Household Income and Expenditure Survey 2013/14

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 2013/14 FSM Household Income and Expenditure Survey (HIES). 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 how field work should be carried out throughout the course of the 12 months. 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 conduct 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 FSM. 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 the consumer price index;

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, including producing as many of FSM's National Minimum Development Indicators (NMDI's) as possible;

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 FSM.

1.3 Confidentiality

All information collected in this survey will be kept confidential. The FSM Statistics Division currently operates under the guidance of the Statistics and Census Act of 1988. The relevant section of this Act, relating to the confidentiality issues of the survey is:

> Section 12: Wrongful disclosure of information prohibited.
>
> *Any person being or having been the National Planner, or Chief, or an employee of the Division of Statistics, either temporary or permanent, or having taken and subscribed the oath as set forth in Section 9 of this act, or otherwise having sworn to observe the limitations imposed by this act, who publishes or communicates any information of which is prohibited under the terms of this act, and which comes into his possession by reason of his being employed or otherwise providing services under the provisions of this act, shall be guilty of an offense, and upon conviction therefore shall be fined not more than $3,000, or imprisoned not more than 3 years, or both.*

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

Breaches of the law 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.

1.4 Public Relations

You will be asking the members of the household to provide you with personal information. They are not familiar with the modules or the procedures of this survey, and for these reasons many people can be expected to be rather apprehensive 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.

1.5 Survey Non-Response

As with any survey, not all households will be expected to respond to the survey. The most common reasons for a household not participating in the survey are:

1. Refusal
   a. Don't want to be part of the survey
   b. Inappropriate time
2. Non-contact
   a. Household members away during survey period
   b. Household members not present at time of visits
3. Vacant Dwelling
4. Out-of-scope Household

The treatment for each case is as follows:

1.a) Refusal – Don't want to be part of the survey
For whatever reason (eg, political), there will be times when a household strongly refuses to be a part of the survey. When this occurs the interviewer must notify the supervisor immediately, and it will be the role of the supervisor to visit the household to request their participation. Explaining the importance of the survey and the strict confidential guidelines in which information will be collected should be explained in more detail to the household when the supervisor visits. If the household still refuses to participate in the survey, this should be accepted and simply treat this household as sample loss. As stated in Section 1.2 of this document, the statistics Act does empower the Statistics Division to use legal force to encourage participation in such surveys, but this should ***not*** *take place.*

1.b) Refusal – Inappropriate time
If a household is experiencing a difficult time (eg, death in the family), and as a result wish to not participate in the survey then this should be respected. When this occurs the interviewer should simply treat this household as sample loss and move on to the next household on their list.

2.a) Non-contact – Household members away during survey period
Situations will arise where a dwelling will be occupied, but the occupants are off island during the collection period for the survey. In order to ascertain this is indeed the case, the interviewer should seek confirmation from neighbors, and when confirmed, treat as sample loss.

2.b) Non-contact – Household members not present at time of visits
Unlike the situation above (2.a), there will be times when the occupants of the household are on island, but not at home when the interviewer visits the household. When this occurs, try to determine from neighbors when an appropriate time to visit the household will be, and make at least 3-4 visits during these times before treating the household as sample loss.

3) Vacant House
Some dwellings selected in the survey will not be occupied. When this occurs, seek confirmation from neighbors that the dwelling is indeed vacant, and then treat as sample loss.

4) Out-of-scope Household
As discussed in section 3.1 of this document, not all households are considered in scope of the survey. A household is considered in scope for the survey if they have resided in FSM for the last 12 months or more, or if not, they intend to live in FSM for the next 12 months. A couple of questions should be asked at the start of the interview to determine in the household is in scope, and if not, be treated as sample loss.

In all the above cases, replacements households should **not** be selected. Additional top-up sample has been selected in the survey to account for these non-responding households.

