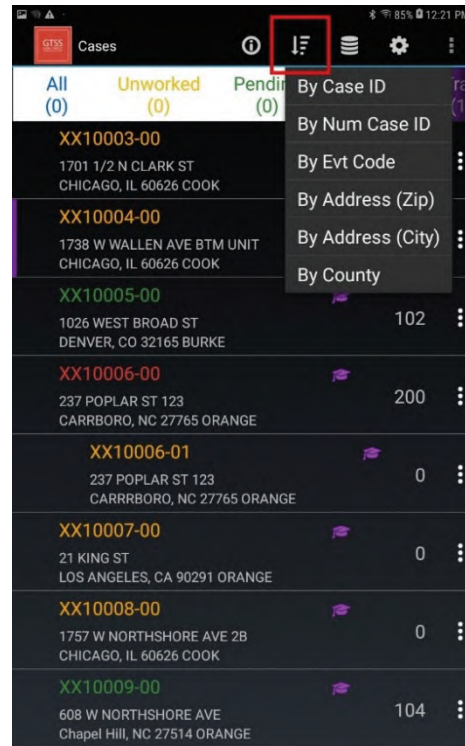
The CMS main screen, the Select Case screen, is shown in the screenshot below on the left. In this sample screenshot the CMS has been loaded with a set of 22 training cases, but only the first 8 are visible. To help you organize the households in your assignments, this list may be filtered to display only

certain types of cases (All, Unworked, Pending, Complete and Training), and may also be sorted using the variables in the case grid, such as Case ID, Event Code, City, ZIP Code, and County (as seen in the screenshot on the right). Note: The mortarboard cap located next to the Case ID indicates that this is a training case.

The Select Case screen



The drop-down menu for filtering cases



Each data block in this screen describes one case. The nine characters in the top left corner of each block is the Case ID. The one- to three-digit number in the top right corner of each block is the case status code. The lines of information under the Case ID are address or locator information for the case.

To view a case, touch the item and hold momentarily. A drop-down menu will appear with the following selections:

- **Go to Case Details** allows you to view full details on the case.
- **Start Interview** initiates the interview process with the participant.
- **View Visit Record** displays the visits that have been made for this case and allows you to enter a new record.
- **Edit Address** allows you to edit the address.
- **View Address Changes** displays a history of previous changes to an address.
- **Add a Case Note** allows the user to add additional notes related to the case.

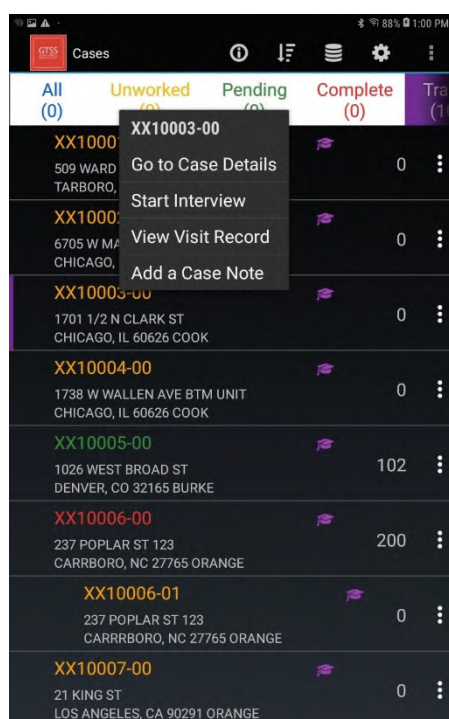
Each action is described in a separate section below.

6.4.1 Go to Case Details

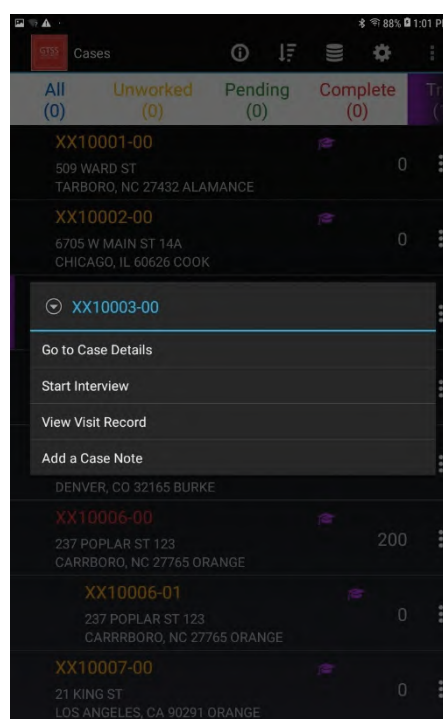
The Case Details screen allows you to view data that has been collected. The screen contains all items that are in the Case File for a case.

The screenshot below on the left shows the drop-down menu where Case Details is located; the screenshot on the right shows Case Details for the sample case where Case ID is XX10003-00.

The drop-down menu for Case Details



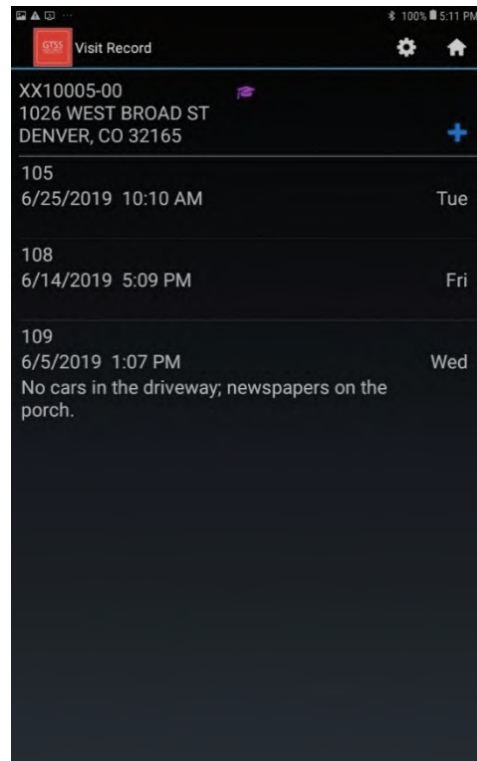
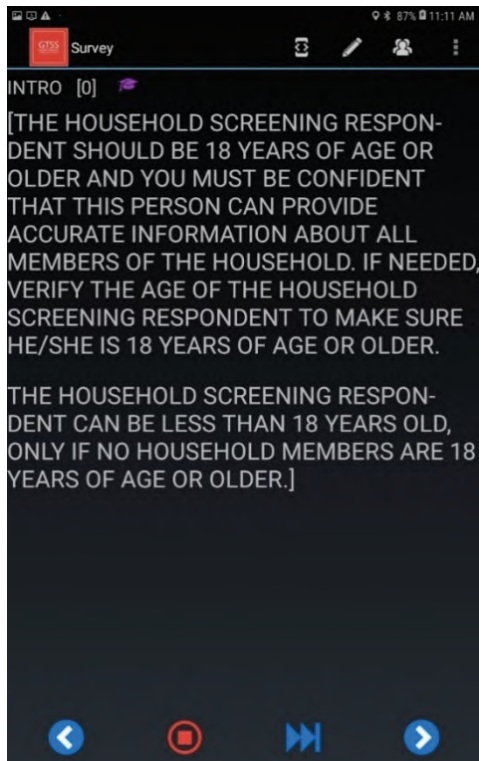
A sample case



6.4.2 Start Interview

To start an interview, touch and hold a Case ID on the case grid screen and select Start Interview from the drop-down menu. This will launch the interview, beginning with the introduction. Buttons at the bottom of the screen will allow you to back up to the previous question, break off the interview, fast forward to another question, or advance to the next screen.

The interview consists of a series of questions, and at the end of the interview, event codes may be assigned based on the results of the interview.



6.4.3 View Visit Record

The Visit Record option displays the visits that have been made for this case and allows you to enter a new record to document each contact with the housing unit. Your device will automatically assign a code in the Visit Record when you successfully complete the *Household Questionnaire* (whether an eligible respondent was selected [code 200] or not [code 201]) and when you successfully complete an *Individual Questionnaire* (code 400). Any other visit that does not result in a completed interview should also be documented. A sample Visit Record screen is shown in the screenshot above on the right.

To record an attempt, touch and hold a Case ID until the menu displays. Then select **Visit Record** from the menu.

