

Household Income and Expenditure Survey 2006

**FIELD WORK
INSTRUCTION
MANUAL**

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PART 1: GENERAL

1.1 Introduction

This manual is intended to be used by supervisors, interviewers and other staff working on the Republic of Palau Household Income and Expenditure Survey (HIES) 2006. The main purpose of the manual is to assist both supervisors and interviewers in ensuring the timely and accurate completion of the survey questionnaires. It contains guidelines and procedures for the conduct of the HIES and specific instructions for filling out the questionnaires. All persons involved in this survey, other than the respondents are required to study and understand fully the instructions and procedures that are contained in this manual.

The success of this survey depends largely on the manner in which the staff conducts themselves during both the training and fieldwork. It is essential that staff adhere to this manual, and any instructions given, so that the output of this survey is of the highest quality possible.

1.2 Objectives

The purpose of the HIES survey is to obtain information on the income, consumption pattern, incidence of poverty, and saving propensities for different groups of people in the Republic of Palau. This information will be used to guide policy makers in framing socio-economic developmental policies and in initiating financial measures for improving economic conditions of the people.

Some more specific outputs from the survey are listed below:

- a) To obtain expenditure weights and other useful data for the revision of consumer price indices.
- b) To supplement the data available for use in compiling official estimates of household accounts in the systems of national accounts.
- c) To supply basic data needed for policy making in connection with social and economic planning;
- d) To provide data for assessing the impact on household living conditions of existing or proposed economic and social measures, particularly changes in the structure of household expenditures and in household consumption;
- e) To gather information on poverty lines and incidence of poverty throughout Palau.

1.3 Confidentiality

A crucial aspect of a survey such as the HIES is to respect the confidentiality of the respondents. In many countries the National Statistics Offices operate under a Statistics Act which provides legislation to assist this with happening. Even though in Palau such an Act does not exist, all field staff involved in the survey will be asked to sign a contract stating that they will treat all information collected in the survey strictly confidential. Field staff will not be allowed to commence field work until this contract has been signed.

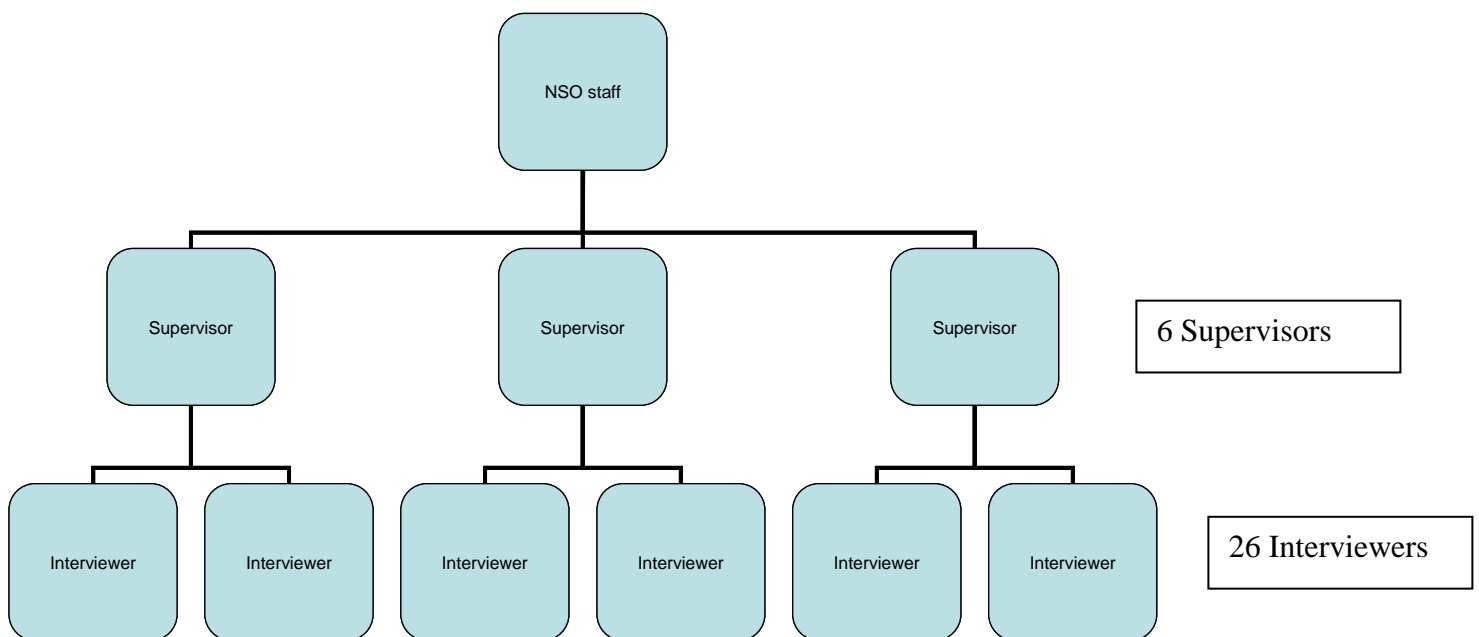
Breaches of this contract can have significant impacts on the successful conduct of not only this survey but future surveys undertaken by the Government of the Republic of Palau.