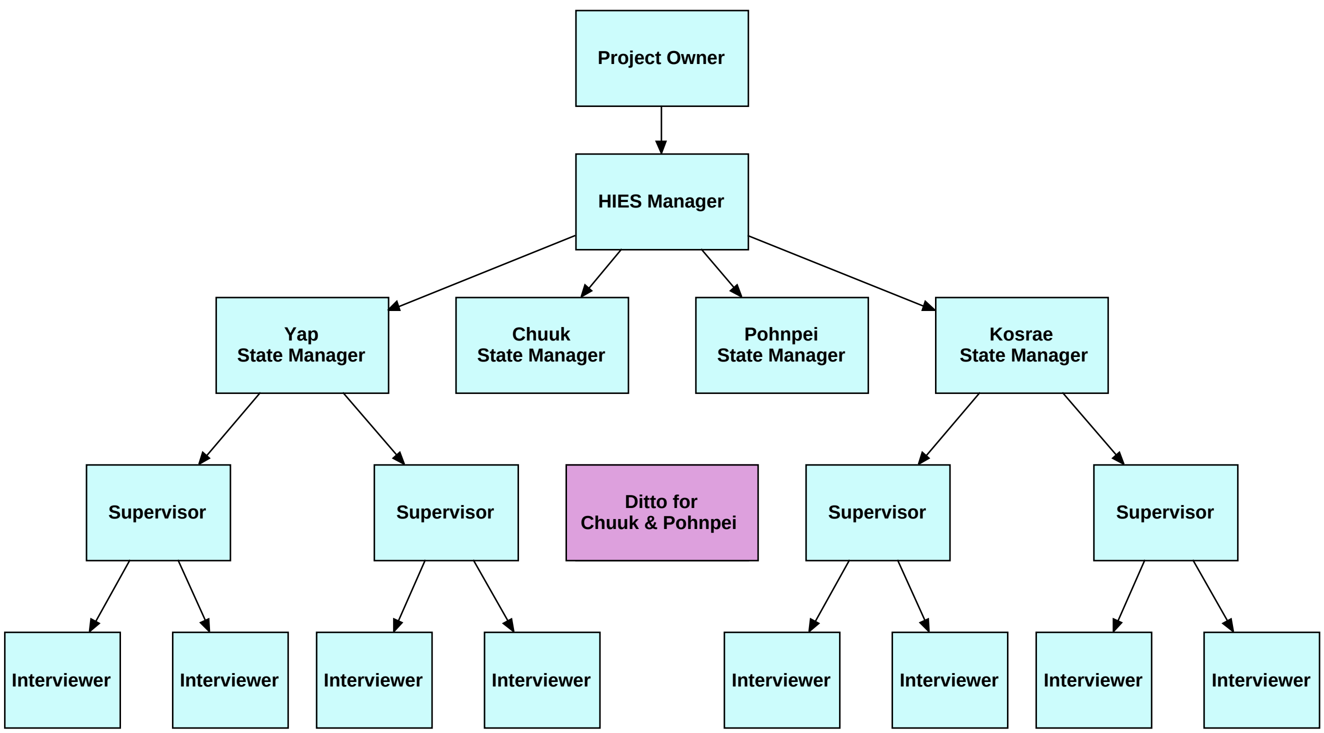
PART 2: SURVEY TEAMS & RESPONSIBILITIES

2.1 Team Structure

The overall organisation and control of the HIES will be by the responsibility of the staff from the Statistics Division within SBOC, in particular the HIES survey manager. Under their control will be each of the 4 statistic office state managers, within each of the 4 states of FSM, Yap, Chuuk, Pohnpei and Kosrae. The state managers will then be responsible for overseeing the work of the field supervisors, who in turn will be responsible for overseeing the work of the field interviewers.

State managers, in consultation with the HIES survey manager, will take charge of all the logistical aspects associated with the survey field work, including dispatching and collection of forms. Plans will be established prior to commencement of fieldwork as to where interviewers and supervisors will be expected to operate throughout the 12 months, and it is the responsibility of the state managers to see that this happens.

In summary, the reporting structure for fieldwork will be as follows:



2.2 Communication

There will be numerous field staff (supervisors and interviewers) and quality control officers involved throughout the 12 months of fieldwork. For the field work to run successfully the following forms of communication must take place effectively and regularly:

COMMUNICATION BETWEEN:	TYPE OF COMMUNICATION REQUIRED
HIES Survey Manager & State Managers	The HIES manager should be the driving force behind the communication throughout the entire fieldwork. They need to set an example to all other survey staff by making regular contact with their state managers to check on progress. The state managers on the other hand should not be waiting for the HIES survey manager to contact them, and should provide regular updates to the HIES survey manager on field progress. If any issues arise in the field for their state which they can't address, immediate contact should be made to the HIES survey manager to have the problem resolved.
State Managers & Supervisors	The state managers need to be in regular contact with their supervisors throughout the entire duration of field work. This contact should take place every 2-3 times a round at a minimum, to ensure no problems are occurring in the field. The supervisors need to keep the state managers updated regularly on progress of field work, and in particular, make immediate contact when a problem they can't deal with occurs.
Supervisors & Interviewers	The supervisors need to be checking daily on the interviewers to monitor the progress of field work and ensuring forms are being filled in correctly, and interviewers are not falling behind in their workload each round. The interviewers need to update their supervisors on progress each round, and address all concerns they experience when carrying out the field work. It is crucial that when issues arise, they are raised with the supervisor immediately, so the interviewer can address this in the field before forms for that round are returned.
Interviewers & Respondents	The interviewers need to be courteous and polite on each occasion they deal with the respondents. Whenever questions are raised by respondents, interviewers should take the time to properly address these questions, and not rush the interview. On all occasions the interviewers should thank respondents for their time. The respondents will hopefully be willing to provide accurate information of all aspects of the survey, asked of them ☺

It is crucial that the communication between all members of the HIES team takes place in the manner described above during the entire fieldwork, to ensure problems/issues are addressed appropriately and in a timely manner. Failure to do so will most likely have a significant impact on the quality of information collected in the field.