- From the Visit Record screen, select the blue plus sign on the top left side of the screen.
- On the next screen, select **Result field** to display the list of pending and final result codes. Select the appropriate code to highlight it.
- Add comments by entering information that will be helpful to you or anyone else who visits the household in the future.
- Select **Update** to save the Visit Record.

Because the date and time are prefilled, it is not necessary to change this information if you enter the Visit Record while you are at the housing unit or leaving the housing unit.

If you need to edit or delete an event, touch and hold an event, which will cause a menu to pop up offering the options Edit or Delete.

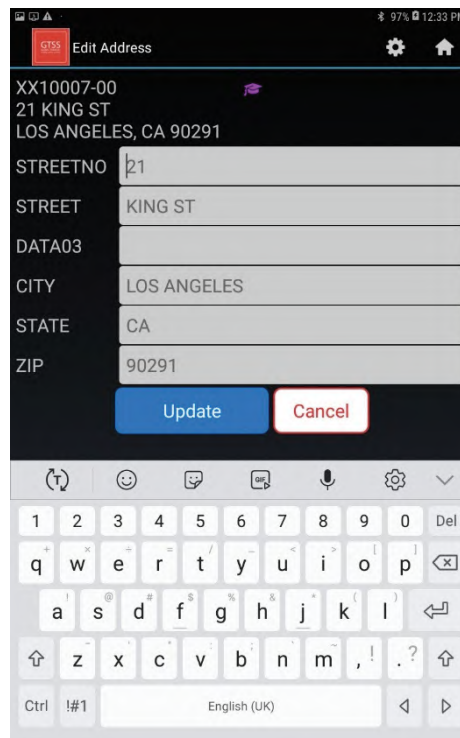
- To delete an existing Visit Record, touch and hold a Case ID in the CMS. Select **Delete** to delete the record.
- To update an existing Visit Record, touch and hold a Case ID in the CMS. Select **Update** to update the record. After you complete the changes, select **Update** to save those changes.

6.4.4 Edit Address

Select this option to edit the address for a case.

To edit an address:

- Touch and hold a specific case in the case grid to view the drop-down menu.
- Select **Edit Address** from the menu.
- On the **Edit Address** screen, make the necessary edits.
- Select **Update** to save the Visit Record or **Cancel** to cancel the changes you have made.

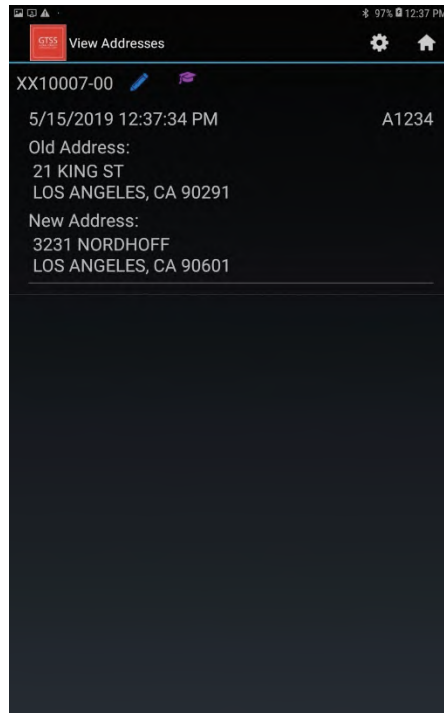
The screenshot shows the 'Edit Address' screen of the GATS application. At the top, there's a status bar with 'GATS' and 'Edit Address' text, along with a settings icon and a home icon. Below this, the current address is displayed: 'XX10007-00', '21 KING ST', and 'LOS ANGELES, CA 90291'. A small purple icon is next to the address. Below the address, there are input fields for 'STREETNO' (containing '21'), 'STREET' (containing 'KING ST'), 'DATA03' (empty), 'CITY' (containing 'LOS ANGELES'), 'STATE' (containing 'CA'), and 'ZIP' (containing '90291'). At the bottom of the form are two buttons: 'Update' (blue) and 'Cancel' (red). A standard QWERTY keyboard is visible at the bottom of the screen, indicating that the form is being edited on a handheld device.

6.4.5 View Address Changes

You can view all changes to an address for a given case by using the **View Address Changes** menu option:

- Tap and hold a specific case in the case grid to view the drop-down menu.
- Select View Address Changes.

The following screenshot shows both the old and new addresses for a selected case, reflecting the changes that have been made. If no changes have been made, it will indicate that no changes have been made.

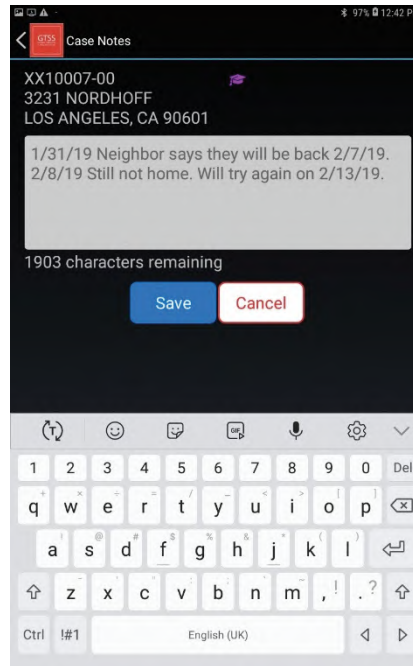


6.4.6 Add a Case Note

The Case Notes menu item allows FIs to maintain notes about a case in a diary, free text form. These notes are saved in the database in the Case Notes table and transmitted with other data. To make a case note or update a case note, follow these steps:

- Tap and hold a specific case in the case grid to view the drop-down menu.
- Select **Add a Case Note** in the drop-down menu to bring up the Case Notes screen.
- Enter notes in the text field available.
- Click **Save** to save the notes or **Cancel** to exit from the screen.

The screenshot below shows a sample Case Note.

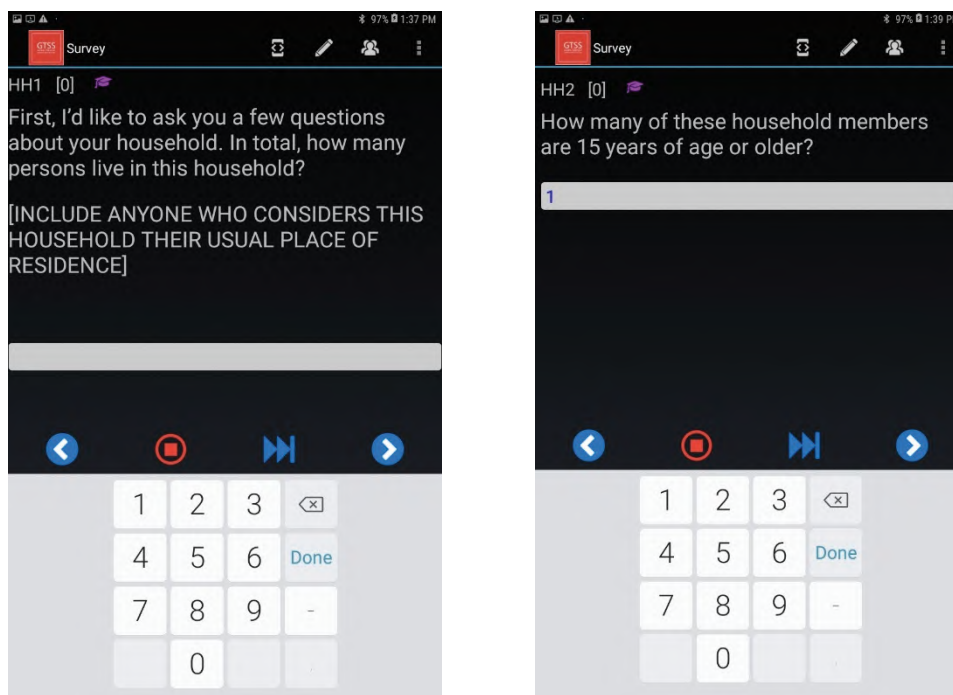


6.5 Using the Interview Programs

To start an interview, touch and hold a Case ID on the case grid screen and select **Start Interview** from the drop-down menu. This will launch the interview, beginning with the introduction. Buttons at the bottom of the screen will allow the FI to back up to the previous question, break off the interview, fast forward to another question, or advance to the next screen.

Once you start one of the interview programs, use the keyboard at the bottom of the screen to record responses to questions.