Breaches of the contract will also have an impact on the individual/s concerned in the sense that their pay can be docked and any other employment opportunities of this nature in the future will be lost.

PART 2: SURVEY ORGANIZATION

2.1 Organization and Control

The overall organization and control of the HIES will be by the responsibility of the staff from the Palau National Statistics Office. These people are responsible for the appointment of Supervisors and Interviewers for each survey area. They will also take charge of all the logistical issues associated with the fieldwork. This involves determining which areas supervisors and interviewers will be working in and how the field materials will be distributed and collected during the 9 weeks of fieldwork. The basic reporting structure can be seen below.



There will be 6 Supervisors used for the survey, with each Supervisor responsible for between 3 and 5 Interviewers each, depending on which area they are from. The main form of communication will be that interviewers will report to supervisors who will in turn report to the NSO. If a supervisor can not address a problem in the field, then it is appropriate for the NSO to have direct contact with the interviewer to address the problem.

In the case of Kayangel and Anguar, where only one interviewer will be working in each, they will both be required to report directly back to a designated staff member of the NSO. That is, no independent supervisor will be allocated to them.

2.2 Responsibilities and Functions of the NSO

As mentioned above, the NSO will take responsibility for the overall conduct of the survey activities. In particular they will be responsible for the following tasks:

- a) Ensure the distribution of survey materials takes place in a timely manner
- b) To immediately assist the field supervisors whenever a problem arises in their respective areas
- c) To regularly visit the supervisors in their respective areas to find out how they are going in supervising their interviewers
- d) To produce regular reports on the progress of the enumeration work
- e) To make sure all completed questionnaire forms are transported back to the NSO
- f) To ensure all completed forms have been checked by supervisors in the field before return to the NSO
- g) To ensure forms with irregularities are taken back to the supervisor concerned for correction
- h) To monitor the flow of forms in and out of the office, making sure all are accounted for at the end of the fieldwork
- i) To provide financial reports on how the project funds are expended on a regular basis
- j) To carry out other management and administrative tasks as required by the HIES project.

2.4 Responsibilities and Functions of the Supervisor

To supervise in accordance with the directions of the Statistics Office staff, the completion of the HIES 2006 for all selections, specifically to:

- a) Ensure that all schedules and materials are distributed to interviewers according to the instructions of the NSO staff;
- b) Ensure that the interviewers understand which household he/she is responsible for and that none are left out;
- c) Visit interviewers during the collection phase to make sure they are carrying out their responsibilities correctly;
- d) Make sure all forms from the interviewers are accounted for at the end of each 3 week period;
- e) Do spot checks for completeness of questionnaires and deal with any problems that might arise in the field
- f) Dispatch all completed questionnaires (in sealed envelopes) to the NSO after he/she is fully satisfied that
 - (i) All the entries of the questionnaires are properly completed
 - (ii) All the households in the sample selected and all members of the household are covered.

2.5 Responsibilities and Functions of Interviewers

An interviewer is responsible for the proper completion of the diary and questionnaires for every household as assigned to him/her by the supervisor during the survey period. Specifically, they are required to:

- a) Travel around the selected areas and identify which dwellings have been selected in the survey.
- b) Visit each selected household, introduce the survey to the household (via the PAL) and drop off the first diary after explaining how it works.
- c) Visit the household at least every 2 days during the diary keeping period to check on the progress of the diary
- d) Conduct face-to-face interviews with the household to complete the following materials:
 - (i) Household Control Form
 - (ii) Expenditure Questionnaire Form
 - (iii) Income Questionnaire Form
- e) Make sure all forms have been completed correctly, and accounted for.
- f) Fill in the appropriate details on the back and front of the household envelope.
- g) Fill in the interviewer control sheet, which monitors the interviewer's visits to each of the selected households.
- h) Return all materials used in the survey to the supervisor.
- i) Immediately raise any concerns or issues with fieldwork to their supervisor for prompt action.