2.3 Responsibilities and Functions of the HIES Manager

The HIES manager will take responsibility for the overall conduct of the survey activities. In particular they will be responsible for the following tasks:

a) To ensure state managers have all the survey forms they require in a timely manner
b) To ensure state managers have all other field equipment for their teams in place prior to field work commencing
c) To ensure state managers have a sound field plan in place addressing all key communication and transportation issues
d) To immediately assist the state managers whenever a problem arises in their respective states
e) To regularly check on the state managers to assess how they are managing the workload of their respective state teams
f) To ensure all state managers are accounting for all survey forms at the completion of the round and are being properly stored within their state offices
g) To ensure state managers are carrying out the approved editing procedures at the end of each round
h) To provide financial reports on how the project funds are expended on a regular basis
i) To carry out other management and administrative tasks as required by the HIES project owner.

2.4 Responsibilities and Functions of the State Managers

The state managers will take responsibility for the conduct of the survey activities within their own state. In particular they will be responsible for the following tasks:

a) To ensure the distribution of survey forms to supervisors and interviewers takes place in a timely manner
b) To ensure supervisors and interviewers have other necessary equipment they require before they commence field work
c) To ensure a suitable field plan is in place addressing all key communication and transportation issues
d) To immediately assist field supervisors whenever a problem arises in their respective areas
e) To regularly check on the supervisors to find out how they are going in supervising their interviewers
f) To make sure all completed questionnaire forms are transported back to the state statistics office
g) To ensure all completed forms have been checked by supervisors in the field before return to the state statistics office
h) To ensure forms with irregularities are taken back to the supervisor for correction
i) To ensure the correct editing procedures are being implemented at the end of each round

j) To monitor the flow of forms in and out of the office, making sure all are accounted for at the end of the fieldwork

2.5 Responsibilities and Functions of the Supervisors

The supervisors will be primarily responsible for ensuring the interviewers are carrying out their required tasks with suitable support. In particular they will be responsible for the following tasks:

a) Ensure that all schedules and materials are distributed to interviewers according to the instructions of the state manager

b) Ensure that the interviewers understand which household he/she is responsible for and that none are left out

c) Visit interviewers regularly during the collection phase to make sure they are carrying out their responsibilities correctly

d) Address any problems encountered in the field to the state manager immediately

e) Make sure all forms from the interviewers are accounted for at the end of each 3 week period

f) Do spot checks for completeness of questionnaires and deal with any problems that might arise in the field

g) Dispatch all completed questionnaires (in sealed envelopes) to the state managers 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.

2.6 Responsibilities and Functions of Interviewers

The interviewers are responsible for the proper completion of the diary and questionnaire modules 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 households have been selected in the survey for each round

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) Module 1 – Demographics and Dwelling Information

   (ii) Module 2 – Household Expenditure

(iii) Module 3 – Individual Expenditure

(iv) Module 4 - Income

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.

2.7 Responsibilities of the Quality Control Officer

The responsibility of the data control officer is to ensure that the data received from the field is complete and accurate. There are several steps that are necessary to ensure that the project collects and records the best data as possible. These steps are outlined below:

a) The QC officer collects and returns modules from the supervisor and records the questionnaire identifiers, disposition and date in a field log book. The purpose of this activity is to ensure that there is a tracking record of every module being routed between the respondent, interviewer, supervisor and QC officer. By keeping excellent tracking records of every module being passed through several hands ensures that modules are -

i) not misplaced
ii) entered into the data management system in a timely manner
iii) field activities are completed within reasonable time periods.

b) Upon receipt of modules the QC officer then enters the information into the data management system and produces a quality control report (error report). The error report identifies questions in the module that are not complete or missing; questions that should not be answered because of skip patterns and; questions that contain unrealistic values. The purpose of this activity is to check the consistency, validity and quality of the data being collected on the field. The QC officer address these problems with the supervisor by -

i) identifying and instructing the supervisor on how to correct the errors in the field. The supervisor then conveys those instructions to the enumerator;
ii) updating corrected questions in the data management system;
iii) identifying problematic areas of the questionnaire for re-training;
iv) identifying weaknesses of enumerators in regards to understanding the questionnaire.

c) Upon the completion of a collection round the QC officer sends the data to main server for certification.

d) Reports any inconsistencies between errors encountered on the field and those produced by the data management system to SPC.

i) If a program update is necessary the QC officer will initiate a program update via the main server.

PART 3: SAMPLE DESIGN ISSUES

3.1 Survey Scope

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

Example of eligible households:

- *Just married couple who has been living together since the wedding 3 months ago*
- *Expat family just arrived last month for a 3 years contract in FSM*
- *Expat family who has been living in FSM for 2 years*

Example of non eligible households:

- *Expat male who rents a house in FSM, arrived last month and plans to stay for 6 months*
- *All short term visitors, who come to FSM for a short period*

3.2 Sample Selection

The first stage of the sample design involved splitting the 4 states of FSM in to stratum which separated areas based on the level of access to certain facilities. In all, three different ratings of access were developed: "good access", "medium access" and "rare access". For the state of Kosrae, all areas were considered to have "good access".

Once the stratum had been formed then the sample allocation was performed. This was initially done at the state level, with the smaller states of Kosrae and Yap getting a higher fraction of sample than the larger states of Chuuk and Pohnpei. This was so that suitable quality results could still be achieved for the smaller states.