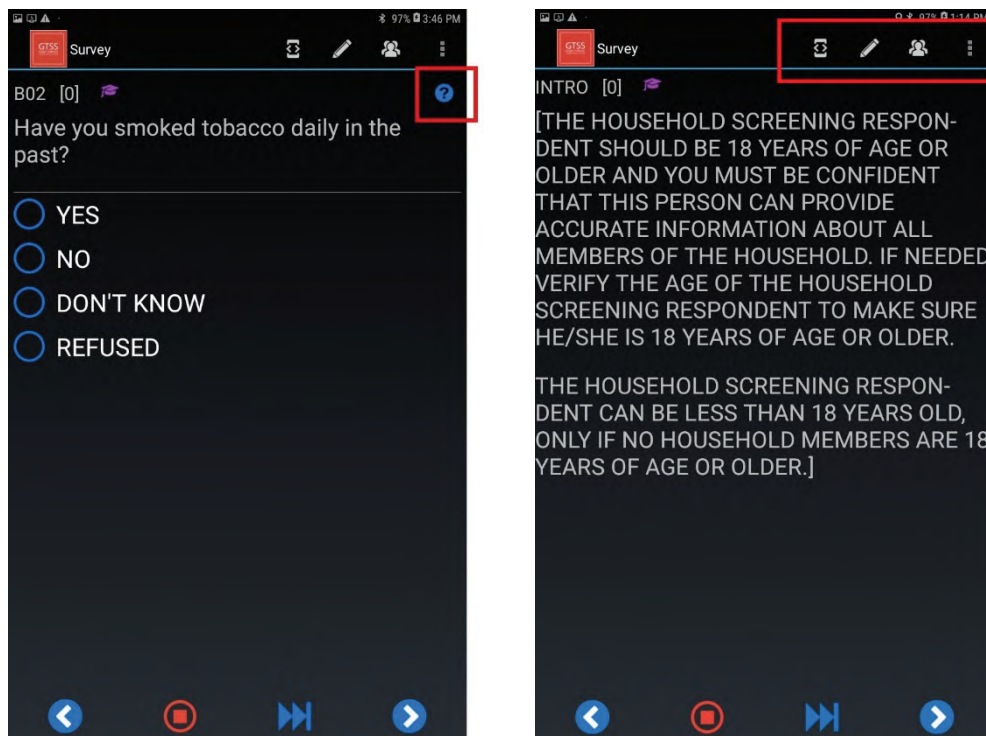
After you record the answer, advance to the next screen. Movement forward and backward between the screens is controlled by standard Android gestures. A swipe from right to left (like turning a page in a book) moves you forward; we will call this a Forward swipe. A swipe from left to right moves you back a screen; we will call this a Back swipe. The navigation buttons at the bottom of the screen may also be used.



Each interview screen has the following basic components:

- A field for text (question or instructions)
- One or more fields for data input
- A set of tools to assist in the interview process:
 - **Symbol Table.** Use this option to view responses entered for this case.
 - **Case Notes.** Select this option to make notes about the questionnaire, not about an attempt. If you want to enter a note about an attempt, enter that into the Visit Record.
 - **Roster.** Use this option to view the roster that you will have completed while screening the household.
 - **Language.** This button allows users you to select among the languages prepared for the questionnaire.
- A set of buttons to assist with navigation between screens:
 - **Backup.** Use this option to return to a previous screen.
 - **Breakoff.** Use this option to break off the interview, if for some reason you are unable to complete it at that time. Note that you must record the proper result code for this attempt. See *Chapters 7 and 8* for details on the available result codes.
 - **Fast Forward.** This feature allows you to go to the next unanswered question in the survey. You will need to respond to the Fast Forward Warning after selecting fast forward.
 - **Next.** This feature allows you to move to the next screen.

- **Help QxQ.** This feature is not available for all questions; it provides additional information that may help you in recording the correct response for the respondent and/or in helping the respondent understand the meaning of the question.



6.6 Using the Keyboard

When the keyboard is visible, record the responses from your interview. To access settings for the numeric keyboard, select the settings icon key in the right bottom corner of the keyboard. On the resulting screen you can change such settings as language, predictive text, swift key flow, cursor control, key-tap sound, auto capitalization and more. This screen is where you can switch between the English language keyboard and other languages.

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

6.7 Entering Responses

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

6.7.1 Response Lists

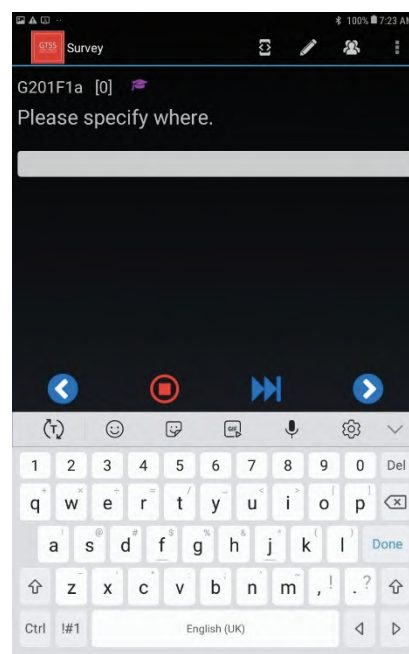
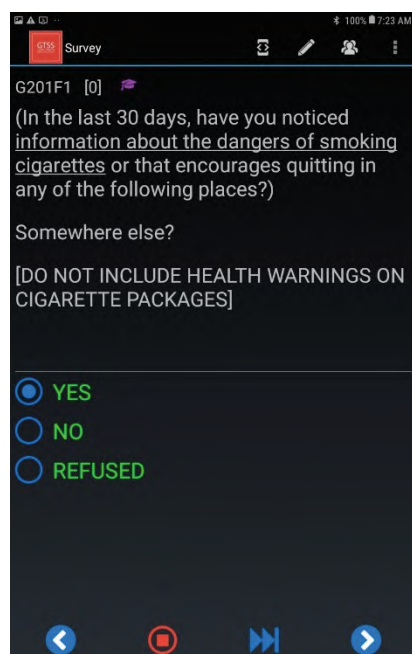
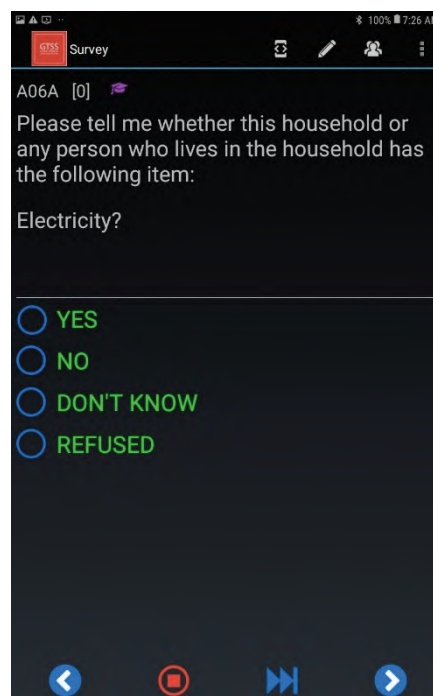
These types of questions require that you select one response from a list of responses. Most of the questions in the *Individual* and *Household Questionnaires* are response list questions. Tap the appropriate response, then swipe the screen to move forward.

6.7.2 Numerical Responses

Numerical response questions require you to enter a number within an acceptable range. To enter a numerical response, tap the appropriate numbers on the keyboard. How to use the keyboard to enter data is outlined in *Section 6.6*. Field Interviewer instructions will be displayed on the screen to instruct you how to enter numerical data for “Don’t Know” and “Refused” responses.

6.7.3 Text Entry

Some of the questions in the *Household* and *Individual Questionnaires* require using the keyboard to enter text answers. For example, in the *Household Questionnaire*, the keyboard is required to enter the first name of each rostered household member. In the *Individual Questionnaire*, some of the questions allow the respondent to specify an answer not already listed. As shown in the example below, the respondent's answer "yes" requires an additional response. The next screen allows you to use the keyboard to input the respondent's answer.



