

## **APPENDIX 2.**

### **II ECCTS Fieldwork Manual**



# **Second Central American Survey of Working Conditions and Health (II ECCTS)**

## **FIELD WORK MANUAL**

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## **A. INTRODUCTION**

The main objective of the Second Central American Survey of Working Conditions and Health (II ECCTS by its Spanish acronym of the *Segunda Encuesta Centroamericana de Condiciones de Trabajo y Salud*) is to provide reliable information on working, employment, and health conditions, based on a representative sample of people working in the Region. The data collected by the II ECCTS should be useful for Governments and Organizations of workers and employers to adopt policies that improve these conditions, and consequently, the health of the people who work. This way, the ECCTS can provide useful information for occupational health research, the results of which would also help to improve occupational safety and health policies.

These objectives are possible if, and only if, II ECCTS is based on high-quality data collection and processing. That is to say, once the questionnaire has been designed by the research team of the II ECCTS, the fieldwork under the responsibility of the survey vendor must be carried out with the highest quality.

### **A.1. Aims of Fieldwork Manual**

This Manual aims to define the essential criteria and procedures that must be followed by those responsible and the personnel involved, both in the fieldwork and in the treatment of the data collected. This Manual is based on the experience of the I ECCTS conducted in 2011 as well as on the pilot testing of the II ECCTS held in Honduras in August 2016. In addition, the Technical Report of the 6<sup>th</sup> European Working Conditions Survey serves as a reference for the current manual.<sup>1</sup>

The Manual aims to make transparent the different steps to be taken both before and during the fieldwork. The intention is to reduce biases, particularly selection bias (i.e., all the eligible people must have a similar probability of being chosen) and information bias (i.e., the collected data accurately reflects what was intended to be measured). Precisely, this manual aims to:

Define the procedure of selection of the sampling units, from the highest (i.e., census segment) to the lowest (i.e., person).

Establish the quality control procedures to be followed before and during the fieldwork data

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<sup>1</sup> *6th European Working Conditions Survey Technical report*. Prepared by Ipsos for Eurofound, 2016. Available at: [https://www.eurofound.europa.eu/sites/default/files/ef\\_survey/field\\_ef\\_documents/6th\\_ewcs\\_-\\_technical\\_report.pdf](https://www.eurofound.europa.eu/sites/default/files/ef_survey/field_ef_documents/6th_ewcs_-_technical_report.pdf) [accessed 05-31-2017].

collection time.

Lay the basis for the surveyor's team training (i.e., supervisors and interviewers) in both the data collection and quality control phases of the study.

## **B. PROJECT ORGANIZATION**

The organizational chart approved in the Project Document for this Cooperative Agreement will be followed (Figure 1). The grey shaded boxes are those most relevant to this quantitative study, whereas the white shaded boxes correspond to other parts of the Cooperative Agreement. For this project, we are collaborating with **SALTRA** (“Programa Salud, Trabajo y Ambiente en América Central”, or Program on Health, Work and Environment in Central America), our long-time partner in Central America, with whom we have been working for more than two decades on work and health issues in the Region. SALTRA is a network of seven universities with representation throughout Central America. Its aim is to develop national and regional capacities in Central America for the prevention of environmental and occupational hazards, particularly in the informal (i.e., undocumented), agriculture and construction sectors, within the perspectives of public health and sustainable production, with an ultimate goal of preventing and reducing poverty in the region. SALTRA is headquartered in Heredia, Costa Rica at the **Universidad Nacional (UNA)**.

**David Gimeno, PhD**, Principal Investigator, will be responsible for the project's overall direction and will ensure the successful completion of all project deliverables, including the quantitative study. He will also be responsible for supervising the data analysis and for the reporting activities of the Cooperative Agreement, which are housed at UTSPH. Additionally, Dr. Gimeno will serve as the **Executive Director of the project**, ensuring the fieldwork is carried out according to the criteria and strategy described in the Fieldwork Manual (the current document).

**George L. Delclos, MD, PhD**, the main UTSPH co-Investigator, will work together with Drs. Gimeno and Rojas, to oversee the logistics and application of the survey.

**Marianela Rojas, PhD**, is the SALTRA coordinator, and a faculty member at the UNA in Costa Rica. Dr. Rojas is also the Principal Investigator of our subcontract with UNA, and will work directly with the survey vendor in the training of the field team and implementation of the fieldwork.

**Erika Figueroa, MPH.**, and UTSPH doctoral student, is the Project Coordinator, and is in

charge of keeping all aspects of the project on track. Ms. Figueroa is bilingual, allowing her to interface with our international collaborators, and has experience coordinating other projects at UTSPH.