Once the sample size was determined for the states, this was then split up amongst the stratum. The allocation was done to try and spread the workloads out as much as possible across each stratum. State managers were then required to determine the number of field workers they would require, keeping in mind it was more suitable to recruit interviewers from those selected areas.

The sample within each stratum was selected by initially selecting EAs, and then selecting 10 household per selected EA which in turn would equate to one workload over a 3 week period for one interviewer.

The final sample size numbers can be found in the table below:

State	Access Rating	Population	Sample	Sample fraction	
				Stratum	State
Yap	Good	270	120	44.4%	17.3%
	Medium	1390	200	14.4%	
	Rare	651	80	12.3%	
Chuuk	Good	2019	240	11.9%	10.4%
	Medium	3353	320	9.5%	
	Rare	1580	160	10.1%	
Pohnpei	Good	2753	280	10.2%	10.2%
	Medium	3126	320	10.2%	
	Rare	409	40	9.8%	
Kosrae	Good	1143	240	21.0%	21.0%
TOTAL		16694	2000		12.0%

Important Note

There will be situations when a household will question why they were selected in the survey and not their neighbor. If this situation arises, the interviewer must explain to the householder that a random selection process was adopted for the survey, and every household had the same chance of being selection in the survey by chance.

PART 4: SURVEY TIMING

4.1 Field work timing – entire survey (12 months)

The FSM 2013/14 HIES will be conducted over a 12 month period, commencing around the 11th July 2013, and concluding on the 10th July 2014. In order to spread the survey out over the 12 months, the sample will be divided into 16 rounds with roughly 120 households selected in each round.

Each round will last for approximately 3 weeks, with 2 designated breaks after round 2 and round 7.

> Break 1 (after Rd 2): Will enable a full review to take place of how field operations went in the first two rounds before field work commences in the third round.
>
> Break 2 (after Rd 7): Will enable field staff to take a break during Christmas as it also not an appropriate time to be conducting the field work.

The overall timing of each of the 16 rounds will therefore be as follows:

The 12 month cycle

Round	Dates
Round 1	11 Jul - 31 Jul
Round 2	1 Aug - 21 Aug
Break 1	22 Aug - 4 Sept
Round 3	5 Sept - 25 Sept
Round 4	26 Sept - 16 Oct
Round 5	17 Oct - 6 Nov
Round 6	7 Nov - 27 Nov
Round 7	28 Nov - 18 Dec
Break 2	19 Dec - 2 Jan

Round	Dates
Round 8	3 Jan - 23 Jan
Round 9	24 Jan - 13 Feb
Round 10	14 Feb - 6 Mar
Round 11	7 Mar - 27 Mar
Round 12	28 Mar - 17 Apr
Round 13	18 Apr - 8 May
Round 14	9 May - 29 May
Round 15	30 May - 19 Jun
Round 16	20 Jun - 10 Jul

4.2 Field work timing – each round (3 weeks)

As discussed above, each round of the survey will last approximately 3 weeks, with specific tasks being allocated throughout the 3 week period. Of most significance is the diary keeping period which will run for 2 weeks, and will fall in the middle of the 3 week period. The diary period will be preceded by preparation activities the interviewers need to undertake, and followed by checking procedures to ensure all information collected during fieldwork is complete and correct.

The 3 week cycle

DAY #	DAY OF WEEK	Broad Description	Visit #	Description of Activities
Day 1-3	Friday Saturday Sunday	Preparation activities	1	Identify all households in Workload Supervisor approves correct hholds identified Introduce survey to gain hhold co-operation Drop of and explain Household Diary # 1 Explain process of visits over next 2 weeks Complete front page of Household Envelope
Day 4-5	Monday Tuesday	Diary keeping period	2	Check on Diary Complete as much as possible Modules 1-4 Make an appointment for next visit
Day 6-7	Wednesday Thursday		3	Check on Diary Complete as much as possible Modules 1-4 Make an appointment for next visit
Day 8-9	Friday Saturday		4	Check on Diary Complete as much as possible Modules 1-4 Make an appointment for next visit Drop off Household Diary # 2
Day 10-11	Sunday Monday		5	Check on Diary Complete as much as possible Modules 1-4 Make an appointment for next visit
Day 12-13	Tuesday Wednesday		6	Check on Diary Complete as much as possible Modules 1-4 Make an appointment for next visit Make sure all Household Diary # 1 are collected
Day 14-15	Thursday Friday		7	Check on Diary Complete as much as possible Modules 1-4 Make an appointment for next visit
Day 16-17	Saturday Sunday		8	Check on Diary Complete as much as possible Modules 1-4 Make an appointment for next visit
Day 18-21	Monday Tuesday Wednesday Thursday	Checking activities	9	Collect Household Diary # 2 from each household Check all forms are accounted for Check all forms are filled in correctly Ensure all forms are returned to the BoS Thank household for cooperation Fill in back page of Envelope

Roles of Supervisors and Interviewers

The interviewer will be the main person responsible for collecting information from each of the households assigned to them each workload. The supervisor will be responsible for checking all forms as they are completed, assisting the interviewer amend any errors, and ensuring everything is returned to the state manager in a correct and timely manner. Supervisor checks must therefore take place in a very thorough manner throughout the entire collection period, **not** at the end of the 3 week cycle.