6.7.4 Unit and Number

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

D02a [0]

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

[ENTER UNIT ON THIS SCREEN AND NUMBER ON NEXT SCREEN]

- ☐ MONTHS
- ☐ WEEKS
- ☐ DAYS
- ☐ LESS THAN 1 DAY (24 HOURS)
- ☐ DON'T KNOW
- ☐ REFUSED

D02BMONTHS [0]

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

[ENTER NUMBER OF MONTHS]

1 2 3

4 5 6 Done

7 8 9 -

0

6.8 Range Errors and Validation Checks

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

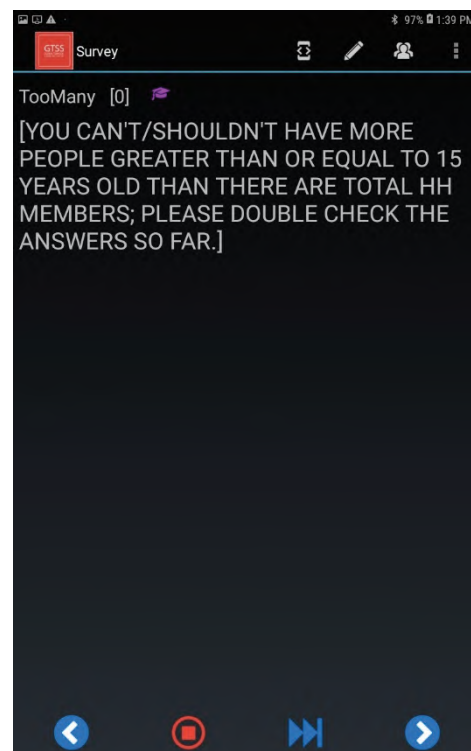
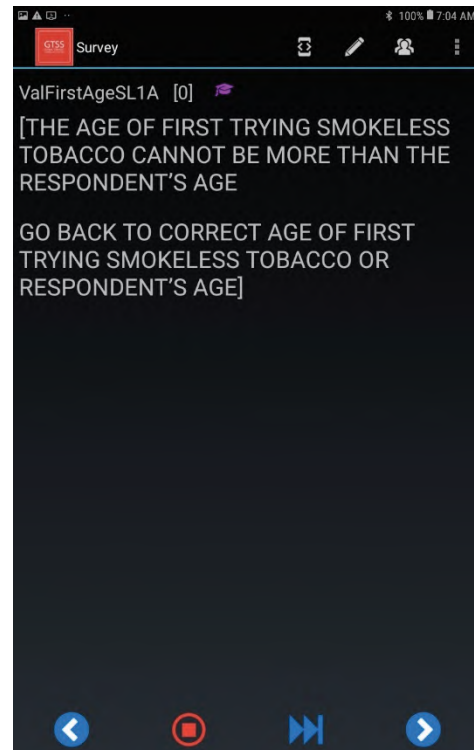
One type of error message you may receive is a range error. Questions requiring a numerical answer may have a specified range of allowable responses. For example, when the respondent is asked how old they were when they first started smoking tobacco daily, a range error will appear if the number entered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

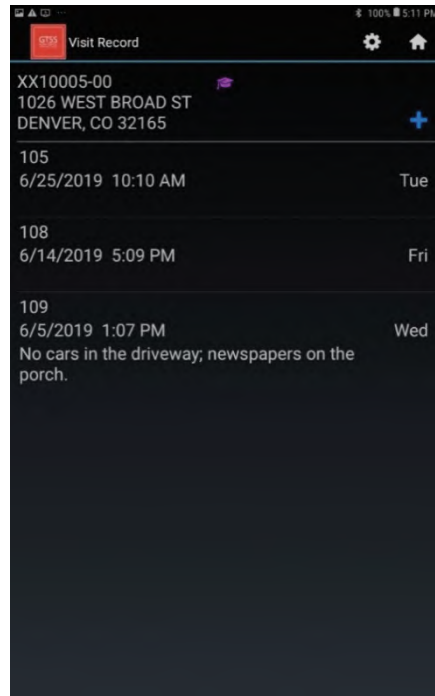
You may also receive an error message if the data entered are not valid. For example, the number of household members 15 years of age or older must be equal to or less than the total number of household members. If the number of household members 15 years of age or older is greater than the total number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

6.9 Visit Record

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

All visits must be documented in the Visit Record.





To record an attempt, go to the Select Case screen, touch and hold a Case ID on the case grid screen and select View Visit Record from the menu.

- From the Visit Record screen, select the blue plus sign in the upper left corner.
- On the next screen, select **Result field** to display the list of pending and final result codes. Select the appropriate code to highlight it. Result codes are defined in *Chapters 7 and 8*.
- Next, add comments. Enter information that will be helpful to you or anyone else who visits the household in the future.
- Select **Update** to save the visit record.

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

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

If it is not the first visit record for the questionnaire, the handheld device displays the Visit Record screen, where you can view previously entered events and comments or add a new record.

NOTE: *You should not edit events that have already been transmitted or interview complete codes that are automatically assigned by the CMS.*

The Case Management System is designed to make the recording of accurate and complete data as simple as possible. Entering the Visit Record data takes only a few steps if you complete the record while

leaving the housing unit. This information is important to helping your Field Supervisor and project staff manage your assignments and the entire GATS project.

7. Screening and Respondent Selection: The Household Questionnaire

7.1 Introduction

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

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

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

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

7.2 Determining Eligibility of Selected Addresses

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

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

[INSERT COUNTRY-SPECIFIC INFORMATION ABOUT HOUSEHOLD RESIDENT RULES.]

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

7.3 Introduction and Informed Consent

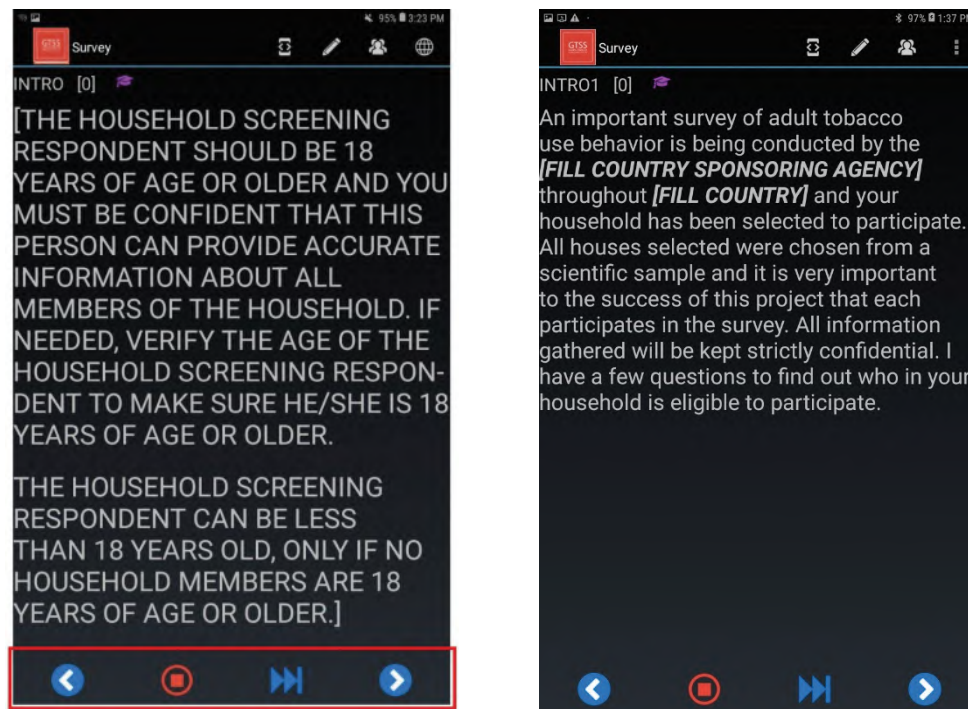
When approaching the housing unit, first double-check the address against the address listed in the Case Management System. After you have verified that you are at the correct address, start the Case Management System as outlined in *Section 6.2*. Next, open the *Household Questionnaire* for that address by tapping the case ID you want to open. (Remember that *Household Questionnaire* case IDs end in “00”.)