2.5 Scope and Coverage

The sample will be representative of the whole country of Palau, with the exception of a couple of remote areas in Sonsorol and Tobi. These areas make up less than 0.5 per cent of households in Palau, so the exclusion of these areas will be minimal. A 20% sample will be applied overall, although this sample fraction differs across states – the smaller the state, the higher proportion of sample that needs to be selected. This is so reasonable estimates can be generated from the survey, for sub-populations of interest.

A household is considered in scope for the survey if they have resided in Palau for the last 12 months or more, or if not, they intend to live in Palau for the next 12 months. Households who don't meet either of these two criteria are excluded from the survey.

The sample was chosen by sorting the dwellings within each interest area by Hamlet in Koror, and State for the other areas. Within each Hamlet/State, the dwellings were then sorted by household size, where household size was the number of persons associated with that dwelling. Once the listing had been sorted by these variables, a systematic skip was run through the sample to select the desirable sample size. This sampling approach should result in a very representative sample of both geographical areas and household size.

PART 3: PROCEDURE FOR FIELD CONTROL AND FIELDWORK

3.1 Distribution of Materials

The Statistics Office will arrange the distribution of the materials required in the field. The distribution will be made through the survey supervisors who will be supplied with the material requirements for all the interviewers in their areas. The supervisor will check that all materials are present in the package, record their receipt, and issue the materials to interviewers. All materials have to be accounted for.

Given the survey will be in the field for 9 weeks, it is proposed that the interviewers will be provided with their initial 3 weeks worth of field material at the start. From this point on, at the end of each 3 week period, interviewers will be required to hand over the completed material for that 3 week period to supervisors, and collect another workload worth of field material. This process will take place until the completion of the survey. The supervisors will then be responsible for delivering the forms back to the NSO.

3.2 Public Relations

You will be asking the members of the household to provide you with personal information. They are not familiar with the questionnaires or the procedures of this survey, and for these reasons many people can be expected to be rather nervous or even angry. It is your job to adopt a friendly and helpful approach on all occasions so as to reduce tension to a minimum.

Do not hurry the interview, especially at the beginning. Instead take some time to exchange greetings and then explain what the interview is about. Answer as best as you can any questions you may be asked. Do not talk about controversial matters or other people in the survey.

If you think any statement is incorrect, do not write it down at once but also do not say it is wrong. The best way to deal with such a case is to discuss it further until it becomes obvious that the original statement was wrong.

Remember, when leaving the household, thank the household head and any other members of the household for their cooperation and assistance.

3.3 Field Work

3.3.1 General

The field activities are the most important stage of the survey. The identification of the households and the arrangement of the visiting periods are important to ensure that the objectives of the survey are met and that errors which occur in the field, can be corrected and handled without further cost. Each household will be observed for a period of 2 weeks and questions will be asked of their expenditure and income for the last 12 months.

Interviewing households on Sundays are discouraged and also Saturdays if the household members are Seventh Day Adventists.

A calendar of activity has been included in the two field books.

3.3.2 Identifying selected dwellings

The first task an interviewer needs to undertake for each workload is to familiarise themselves with the dwellings selected in the workload. Quite often the interviewer will know the dwelling in advance, before even visiting the location, so these dwellings will be straight forward. For the remaining dwellings, of which there will be few, the interviewer may be required to ask assistance from people in the area to help assist finding the right dwelling.

It is very important to go to the dwellings that have been selected in the survey for you to enumerate, and thus not change any of these selections. If you are having trouble locating any dwelling, you can always call on the assistance of both your supervisor and the NSO. This should be done as early as possible in the process to give time to the supervisor/NSO to provide the required assistance.

3.3.3 The 3 week cycle

Each interviewer will be responsible for interviewing 30-45 dwellings during the 9 week period. This will comprise of 2-3 workloads of 15 dwellings each. Addressing each workload will take 3 weeks in total. The procedure an interviewer should follow during this 3 week period is as follows:

Day 1-4: Travel around the selected area and identify the location of the 15 dwellings for that workload. Visit all 15 dwellings and introduce the survey, fill in the Household Control Form and drop off the first diary.

Day 5-18: Visit every selected dwelling each day if possible and assist with filling out the diary. Conduct the expenditure and income questionnaires for each selected household at any stage throughout the 2 week period.

Day 19-21: Go through all expenditure and income questionnaires and make sure everything looks OK. Collect all Diaries from all selected dwellings. Make sure all forms are accounted for, and passed on to the supervisor.

Depending on the interviewer, this process should occur 2-3 times over the 9 week period.