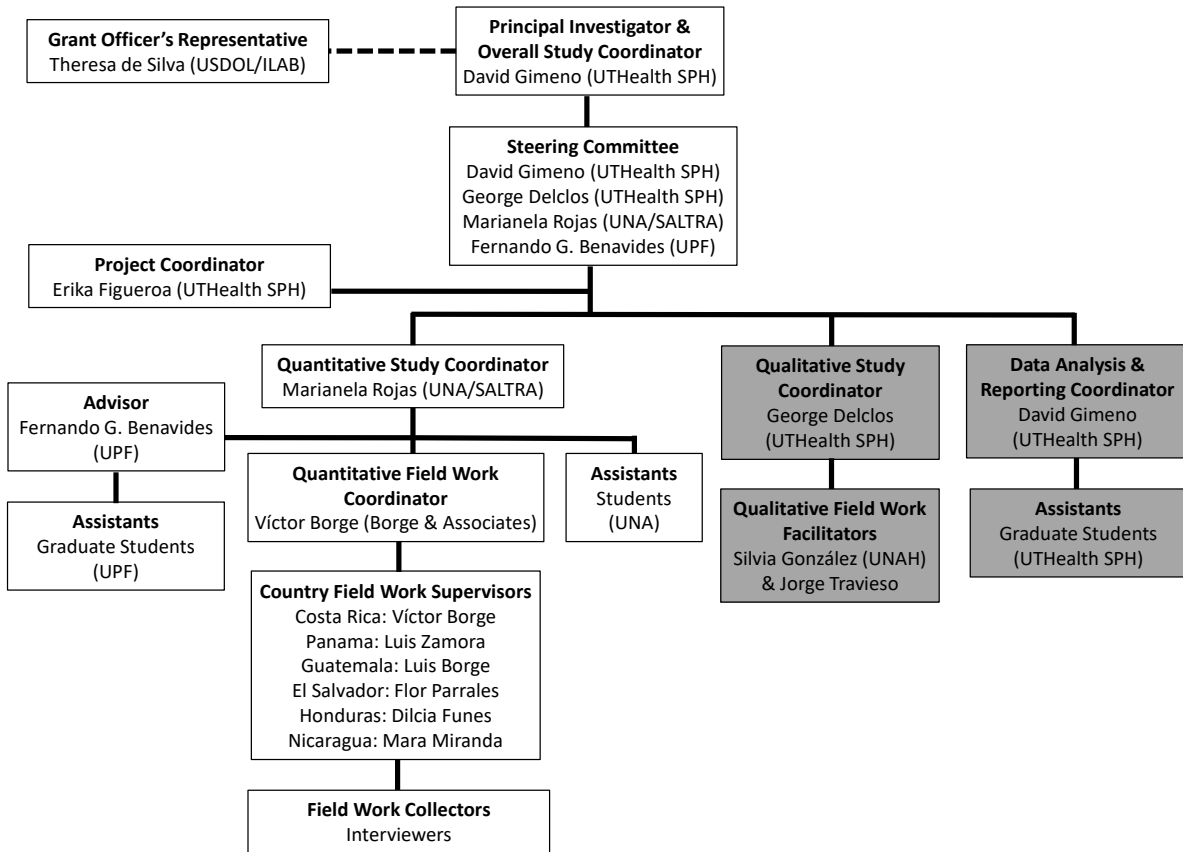
**Fernando G. Benavides, MD, PhD**, Director of the Center for Occupational Health Research (CiSAL by its Spanish acronym) at Universitat Pompeu Fabra (UPF) in Barcelona, Spain, is an internationally recognized expert in national working conditions and health surveys, and one of the leaders in the CESLAC in Latin America. He will serve on the Steering Committee as an advisor, suggest ways to improve the survey questionnaire, advise on the development of the survey training and field manuals, the interpretation of results, and he will also collaborate on the preparation of papers. A Memorandum of Understanding between UHealth and UPF promoting research collaboration enables his participation.

**Borge and Associates (B&A)** ([www.borgeyasociados.com](http://www.borgeyasociados.com)), also known as JAV Estudios para el Desarrollo, S.A., is an international survey firm headquartered in Costa Rica, with offices throughout Central America. B&A will conduct the fieldwork. We have a history of collaborative work with B&A, dating back to the 2011 I ECCTS and the recent August 2016 field testing of the survey instrument. B&A will be responsible for the training of the field teams, collecting and collating the surveys, including data entry/quality assessment, provision of field briefing reports, and preparation of codebooks and initial data files for subsequent analysis. B&A will provide properly trained **coders** in the use of the standard classification systems to codify the self-reported responses about occupation and economic activity (i.e., industry). Occupation will be coded according to the International Standard Industrial Classification of All Economic Activities (NACE), which is equivalent to the North American Industry Classification System (NAICS). Moreover, industry will be coded according to the International Standard Classification of Occupations (ISCO), equivalent to the U.S. Standard Occupational Classification (SOC) System.