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

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

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

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

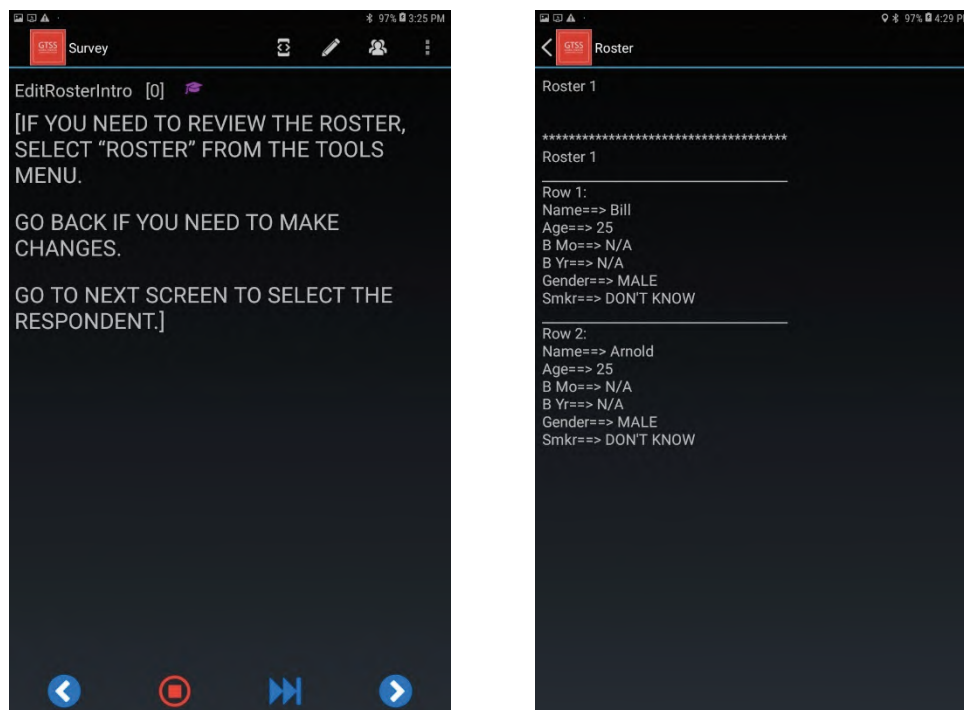


Once you are speaking with the screening respondent, start reading the text on the second introductory screen to the screening respondent (shown at above). It is important for you to read this text exactly as it is written because it explains the survey's purpose, tells how the household was selected,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

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

7.4 Rostering the Household

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



All screening questions will be displayed on your handheld device. The screening questions will allow for the random selection of a respondent for the *Individual Questionnaire*. If, for some reason, you get distracted and forget whether or not you've registered a household member, you can check your progress by tapping on the **Roster** icon at the top of the screen. The roster will list the individuals that you have rostered thus far and their details—age, gender, and smoking status. Tap the **Back** symbol at the top of the screen to return to the *Household Questionnaire* and continue with the rostering procedure.

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

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

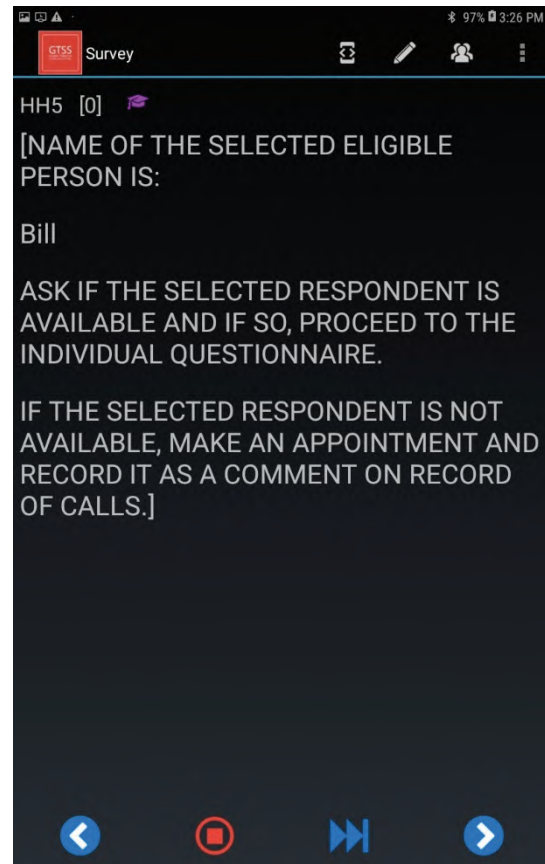
7.5 Selecting an Eligible Respondent

After completing the roster, the handheld device will display the respondent that was randomly selected to complete the *Individual Questionnaire* as shown at right.

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

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

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



7.6 Updating the Visit Record

After the *Individual Questionnaire* respondent has been selected and you have exited the *Household Questionnaire*, the handheld device will automatically code the *Household Questionnaire* as complete and display the Select Case screen. If you are unable to immediately interview the *Individual Questionnaire* respondent, be sure to update the *Individual Questionnaire* Visit Record with the appropriate result code.

Also be sure to note in the Comments the name of the individual selected for the *Individual Questionnaire* and the next appointment date and time. If you were not able to complete the *Household Questionnaire*, the handheld device will prompt you to update the Visit Record with the appropriate result code. You should update the Visit Record as shown in *Section 7.6*.

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

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

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

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

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

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

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

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

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

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

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

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

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

Exhibit 7-1. Household Questionnaire Result Codes

Code Number	Description	Visit Record Display
Pending Household Questionnaire Codes		
102	Completed Part of Household Questionnaire, Could Not Finish Roster	Break-off: Household Questionnaire Not Complete
103	Household Questionnaire Not Complete, Could Not Identify an Appropriate Screening Respondent	Household Screening Respondent not available
104	Household Refusal	Household Refusal
105	Unoccupied/Vacant/Demolished House	Unoccupied/Vacant
106	Selected Address Is Not a Household	Selected Address not Household
108	Other Household Nonresponse	Other Household Nonresponse
109	Nobody Home	Nobody Home
887	Household Questionnaire Reopened	Household Questionnaire Reopened
Final Household Questionnaire Codes		
200	Completed Household Questionnaire, One Person Selected	Final Complete Household -- 1 Selected
201	Completed Household Questionnaire, No One Selected	Final Complete Household -- 0 Selected
202	Completed Part of Household Questionnaire, Could Not Finish Roster	Final Break-off: Household Questionnaire not complete
203	Household Questionnaire Not Complete, Could Not Identify an Appropriate Screening Respondent	Final Household Screening Respondent not available
204	Household Refusal	Final Household Refusal
205	Unoccupied/Vacant/Demolished House	Final Unoccupied/Vacant
206	Selected Address Is Not a Household	Final Selected Address not Household
208	Other Household Nonresponse	Final Other Household Nonresponse
209	Nobody Home	Final Nobody Home
999	Household Replaced by Another Randomly Selected Address in the Missed Housing Unit Procedure	Household Replaced

7.6.1 Explanation of Codes

Pending Household Questionnaire Codes

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

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

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

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

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

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

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

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

Final Household Questionnaire Codes

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

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

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

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

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

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

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

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

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

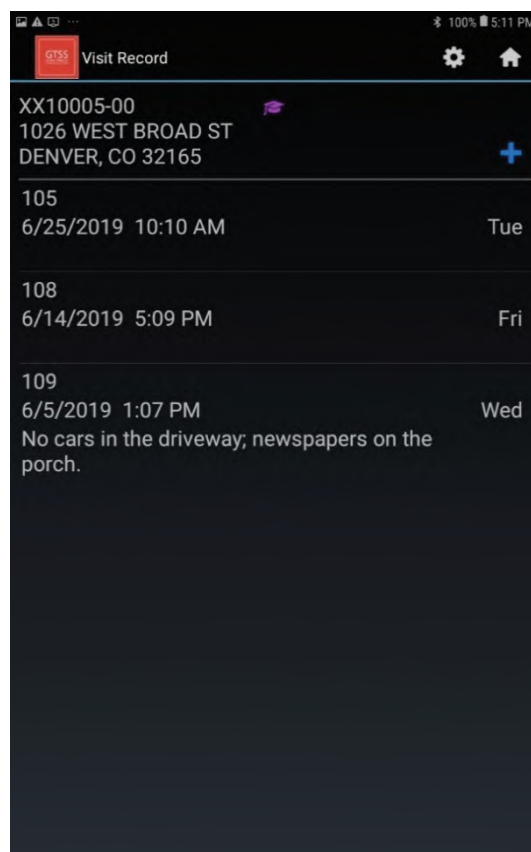
Code 999: Household Replaced by Another Randomly Selected Address in a Missed Housing Unit Procedure. This result code is assigned to a household that has been replaced in the Missed Housing Unit Procedure, as outlined in *Section 3.5*. An authorization code is needed in order to enter result code 999.