PART 5: CONCEPTS & DEFINITIONS

Numerous concepts and definitions will be adopted for the survey which all field staff should make an effort to understand. This will enable field staff to better understand their tasks and respond to queries as they occur during field work.

The main concepts and definitions addressed in the section are:

1) Household v Dwelling
2) Household Members
3) Household Expenditure
4) Household Income
5) Labour Force Status

5.1 Household v Dwelling

Often confusion is brought about when dealing with the definition of a household and dwelling. For the sake of this survey, and most surveys like it, the definitions applying to both are:

<u>Dwelling</u>
A dwelling usually refers to the physical structure in which a person/s resides. The type of structure may vary considerably, and includes the following:

a) Single structure unit
b) Block of apartment units
c) Small dwelling unit attached to a shop.

<u>Household</u>
A household refers more to a group of people, and not the physical structure the people live in. Generally speaking, for survey purposes, a household is a group of people who pool their money together and cook and eat together. Often a household is very similar to a family, but the people comprising a household don't have to be related.

<u>Treatment in the field</u>
Based on these definitions, you may have a dwelling being occupied by more than one household, if there are indeed two groups of people that cook and eat separately, living in the same dwelling. This is not too common, but care needs to be taken by field staff when visiting dwellings to determine if one or more households reside in that dwelling.

It can also be said that one household may be occupying two or more dwelling structures. A good example of that would be a "granny" flat in the back of a dwelling that houses one or more people, but all members of those two structures form the one household, and still cook and eat together.

> NB: For the 2013 FSM HIES, it is the household we wish to collect information from, so if a dwelling is selected which comprises of more than one household, all should be enumerated

5.2 Household Members

Household Head

The head of household is the person commonly regarded by the household members as their head. The head will often be the main income-earner and decision-maker for the household, but you should accept the decision of the household members as to who is their head. There must be one and only one head in the household. If more than one individual in a potential household claims headship or if individuals within a potential household give conflicting statements as to who is the head of household, it is possible that you are dealing with two or more households (or Multiple Households), rather than one. In such cases, it is extremely important that you apply the criteria provided to define household membership in the survey. If there is any confusion in defining the household head then immediately contact your supervisor to come up with a suitable solution.

Household Members for S1.1

Household members are listed in two separate parts of the survey:

1. S1.1: Those persons who are considered a member of the household at the point of the survey
2. S1.6: Those persons who were considered a member of the household in the last 12 months, but no longer are.

Defining the members of the household in S1.1 is a very important aspect of the survey. It is extremely important during the analysis phase of the survey, and as such, time should be taken to making sure the following criteria are followed:

Who to include:

- All persons currently living in this household as their main place of stay, who share common living arrangements from an economic perspective (share costs of living and share incomes to some degree)
- Persons who are temporarily away for business, work or illness, but meet criteria 1 in that this is their usual place of stay
- Students who are staying away from home for studies and are still reliant on this household for financial assistance, and plan to return to this household after studies, if:
    - They are staying overseas, regardless of accommodation type, or
    - They are staying in a school/college dormitory within country
- Persons staying in hospitals long term, but still plan to come back to the household, and still have a dependency on the household from which they come
- Persons who are overseas for lengthy periods of time for work in order to support the household, and expect to return to the household on completion of this work. Examples include:
    - Seafarers
    - Seasonal workers
- Persons who alternate between household on a regular basis, but spend most time at this household
- Visitors who are staying with the household for 6 months or more

Who to exclude

- Persons who spend most of their time living in another household
- People who have left the household with no intention of returning
- Students who are dependent on this household but away long term and staying with a host family elsewhere in FSM

Household Members for S1.6

As stated above, the second list of household members collected in S1.6 of module 1, covers those members of the household who used to be a member of the household in the last 12 months (based on the criteria above), but now no longer are, and have no intention of returning. Two typical examples include:

1) Members of the household who have died in the last 12 months
2) Members of the household who have moved elsewhere with no intention of returing

General rules for defining a household and it's members

Regarding both households and individuals within them, you should be very careful when dealing with this rather complex task of determining who should be included and who should not be included as a member of a surveyed household. You must carefully check the rules laid out here. The rules should enable you to handle the vast majority of household situations that you encounter, but they may not cover all.

If you are in doubt, initially, as to whether to include a household among the list of eligible households in an enumeration area, discuss the problem with your supervisor. Likewise, once the survey households have been selected for you to interview in an enumeration area, if you find that you remain unsure whether an individual should be included in a survey household, discuss the problem with your supervisor.

5.3 Household Income

There have been various international guidelines prepared to help in developing definitions of income and expenditure. The most authoritative international standard is the Resolution Concerning Household Income and Expenditure Statistics from the 17th International Conference of Labour Statisticians (ICLS). The broad concept of income is described as follows in the ICLS Resolution:

> *Household income consists of all receipts whether monetary or in kind (goods and services) that are received by the household or by individual members of the household at annual or more frequent intervals, but excludes windfall gains and other such irregular and typically one time receipts. Household income receipts are available for current consumption and do not reduce the net worth of the household through a reduction of its cash, the disposal of its other financial or non-financial assets or an increase in its liabilities.*
>
> *Household income may be defined to cover: (i) income from employment (both paid and self-employment); (ii) property income; (iii) income from the production of household services for own consumption; and (iv) current transfers received.*

This concept is consistent with the concept of income used in the national accounts.