3.3.4 The initial visit

All 15 dwellings for each workload need to be visited in the first 4 days. It is important that the following activities take place during this period:

- i) Introduce the survey to the household, courtesy of the Primary Approach Letter (PAL).
- ii) Fill in the Household Control Form (HCF) for the household.
- iii) Drop off the first diary for the household, which should commence being filled in on the following Monday (see timetable for when this is).

3.3.5 Visits during the middle two weeks

During the middle 2 weeks of the 3 week cycle, households are required to fill in the two 1-week diaries they are provided with. It is also during this period that each of the main questionnaires needs to be filled in:

- i) Expenditure questionnaire
- ii) Income questionnaire

These are quite long questionnaires, so don't leave this work until the end of this two week period, as it won't get completed on time. Also during the two week period, the interviewer must visit each selected household as many times as possible to check on the progress of the diary.

3.3.6 The final visit

During the last week, the interviewer must make their final visit to the household to collect the last diary and any other survey material still with the household. It is during this visit that the interviewer must ensure that all survey material for that household has been completed correctly. This includes:

- i) Household Control Form
- ii) Expenditure Questionnaire
- iii) Income Questionnaire
- iv) Diary (x 2)
- v) Envelope covers (back and front)

It will be more difficult to go back and visit households after the fieldwork is complete, so it is very important that checking of final materials is done either before or during this final visit to resolve any problems.

PART 4: INSTRUCTIONS FOR COMPLETING THE FIELD MATERIAL

Part 4 of the instructions details how each of the various survey materials should be completed in the field. The different survey materials addressed in this section include:

- i) Envelope
- ii) Household Control Form
- iii) Expenditure Questionnaire
- iv) Income Questionnaire
- v) Diary

The level of detail provided in each section will be different. This is because detailed instructions are already provided in the income and expenditure questionnaires.

4.1 Envelope

The envelope is used to store all the questionnaire material for a single household. The household identifiers on the right hand side of the envelope front cover should be filled in when the household is first visited, along with the interviewer name. After this, when the survey forms get completed by the household, with assistance from the interviewer, details should be entered on the left hand side of the front cover (that is, tick the box when each form is completed and enter the completion date).

Once all material is completed for a household, the back section of the envelope needs to be filled in by both the interviewer and supervisor. The interviewer needs to assign a “final household status” to the household. One of three options can be filled in for this part:

- a) Household fully responded to all aspects of the survey: Simply tick the box
- b) Household partially responded: Tick the box, then indicate for each form whether it was “fully completed”, “partially completed” or “not completed”
- c) Household did not respond: Tick the box, then indicate the reason why by ticking the appropriate box

The supervisor then needs to fill in the bottom part of the envelope back to confirm that all materials have been accounted for, and then signs in the space provided. This process should take place as the interviewer is handing the forms over to the supervisor.

4.2 Household Control Form

The Household Control Form (HCF) should be filled in during the first visit to the household. Its main objective is to collect basic demographic information about members of the household. Before completing this form however, the interviewer needs to determine two things:

- Is the household in scope for the survey?
- Is there more than one household in the dwelling?

Is the household in scope of the survey?

Only those households which have been residing in Palau for more than 1 year, or those households who intend to reside in Palau for a total of 12 months or more, should complete this form and partake in the survey. These households can be identified by going through section (e) in the field book for interviewers. If the household does not meet these criteria, then the survey is over. In assessing the eligibility of a household to be in the survey, use some common sense – there will be many occasions when it will be clear that the household has always lived in Palau, so don't bother asking these questions.

Is there more than one household in the dwelling?

Although it will be rare, some dwellings have more than one household occupying it. A simple definition of a “household” is a group of people who share common finances and generally eat together. A simple definition of a “dwelling” is the physical structure that the household/s lives in. If a situation arises such that there are more than one household in the selected dwelling, each household should be enumerated separately. Section (f) in the field book for interviewers can be used to assist with determining this.

Once these two issues have been addressed, the HCF can be filled in for the household. The HCF form is to record names of all the usual members of the household. Information on relationship to head of household, sex, date of birth and ethnicity are asked of all members in the household. For persons aged 15 and over, questions on marital status, educational attainment and activity status are also asked. Codes should be used to complete these questions, and they can be found in the interviewer's field book in section (a). You must enter the code for these questions.

4.3 Expenditure questionnaire

The purpose of this questionnaire is to record household expenditure that is not included in the diary. There are some big purchases that the household may only make once or twice a year. Also the household may make regular payments, which may not be done during the survey period, and we would need to know such payments to produce good and complete estimates.