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

The screen at right is an example of a Visit Record for a *Household Questionnaire*.

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

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



7.6.2 Troubleshooting Household Eligibility Issues

The following exhibit shows some situations you may encounter when attempting to determine household eligibility and how you should handle them.

Exhibit 7-2. Examples of Household Eligibility Issues

Situation	How to Handle
Household is not a usual residence (e.g., may be a vacation home).	If no one in the household considers the household to be their usual residence, you should enter "0" in the first <i>Household Questionnaire</i> question, as there are no eligible persons who consider this address their usual residence. This questionnaire will be coded automatically with result code 201 in the CMS system. This is considered a completed screening.
More than one family resides at the address selected, and there is a separate kitchen for each family.	This group of families qualifies as a missed housing unit, given that there is a separate kitchen for each family. The procedures outlined in <i>Section 3.4</i> should be followed to select one of these families.

7.7 Importance of the Household Questionnaire to the Response Rate

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

The overall response rate is computed as the product of the household response rate and the individual response rate. For example, if you are only able to successfully screen 50% of the households you are assigned, even if you successfully interview 100% of the selected respondents in these households, the response rate will be only 50% × 100%, or 50%. With a survey as important as GATS, all countries are striving to achieve the highest response rates possible, preferably at least 85%. Your ability to successfully complete *Household Questionnaires* is therefore *critical* to your country's ability to achieve results that are representative of your country's population.

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

8. Administering the Individual Questionnaire

8.1 Introduction

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

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

8.2 Preparation for Individual Interview

The best way to achieve high response rates and to be efficient is *always* to complete the individual interview as soon as possible after you have completed the household interview. This guideline is especially true if the screening respondent is the person selected for the interview.

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

However, in many instances, you will interview a respondent who was *not* the screening respondent, and you will have to explain the survey and the interview to this person.

If you must revisit the household to contact the selected interview respondent, be sure to ask the screening respondent when “would be the best time” to return to speak with the interview respondent. Before you return, review the Visit Record to familiarize yourself with the household and the name and age of the selected respondent, and to refresh your memory about previous visits (refusal, respondent was busy, etc.). Case Details will display the name and age of the respondent selected by the *Household Questionnaire* to complete the *Individual Questionnaire*. Before approaching the household, be sure that the *Individual Questionnaire* is cued on the handheld device. To start the *Individual Questionnaire*, touch and hold the Case ID on the case grid screen and select **Start Interview**. This will launch the interview, beginning with the introduction.

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

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

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

the specific guidelines outlined in the *GATS Question by Question Specifications* manual. Make use of all proper interviewing techniques outlined in *Chapter 4*, maintaining a professional, task-oriented approach.

Please give special attention to any Field Interviewer instructions displayed on the screen as you administer the questions.

8.3 Informed Consent Procedures

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

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

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

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

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

Read the consent information exactly as it is written.

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

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

Exhibit 8-1. Example GATS Parental Consent Form

[TO BE MODIFIED TO ADDRESS COUNTRY-SPECIFIC NEEDS.]

[COUNTRY] Global Adult Tobacco Survey Parental Consent Form

[IMPLEMENTING AGENCY]

Date: ____ / ____ / ____

I am working with **[NAME OF ORGANIZATION]**. This institution is doing a survey about tobacco use in **[COUNTRY]**. This information will be used for planning public health programs by the **[MINISTRY OF HEALTH]**.

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

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

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

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

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

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

PARENT OR GUARDIAN SIGNATURE: _____

DATE: _____

Exhibit 8-2. Example GATS Adult Consent Form

[COUNTRY] Global Adult Tobacco Survey Adult Consent Form

[IMPLEMENTING AGENCY]

Date: ____ / ____ / ____

I am working with [NAME OF ORGANIZATION], and this institution is doing a survey about tobacco use in [COUNTRY]. This information will be used for planning public health purposes by the [MINISTRY OF HEALTH].

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

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

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

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

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

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

SIGNATURE: _____ DATE: _____

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

[COUNTRY] Global Adult Tobacco Survey Adult Consent Form

[IMPLEMENTING AGENCY]

Date: ____ / ____ / ____

I am working with **[NAME OF ORGANIZATION]**, and this institution is doing a survey about tobacco use in **[COUNTRY]**. This information will be used for planning public health purposes by the **[MINISTRY OF HEALTH]**.

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

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

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

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

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

SIGNATURE: _____ DATE: _____

Exhibit 8-4. Example GATS Contact Information Form

[COUNTRY] Global Adult Tobacco Survey Contact Information

Date: ____ / ____ / ____

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

[NAME OF ORGANIZATION] [NAME OF CONTACT PERSON] [TELEPHONE NUMBER]

This questionnaire has been reviewed and approved by **[NAME OF THE LOCAL IRB]** review committee, which is a committee whose task it is to make sure that survey participants' rights and safety are observed. If you wish to find more about this review committee or your rights as a participant, contact **[NAME, ADDRESS, AND TELEPHONE NUMBER]**.

8.4 The GATS Individual Questionnaire

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

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

- Background characteristics (age, gender, education, and household characteristics);
- Tobacco smoking (frequency of use, age when started smoking, types of tobacco products smoked);
- Electronic cigarette use (awareness, frequency of use, length of daily use, reasons for use);
- Smokeless tobacco use (frequency of use, age when first started using smokeless tobacco, types of smokeless tobacco used);
- Cessation (smoking cessation attempts, types of cessation aids, whether received cessation advice from a health care provider);
- Secondhand smoke (exposure to secondhand smoke, inside and outside the home, indoors and outdoors);
- Economics (money spent on tobacco, types of cigarettes purchased, places cigarettes purchased);
- Media (exposure to media and smoking advertisements); and
- Knowledge, attitudes, and perceptions (beliefs about health effects of tobacco use).

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

8.5 Updating the Visit Record

At the end of the interview, thank the respondent for spending time with you and for contributing to the success of this important survey. After exiting the *Individual Questionnaire*, the handheld device will automatically code the questionnaire as complete (code 400) and display the Select Case screen. If you were not able to complete the *Individual Questionnaire*, the handheld device will prompt you to update the Visit Record with the appropriate result code. (Note that the program will not allow you to update the Visit Record for an *Individual Questionnaire* unless the *Household Questionnaire* is completed and set as 200.) You should update the Visit Record as described in *Section 7.6*.

Thank the respondent for contributing to the success of GATS.

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

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

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

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

Do not assign a final result code to an incomplete *Individual Questionnaire* without obtaining permission from your supervisor. Note that code 400 will be automatically assigned by the handheld device when the *Individual Questionnaire* is completed and is not available for you to select on the dropdown menu. All questionnaires assigned a pending result code will be discussed with your Field Supervisor at your regular meetings. If, after consultation with your Field Supervisor, it is determined that further attempts to contact the household will not result in a completed questionnaire, your Field Supervisor will grant approval for you to assign a final result code. Once a final result code is assigned to a questionnaire, this household will be considered closed, and you will not visit this household again.

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

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

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

Exhibit 8-5. Individual Questionnaire Result Codes

Code Number	Description	Visit Record Display
Pending Individual Questionnaire Codes		
302	Completed Part of Individual Questionnaire	Break-off: Individual Questionnaire not complete
303	Selected Individual Was Later Determined to Be Survey Ineligible	Individual Questionnaire Respondent Ineligible
304	Selected Respondent Refusal	Individual Questionnaire Respondent Refusal
307	Selected Respondent Incapacitated	Individual Questionnaire Respondent Incapacitated
308	Other Individual Nonresponse	Other Individual Questionnaire Nonresponse
309	Selected Respondent Not Home	Individual Questionnaire Respondent not at home
887	Reopened Final Coded Questionnaire	Individual Questionnaire Reopened
Final Individual Questionnaire Codes		
400	Completed Individual Questionnaire	Final Completed Individual Questionnaire
402	Completed Part of Individual Questionnaire	Final Break-off: Individual Questionnaire not complete
403	Selected Individual Was Later Determined to Be Survey Ineligible	Final Individual Questionnaire Respondent Ineligible
404	Selected Respondent Refusal	Final Individual Questionnaire Respondent Refusal
407	Selected Respondent Incapacitated	Final Individual Questionnaire Respondent Incapacitated
408	Other Individual Nonresponse	Final Other Individual Questionnaire Nonresponse
409	Selected Respondent Not Home	Final Individual Questionnaire Respondent not at home

8.5.1 Explanation of Codes

Pending Individual Questionnaire Codes

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

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

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

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

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

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

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

Final Individual Questionnaire Codes

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

Code 402: Completed Part of Individual Questionnaire. This result code is used when the *Individual Questionnaire* was started with the selected respondent but was stopped before the respondent

completed the interview. Therefore, the *Individual Questionnaire* is incomplete and additional attempts will not result in a completed *Individual Questionnaire*.