An estimate of income that is as consistent as possible with the ICLS definition should be derived from HIES data. This measure should be used in tables that classify households by income deciles and the like.

Data relating to monetary receipts that are excluded from income can still be tabulated separately as data items of interest.

5.4 Household Expenditure

The ICLS Resolution provides the following concepts and basic definitions for expenditure:

> ***Consumer goods and services*** *are those used by a household to directly satisfy the personal needs and wants of its members.* ***Household consumption expenditure*** *is the value of consumer goods and services acquired, used or paid for by a household through direct monetary purchases, own-account production, barter or as income in-kind for the satisfaction of the needs and wants of its members.*
>
> *and*
>
> ***Household expenditure*** *is defined as the sum of household consumption expenditure and the* ***non-consumption expenditures*** *of the household. The latter are those expenditures incurred by a household as transfers made to government, non-profit institutions and other households, without acquiring any goods or services in return for the satisfaction of the needs of its members. Household expenditure represents the total outlay that a household has to make to satisfy its needs and meet its "legal" commitments.*

5.5 Labour Force Status

The FSM HIES will aim to determine the labour force status of each individual aged 15 and over. As per usual, the three categories of labour force status cover:

1) Employed
2) Unemployed
3) Not in the Labour Force (NILF)

The definitions for the FSM HIES for each of these three categories are:

<u>Employed</u>
Employed persons are those persons who in the last week worked in a job as one of the following groups:

1) Employer
2) Employee, working for wages/salary in the public sector
3) Employee, working for wages/salary in the private sector

4) Producing goods or services for sale, running a business (self employed)
5) Producing goods for own and/or family consumption (self employed)
6) Unpaid family worker (family business/plantation)
7) Unpaid family worker (help with basic household duties)
8) Voluntary work / community work (work for free)

Unemployed

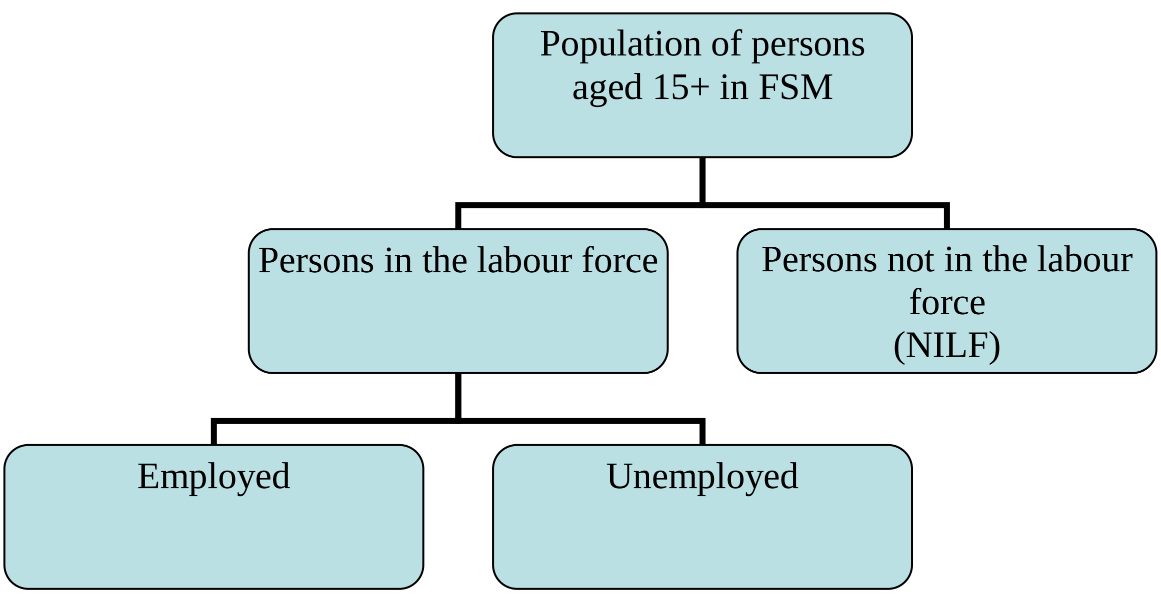
Unemployed persons are people who are not categorized as employed under the list above, and who are either:

a) Actively looking for work, and available to work
b) Not actively looking for work, because they don't believe it exists, and available to work

Not in the Labor Force (NILF)

Having defined employed and unemployed, the category of NILF is then all the remaining people not classified as employed or unemployed.