There are 17 sections in the Expenditure Questionnaire which relate to the following:

1. Dwelling characteristics
2. Dwelling tenure
3. Mortgages and loans for purchase of dwellings
4. Insurance policies
5. Construction of new dwellings
6. Major home improvement
7. Household operations
8. Transportation
9. Overseas and domestic travel
10. Education, recreation, sport and culture
11. Loans
12. Credit cards / charge accounts
13. Contribution to benefit schemes
14. Medical and health services
15. Customs occasions
16. Miscellaneous payments
17. Agricultural assets

Detailed instructions for each section are not provided here as they can be found in the questionnaire itself on the left hand side of the booklet.

4.4 Income questionnaire

This questionnaire is to record the household's total income received or earned in the last 12 months. Information will be collected for all usual members of the household who are 15 years and over. Visitors are not to include their income earned in this section.

There are 8 sections in the Income Questionnaire which relate to the following:

1. Working for wage and/or salary
2. Agriculture, livestock, fishing and other sales
3. Other self employed and business operations
4. Previous jobs held in the last 12 months
5. Services provided to other private households
6. Receipts from custom occasions
7. Welfare benefits/allowances
8. Other income, including remittances

Detailed instructions for each section are not provided here as they can be found in the questionnaire itself on the left hand side of the booklet.

4.5 Weekly Diary

For each household observed, there will be two books, one for the first week and one for the second week. This is to keep a record of all daily expenditure for the 14 days. Interviewers have to make sure that these diaries are being kept for each day. Instructions on how to use the diary have been written on the front pages of these diaries.

In normal circumstances, the head of household organises the household activity. In some households this may not be the case - some members of that particular household may not be seeking the authority of the head when some expenditure is encountered. This situation may result in not recording all expenditure in the diary. The interviewer should discuss the matter with the head of the household to ensure that each member's expenditure is recorded in the household diary. If a member of the household does not co-operate with the head of the household he/she may be allocated a separate diary. That member of the household should be explained the full responsibility of recording the diary.

There are 4 main sections making up each weekly diary:

- 1) Items bought
- 2) Consumption of home produced commodities
- 3) Gifts of cash or goods
- 4) Winnings from gambling

In general, ask the household head to make a note of any problems encountered in filling out this diary. The interviewer can then address these issues upon their next visit.

4.5.1 Items bought

This is the first section for each day's entry, and is used for recording all items bought in a store, street vendor, or any other place. Each household is required to write down everything they bought, whether paid by cash, cheque or on credit. If you have not purchased anything for that day, or consumed any of your own produce, place a tick inside the circle at the top of that day's page to indicate it hasn't been missed.

Special instructions have been included for some items due to the tricky nature of recording their expenditure. These items include meals at restaurants, drinks at a bar, donations to the church, children's pocket money, etc. Encourage the household head to read through these cases before proceeding to fill out the diary each day.

Four pieces of information are required for each entry:

- Quantity bought
- Weight (if applicable)
- Full description of item
- Amount paid or charged

4.5.2 Consumption of home produced commodities

This is the second section for each day's entry, and is used for recording all home produced commodities consumed on that day. Once again 4 pieces of information are required for each entry:

- Quantity consumed
- Weight (if applicable)
- Description of item
- Cost of buying the same thing at the local shop/market

Make sure only home produced commodities are recorded in this section.

This section is generally the most under-reported section of the survey so it is extremely important to continually check with a household that this area is being filled out correctly each day. This is particularly the case in the rural areas where a large amount of consumption of home produce should be taking place.

4.5.3 Gifts of cash or goods

This section is located at the back of the diary and aims to collect 4 bits of information:

- Cash given away
- Goods given away
- Gifts of cash received
- Goods received

NB: It is very important that the household does not include custom exchanges in this section as this will be covered in the income and expenditure questionnaires. Make sure the household is aware of this before filling in the diary.

Cash given away: Includes monetary gifts given to someone outside the household. Include the day, amount, to whom it was given and where they live. Don't include custom exchanges.

Goods given away: Includes non-monetary gifts given to someone outside the household. Include the day, quantity, weight, description of good, estimated value, to whom it was given and where they live. Don't include custom exchanges.

Gifts of cash received: Includes monetary gifts received by a member of the household from someone outside the household. Include the day, amount, from whom it was received and where they live. Don't include custom exchanges.

Goods received: Includes any non-monetary gift received by a member of the household from someone outside the household. Include the day, quantity, weight, description of good, estimated value, from whom it was received and where they live. Don't include custom exchanges.

At the time when any of these transactions take place, the entry should be made in the appropriate place at the end of the diary.

4.5.4 Winnings from gambling

This is the final section of the diary and includes money won from any form of gambling. In the table provided, include the day, type of betting and amount won.