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

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

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

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

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

9. Transmitting Data

9.1 Introduction

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

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

To transmit data using a wireless Internet connection, you will need to:

- activate the handheld device's wireless capability (Wi-Fi);
- select a network; and
- execute the Export Data menu option.

9.2 Activating Wi-Fi

To activate the wireless technology that provides access to Wi-Fi, swipe down from the top of the home screen, and select the gear icon. On the Settings screen, select Connections from the left column, and Wi-Fi on the right side under Connections. Set the Wi-Fi Off/On icon to **On** by sliding the bar to the right so that it turns blue.

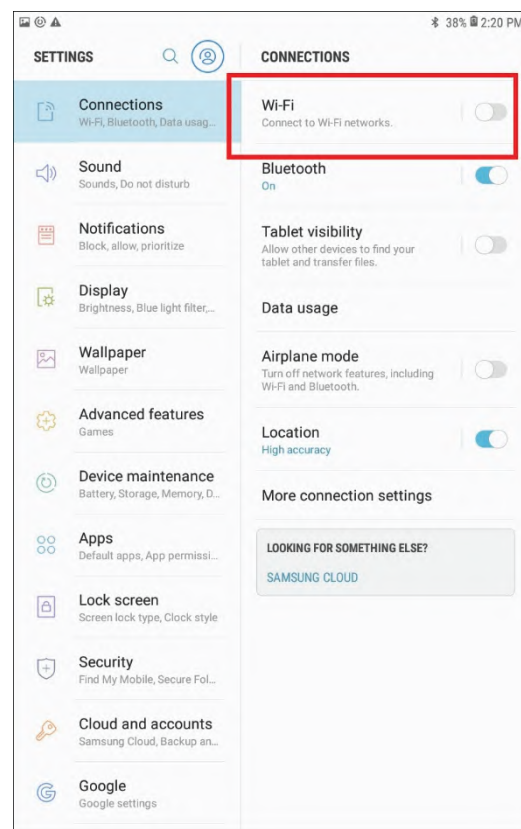
9.3 Selecting a Network

When you turn on Wi-Fi, your device automatically searches for available connections and displays them on the screen.

Select a network and enter your password on the resulting screen. Select **Connect**. Depending on the security protocol, you may need to enter additional information such as a password. Select **Connect**.

9.4 Data Transmission

To transfer data, choose the Data stack icon on the CMS screen and tap Export Data.



- **Export Data.** This action copies the data in a specified folder for transmission. If multiple exports are completed within the same day, the older file is overwritten. This action will export data to the file folder, copying the database and writing to the folder: FIID_YEAR_MONTH_DATE. (FIID is the Field Interviewer's identification number.)

To conserve battery power and to protect the data, deactivate the wireless feature as soon as the transmission process is complete.

9.5 Deactivating Wi-Fi

To conserve battery power and for security reasons, you must deactivate the wireless feature on your handheld device once you have completed transmission. Failure to deactivate the wireless will greatly shorten the life of your battery and may allow others to access your handheld device, thus potentially creating a data security vulnerability.

To deactivate the wireless, go to the home screen and select the settings icon. On the resulting screen, under the column heading Wireless and networks, slide the On/Off button for Wi-Fi to the left until it is grayed out.

10. Quality Control

10.1 Introduction

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

10.2 Practice, Monitoring, and Evaluation at Training

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

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

You will be given training on the following:

- using the handheld device
 - locating households
 - conducting screenings and interviews
 - administrative procedures
-

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

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

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

10.3 Verification of Interviews

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

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

[INSERT COUNTRY-SPECIFIC INFORMATION ON CONSEQUENCES FOR SUBSTANDARD OR FALSIFIED WORK.]

10.4 Field Supervisor Visits

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

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

10.5 Data Quality

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

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

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

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

10.5.1 General Questionnaire Administration Procedures

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

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

10.5.2 Trust the Instrument

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

Trust the program to guide you through the interview.

11. Administrative and Reporting Protocols

11.1 Introduction

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

Your Field Supervisor is your direct manager.

11.2 Your Field Supervisor

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

11.3 Recording and Reporting Your Time and Expenses

[INSERT COUNTRY-SPECIFIC TEXT.]

11.4 Disposition of Assignments

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

The Assignment Control Form is organized by household, with a space to record the outcome of each visit to the household to complete the *Household Questionnaire* and the *Individual Questionnaire*. The result codes that you enter after each attempt should match the result codes entered in the Visit Record. (See *Sections 6.9* and *7.6* for an explanation of result codes.) In the example below, the Field Interviewer first visited the household on 15 May, 2008, but no one was home to conduct the *Household Questionnaire*. The Field Interviewer returned later in the day and was able to complete the *Household Questionnaire*, and a respondent was selected. However, at that time, the selected respondent was not home. The Field Interviewer inquired when the respondent might be home, returned the next day, and was able to complete the *Individual Questionnaire* with the selected respondent.

Exhibit 11-1. Example GATS Assignment Control Form

GLOBAL ADULT TOBACCO SURVEY (GATS) ASSIGNMENT CONTROL FORM

Field Interviewer Name: John Smith Field Interviewer ID: 56893

Case ID: 8810003 Date Assigned: 14 May 08

Address:

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

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

Date	HH Q.	IND Q.
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		

Case ID: _____ Date Assigned: _____

Address:

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

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

Date	HH Q.	IND Q.
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		

Case ID: _____ Date Assigned: _____

Address:

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

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

Date	HH Q.	IND Q.
6		
7		
8		
9		
10		
11		
12		
13		
14		
15		

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

11.5 Use of Passwords and Unlock Codes

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

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

To protect confidential information and respondents' answers to survey questions, Field Interviewers will need to enter a password to gain access to the Case Management System, the central point for managing household assignments and starting interviews (see *Section 6.2*). [INSERT COUNTRY-SPECIFIC PROCEDURE FOR OBTAINING CASE MANAGEMENT SYSTEM PASSWORDS.]

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

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

Additionally, interviewers will need to enter an unlock code to re-open any questionnaires that have been assigned a final result code (see *Sections 7.6* and *8.5*). You should not often need to re-open a questionnaire that has been assigned a final result code, and you should only do so after close consultation and agreement with your Field Supervisor. If you re-open a questionnaire that has been assigned a final result code, you will need to go through the entire interview by touching **Next**, or using the Fast Forward option to reconfirm all of the answers and re-finalize the interview. Once a questionnaire is re-opened, all answers to the questionnaire are automatically set to "unconfirmed." Failure to confirm all the answers by going through each screen of the questionnaire will cause difficulties in the data processing stage. [INSERT COUNTRY-SPECIFIC PROCEDURE FOR OBTAINING UNLOCK CODE.] Once the questionnaire has been reopened, it will automatically be coded 887, Reopened Final Coded Questionnaire, and a comment must be entered as to why the questionnaire was reopened. The questionnaire cannot remain as code 887. It must be assigned another result code.

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

11.6 Regular Meetings with Your Field Supervisor

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

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

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

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

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

11.7 Transmitting Materials

When submitting materials to project staff, you should include a Materials Transmittal Form (see *Exhibit 11-2*). The Materials Transmittal Form will be used to track materials as they are transferred from one staff member to another. This form is in duplicate. You should place the top copy in the package of materials being transferred and keep the bottom copy for yourself. The

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

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

Exhibit 11-2. Example Materials Transmittal Form

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

12. Data Security and Confidentiality

12.1 Introduction

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

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

12.2 Security of Data and Equipment

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

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

12.2.1 Safeguarding Data and Equipment in the Field

You have the *legal* and *ethical* obligation at all times to safeguard participant confidentiality and to secure the handheld device (including data residing on the hard drive) from unauthorized access or use:

The most sensitive type of data contains identifying information. Because of this danger, *you are not permitted to write respondent names on any paper materials*. All notes concerning a respondent's name should only be made in your handheld device.