Another way to look at it is to group the employed and unemployed and classify them as the labor force population, as these are the people either working, or wanting to work. The diagram below shows how the population (15 and over) can be divided into each group



PART 6: MAIN SURVEY QUESTIONNAIRES

Part 6 of this manual provides information on the main survey questionnaires adopted for the survey and what broad information is collected in each. Detailed instructions about each of these questionnaires can be found in the questionnaire instruction manual. The main questionnaires adopted for the 2013/14 FSM HIES are:

1. Module 1 – Demographic Information, including Education, Health and Labor Force Status
2. Module 2 – Dwelling Information & Household Expenditure
3. Module 3 – Individual Expenditure
4. Module 4 – Income
5. Household Diary

6.1 Module 1 – Demographic Information

Module 1 has been divided into 6 sections covering the following:

1.1 Demographic profile
1.2 Labor force status
1.3 Educational status
1.4 Health status
1.5 Communication status
1.6 Household members who left the household

As suggested by the topics, the main focus of this module will be to collect person demographics (including labor force status).

This module should be conducted first as the information collected here can be used as a guide to determine if the right information is being collected in the remaining modules, in particular for the income data in module 4.

More information on how to fill in this module can be found in the Questionnaire Manual.

6.2 Module 2 – Household Expenditure

Module 2 is the largest of the modules and focuses on collecting housing characteristics and expenditures which are most appropriately collected at the household level. The module is split into 13 sections which cover the following:

2.1 Housing characteristics
2.2 Housing tenure expenditure
2.3 Utilities & communication
2.4 Land & home
2.5 Household good & assets
2.6 Vehicles & accessories

2.7 Private travel
2.8 Household services
2.9 Contributions to special occasions
2.10 Provision of financial support
2.11 Loans
2.12 Household assets insurance & taxes
2.13 Personal insurance

More information on how to fill in this module can be found in the Questionnaire Manual.

6.3 Module 3 – Individual Expenditure

Module 3 focuses on expenditures which are most appropriately collected at the individual level. The module is split into 4 sections which cover the following:

3.1 Education
3.2 Health
3.3 Clothing
3.4 Communication

The education section is covered by initially addressing expenditures relating to pell grants and scholarships, and then covering remaining education expenditures.

More information on how to fill in this module can be found in the Questionnaire Manual.

6.4 Module 4 – Income

Module 4 focuses on the household's income from all types of sources. The module is split into the following sections:

4.1 Wages and salary
4.2 Income from non-subsistence businesses
4.3 Agriculture & forestry activities
4.4 Handicraft & home processed food Activities
4.5 Livestock & aquaculture activities
4.6 Fishing & hunting activities
4.7 Property income, transfer income & other receipts
4.8 Remittances & other cash gifts

Each section is tackled differently, depending on the type of income. Wage and salary income is collected separately for each different job type, whilst business income is collected separately for each different business type. For the subsistence based income sources (agriculture, handicrafts, livestock & fishing), income is collected from the households as a whole, as is property and transfer income. And finally remittances are collected separately for each remittance type.

More information on how to fill in this module can be found in the Questionnaire Manual.

6.5 Household Diary

The household diary is to be filled in for a period of 2 weeks and include all expenditures from every member of the household during this time. Even expenditure information collected in the questionnaire modules should be included in the diary if the expenditure took place during the two week diary keeping period.

For each day, information is collected in five different sections which cover:

5.1 Bought items (food & non-food)
5.2 Payments for services
5.3 Gambling
5.4 Items received for free as a gift
5.5 Home produced items

For all sections, with the exception of gambling, an extra sheet is located at the back of the diary to record any overflow, when space is not sufficient for the day in question. These sheets are referred to as:

5.1a Bought items (overflow)
5.2a Payment for services (overflow)
5.4a Items received for free as a gift (overflow)
5.5a Home produced items (overflow)

5.1 Bought items (food & non-food)

The first section of the diary addresses expenditure on all items (food & non-food) purchased. All purchases for the day should therefore be recorded here, regardless of whether or not the item was consumed/used on that day. For each purchase nine bits of information is required which covers:

1) Description of item
2) Type (fresh, frozen, etc)
3) Code (to be entered post-enumeration)
4) Number
5) Quantity
6) Unit (lb, ounces, etc)
7) Amount
8) Local produced?
9) Purpose

Please make sure all information is recorded for each purchase

5.2 Payments for services

The second section of the diary addresses expenditure on services that a household member may have paid for. For each service payment four bits of information is required which covers:

1) Description of service
2) Code (to be entered post-enumeration)
3) Total amount
4) Purpose

Please make sure all information is recorded for each purchase

5.3 Gambling activities

The third section of the household diary covers gambling activities by the household members. All forms of gambling should be covered in this section, including poker machines, bingo, horse betting, cards, etc. For this section 3 bits of information is collected covering:

1) Type of gambling
2) Win/loss indicator
3) Amount won/lost

When filling out this section, please request that the household member provides a best guess as a result of their gambling activity, as they won't always know the result with great accuracy.

5.4 Items received for free

The fourth section of the diary addresses items the household receives for free as a gift. This section specifically refers to gifts that were received for free from someone outside the household. There will be 7 bits of information covered in this section which include:

1) Item description
2) Type (fresh, frozen, etc)
3) Code (to be entered post-enumeration)
4) Number
5) Quantity
6) Unit (lbs, ounces, etc)
7) Estimated amount

As the item was not purchased by the household only an estimate of the value is to be included in this section. If households are unsure, a best guess estimate will be sufficient.