It is of paramount importance that Field Interviewers be particularly careful about maintaining the security of the device itself. Even though the database is encrypted, and password protected, great care must still be taken by Field Interviewers to ensure that the handheld device is not lost.

Store all project materials and equipment in a secure location when not in use, even at home. Do not store devices 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 harm the device.

12.2.2 Safeguarding Data and Equipment in the Field Interviewer's Home

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

12.2.3 Safeguarding Data and Equipment in the Respondent's Home

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

Keep all project materials and equipment secure at all times.

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

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

12.2.4 Safeguarding Data and Equipment When Traveling

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

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

12.2.5 Protecting Passwords

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

Do not:

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

12.2.6 Using Personal E-mail Accounts

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

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

12.3 Reporting Unanticipated Problems Involving Data Security and Confidentiality

An unanticipated problem is defined as any activity that potentially compromises the confidentiality of survey participants and the security of the data. An unanticipated problem may constitute the loss or theft of any confidential information that involves risks to survey participants. Loss or theft of the handheld device is considered an unanticipated problem. Similarly, the electronic transmission of any confidential information through your personal e-mail is considered an unanticipated problem.

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

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

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

Your Field Supervisor will contact GATS project staff about the potential loss. If you are unable to reach your Field Supervisor, please contact **[INSERT COUNTRY-SPECIFIC CONTACT INFORMATION.]**

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

12.4 Monitoring Field Staff Compliance with Data Collection Protocols

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

12.5 Retrieving Materials and Equipment When Field Staff Leave the Project

All equipment is the property of the GATS project. When you leave the project, your Field Supervisor will be responsible for ensuring that all survey materials and equipment are promptly returned. Your Field Supervisor will keep an inventory of all materials and equipment that are in your possession, including your handheld device. Your Field Supervisor will closely monitor the return of all materials and equipment. Appropriate follow-up action will be taken if items are not returned within a specified period of time. **[INSERT COUNTRY-SPECIFIC FOLLOW-UP PROCEDURES.]**

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

Appendix A: Interviewer Tips

DO's

- **Make a good impression by being prepared and organized.**
Make a good impression by being prepared for interviewing activities. This demonstrates your professionalism and increases the likelihood that households will participate in the survey. If you are thoroughly familiar with the survey and procedures and have all the materials you need, you can complete assignment activities quickly without sacrificing accuracy.
- **Maintain communication with your supervisor.**
Regular communication with your supervisor ensures that you stay on track to complete your assignments on time and according to specified procedures. Your Field Supervisor can provide advice for completing difficult cases and tips for improving your Field Interviewer skills.
- **Be courteous and sympathetic to concerns.**
Interviewers often work long hours in difficult conditions, but it is important to meet each household or potential respondent with a courteous attitude. Be sympathetic to concerns and answer questions honestly and with confidence. Although surveys are commonplace to you, some people might have questions about why you are visiting them and about the survey process in general. Your demeanor will go a long way toward establishing trust and rapport.
- **Be positive and persuasive, but not aggressive.**
Be businesslike, courteous, and confident. A Field Interviewer who is too passive will not be as successful at motivating people to participate as one who is confident. You must be prepared to convince the resident of the survey's importance by explaining its purpose and the participant's role in it. Be positive in your outlook. Assume that people will be interested and want to participate. Approaching a household or a respondent with an air of apology or defeat can sometimes trigger a refusal. Do not, however, become aggressive. Bullying residents into participating is not appropriate.
- **Be proactive.**
Identify and address problems early. Preempt trouble by looking ahead and being prepared. Don't delay or wait for problems to improve on their own. When in doubt, discuss issues with your Field Supervisor before they become a problem.
- **Listen.**
Listen carefully to the participant's comments, and try to determine the basis for his or her concerns or objections. Then, target your responses to those concerns or objections. Listening is one of the most important skills of successful Field Interviewers.
- **Be flexible and keep to the schedule.**
Respondents are being generous by sharing their time and thoughts with us. It is important that you keep all scheduled appointments. If you show up for a scheduled appointment and the respondent isn't there or is too busy to keep the appointment, be flexible and find a time when you both can meet.
- **Take care of your handheld device and survey equipment.**
Although the handheld devices are sturdy, they are not indestructible. Take care to keep the device dry and to protect it from dusty environments whenever possible.

- **Maintain accurate records.**

The GATS project team relies on information from you to correctly manage the survey and to interpret the survey results. Be thorough when recording the outcome of each visit to a household or respondent, even if you have no direct contact with a person. Keep the handheld device's Case Management System up to date. Stay current with all your reporting responsibilities.
- **Be open to feedback about your performance.**

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

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

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

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

The goal of your job as interviewer is accurately to record the respondents true answer to each and every question. Your actions and behavior may lead or direct a respondent to a particular answer. Be conscious of subtle changes in your body posture, tone of voice, or facial expressions. Do not have a questioning expression, nod your head, or appear surprised by a respondent's answers.

DON'Ts

- **Do not screen or interview someone you know personally.**
It is unethical for you to interview or screen someone you know personally. Contact your supervisor if you know someone at one of the households in your assignment.
- **Do not discuss confidential information with unauthorized persons.**
Never discuss any aspect of respondents or their answers with anyone outside of project staff, including the respondent's family or neighbors. To do so is a violation of the GATS code of confidentiality and privacy. Likewise, discussions among project staff should take place only when necessary for the accurate and timely completion of work. If you need advice or support regarding a respondent, speak with your Field Supervisor.
- **Do not share details on the purpose of your visit.**
Do not reveal to others why you need to visit a respondent or a respondent's home. If you are having trouble locating a house, ask for directions to the specific address. If asked about the nature of your visit, say that you are contacting the residents about participation in an important survey, but do not mention the specific nature or name of the survey.
- **Do not "help" the respondent answer the questionnaire.**
Some respondents may not immediately understand a question. If this occurs, repeat the question, and give the respondent time to think. Respect the respondent's right to give his or her answer in his or her own words. Do not rush the respondent to give an answer. Also, do not help the respondent answer by rewording the question, suggesting answers, or setting expectations (through words or body language) that the respondent should answer in a particular manner.

Appendix B: Troubleshooting Guide

- **There isn't a keyboard to enter responses.**
The keyboard has been deselected. Touch a text box to open the keyboard. “[INSERT COUNTRY-SPECIFIC KEYBOARD LANGUAGE.]”
- **Everything is in the wrong language.**
If the interview is under way, select the **globe** icon from top right corner. Select **English** or the [INSERT COUNTRY-SPECIFIC LANGUAGE ABBREVIATION] at the top right of the screen.
- **My handheld device freezes/locks up frequently or is running unusually slowly.**
Check to make sure the battery was charged correctly as outlined in *Section 5.4*. If your device is frozen and unresponsive, you may need to reset it. Press and hold the Power/Lock Key for 10 to 15 seconds. If the handheld device still does not turn on, contact technical support.
- **My battery doesn't last as long as it should.**
Make certain the handheld device's wireless feature is off. The wireless feature is a quick drain on the battery and should only be on when you need it to transmit data. The backlight and brightness settings can also drain the battery and may need to be adjusted.
- **Cases have unexpectedly disappeared or appeared in my Case Management System. I can't see any of the pending cases, only the completed cases, or vice versa.**
Go to the tab displaying unworked or pending cases. If the household or questionnaire is still missing, contact your Field Supervisor. When you transmitted data, your Field Supervisor or the Central Office may have assigned or transferred new households to your assignment.
- **My screen keeps going black or gets extremely dim so that I can't see.**
Check to see if the backlight has been turned down too low. Go to the settings, and select **Display**. Locate **Brightness**. Drag to the right to increase the intensity of the backlight. Alternatively, you may need to adjust your backlight settings to stay on longer between periods of activity. To do so, select **Screen timeout**, and set the backlight to turn off if not used after 5 minutes.
- **The handheld device asks me to roster more persons than live in the household.**
You may have inadvertently entered too many people on one of the beginning screens of the *Household Questionnaire*. For instance, you may have mistakenly entered 11 instead of 1 to roster. You will need to back up to the beginning of the questionnaire and confirm that you've entered the correct number of people in each screen. Alternatively, you can break off the interview, exit the questionnaire, restart the questionnaire, and start the rostering process over from the beginning.

Global Adult Tobacco Survey (GATS)