Please make sure all information is recorded for each item received for free.

5.5 Home produced items

The last section of the diary addresses items which the household produced themselves. Only include home production which was used on this day. The main areas focused on in this section are:

a) Agriculture items the household produce

b) Fish/seafood the household catch/collect
c) Livestock the household raise
d) Handicrafts the household produce

There are four components to this section which split the way the household use the produce:

Section 1) What the household consumed out of their produce
Section 2) What the household sold out of their produce
Section 3) What the household gave away out of their produce
Section 4) What the household gave to livestock or wasted out of their produce

For each part six bits of information is required which covers:

1) Item description
2) Code (to be entered post-enumeration)
3) Number
4) Quantity
5) Unit (lbs, ounces, etc)
6) Estimated amount

As the item was not purchased by the household only an estimate of the value is to be included in this section. If households are unsure, a best guess estimate will be sufficient.

Please make sure all information is recorded for each item home produced by the household.

PART 7: OTHER SURVEY MATERIALS

The final section to this manual covers the remaining materials field staff will have with them when undertaking fieldwork. The section covers the following:

1. Household Envelope
2. Field Work Instruction Manual
3. Questionnaire Instruction Manual
4. Primary Approach Letter (PAL)

7.1 Household Envelope

The household envelope is used to store all the questionnaire material for a single household. The envelope also serves the purpose of storing information about the unique identification for the household (similar to the front cover of each module) which is contained at the top of the front page of the envelope, and details about how the household responded to the survey at the bottom of the front page of the envelope.

Section 1 – Household Identifications

As can be seen below, the key information to be entered on the front cover of the envelope is the Household ID information on the right hand side, and the ticking off of each individual form when it is completed on the left hand side. Completing this information will make it very easy for supervisors to monitor the progress of fieldwork throughout the course of the 3-week cycle each round.

Household Identifications

Interviewer to complete

Please tick the form when completed and fill in the date

Module 1	☐	…… / …… / ………
Module 2	☐	…… / …… / ………
Module 3	☐	…… / …… / ………
Module 4	☐	…… / …… / ………
Diary - Wk 1	☐	…… / …… / ………
Diary - Wk 2	☐	…… / …… / ………

State	☐
EA	☐☐☐
Mapspot Number	☐☐☐
Household No.	☐☐
Round	☐☐

Section 2 – Final Household Status Report

Once all material is completed for a household, the bottom 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 last part of this section 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.

Final Household Status Report

Interviewer to complete

a) Household fully responded to all aspects of the survey ... ……………………………… ☐
b) Household partially responded ……………………………………………………… ☐

	Fully completed	Partially completed	Not completed
Module 1	☐	☐	☐
Module 2	☐	☐	☐
Module 3	☐	☐	☐
Module 4	☐	☐	☐
Diary – Wk1	☐	☐	☐
Diary – Wk2	☐	☐	☐

c) Household did not respond ………………………………………………………….. ☐

i) Household out of scope of survey ☐
ii) House not being lived in ☐
iii) Could not contact household after 3 attempts ☐
iv) Household excluded for other reasons (eg. Death, refusal, etc) ☐

Specify _

Supervisor to complete

Checked Module 1 ☐

Checked Module 2 ☐

Checked Module 3 ☐ Signed: _

Checked Module 4 ☐

Checked Diary ☐ Date: ___ ___ / ___ ___ /___ ___ ___ ___

7.2 Field Work Instruction Manual

You are currently reading the Field Work Instruction Manual !!!!!!

Each member of the field team will be provided with a copy of the field work instruction manual to help guide them through the field work. As can be seen from the various sections in this manual the information covers:

Part 1: Background Information to the Survey
Part 2: Survey Teams and Responsibilities
Part 3: Sample Design Issues
Part 4: Survey Timing
Part 5: Concepts and Definitions
Part 6: Main Survey Questionnaires
Part 7: Other Survey Materials

It is crucial every member of the field team read and understand every section of this manual so they understand their responsibilities.

7.3 Questionnaire Instruction Manuals

For the FSM HIES a separate instruction manual will be produced for each of the modules as well as the diary. The questionnaire instruction manuals will provide the main information to field staff on how each of the four modules and the household diary should be filled in. These manuals will initially provide general information on how the modules should be filled in addressing issues such as sequence guides, item codes, recall periods, etc. This will be followed by detailed descriptions on how to respond to each question within each module, including the diary.

Example showing how to fill in certain sections will also be included in the manuals, but as expected, not all possible responses will be addressed. When situations arise that these manuals do not appropriately address how to deal with a situation then the supervisor and/or State Manager should be consulted.

7.4 Primary Approach Letter (PAL)

The primary approach letter (or PAL for short) is very useful in assisting interviewers with introducing households to the survey. It is basically a letter written and signed by the Director of Statistics, to each household head selected in the survey, which covers the following crucial information:

1) What the survey objectives are
2) The confidential nature of survey information
3) The importance of full cooperation by selected household
4) A “Thankyou” for participation

Interviewers will be required to leave this letter with each household head so they are aware of the survey objectives and the importance of their participation.