Further, B&A has Country Fieldwork Supervisors (aka, field manager) in each of the six ECCTS countries, each of whom oversees the team of Fieldwork Collectors (Figure 1), which includes the Field Supervisors, who supervise the field operation, accompany, and act as the ground monitors, and the Field Interviewers, who actually conduct the survey interviews. The Field Interviewer reports to the Field Supervisor. The Field Supervisor reports to the Country Fieldwork Supervisor who, in turn, reports to B&A and is the designated contact for both the project Executive Director and the SALTRA coordinator on the fieldwork day-to-day activities.

Drs. Gimeno, Delclos, Rojas, and Benavides make up the **Project Steering Committee**, with representation from subcontract awardees and consultants, which will help guide the successful conduct of the quantitative study. This Steering Committee will help solve design and logistics issues that may arise before, during and after the fieldwork. Below this organizational chart level is the Quantitative study and a central data analysis/reporting core, housed at UTSPH.

**Figure 1.** Cooperative Agreement Organizational Chart.



*Note: USDOL/ILAB = U.S. Department of Labor Bureau of International Labor Affairs; UTHealth SPH = The University of Texas Health Science Center at Houston School of Public Health; UNA = Universidad Nacional, Costa Rica; SALTRA = Health, Work and Environment in Central America; UPF = Universitat Pompeu Fabra; UNAH = Universidad Nacional Autónoma de Honduras.*

## C. ETHICS CONSIDERATION

See Section B.8. Professional ethics of the interviewer of the Fieldwork Collector Training Manual (Appendix D of the Survey Methods document).

## D. TARGET POPULATION

The target population of the II ECCTS consists of all people living in some of the Spanish-

speaking countries in Central America who occupy a household (non-institutionalized: nursing home, chronic hospital, prison, etc.).

#### **D.1. Inclusion and exclusion criteria**

To be eligible for participation, the person must be 18 years of age or older and have worked for at least one hour during the past week. The job they performed had to be paid work, which refers to work performed for profit or family gain, in cash or in kind.

The II ECCTS will not sample non-forced labor (e.g., unpaid family members, apprentices, and trainees unpaid). Also excluded from the II ECCTS is forced labor (i.e., work or services provided by people who are coerced to work against their will), including forced child labor.

### **E. SAMPLING STRATEGY AND RECRUITMENT**

The sampling scheme for the II ECCTS follows a multi-stage strategy, from the census segment to the person selected at home.

#### **E.1. Census segment**

The census segment is the **Primary Sampling Unit (PSU)**, defined in each of the II ECCTS countries by its respective Agency of Statistics and Censuses. For each country, aggregate census information by sex and age will be available for the population as a whole and up to the lowest possible level of territorial division (e.g., provinces in Costa Rica and Panama; Departments in Nicaragua, El Salvador, Honduras, and Guatemala) according to the latest Census available.

Before starting the fieldwork in each country, 125 PSUs will be randomly selected among all the census segments stratified by size and rural vs. urban categorization. At least 10 additional PSUs will be selected to be used as replacement PSUs when needed. Said replacements will be required under circumstances such as impossibility of access to a PSU due to natural disasters (e.g., flooded areas, fallen bridges, impassable roads, blocked roads, etc.) or safety concerns in the initially selected PSU (i.e., the area is classified as an unsafe area which may put the safety of the interviewers at risk). Furthermore, if the target number of interviews is not completed with an initially selected PSU, one of the additional PSU will be used to complete the target number of interviews for that initial PSU. Replacement PSUs will be from the same territorial division as the originally selected PSU, a territory that is similar in size has the same rural/urban categorization.



To avoid clustering the interviews in a few segments, the maximum target number of interviews by segment ( $n=125$ ) will be set at 12 to complete the corresponding 1,500 interviews set for each country (i.e.,  $125 \times 12 = 1500$ ). B&A will inform the Steering Committee about the initial selection of PSUs, the possible replacement or addition of extra PSUs, and the routes and the work plan in each PSU. When the Steering Committee is not fully available (e.g., too short notice for calling a meeting of all parts), B&A will, at minimum, discuss the decisions related to PSU substitution and the ground incidents that may need a faster resolution with the SALTRA Coordinator, aka, the Quantitative Study Coordinator.

## E.2. Quadrant

For each selected PSU, B&A will create a map via Google Maps®, a freely accessible, accurate, and up-to-date online cartographic service. This service is superior to most countries' officially available maps as they are not as frequently updated as Google Maps®. Each map will be divided into 16 quadrants, numbered from 1 to 16 as shown in Figure 2, ensuring that the

map clearly marks the north point. One quadrant will be randomly selected for conducting the interviews. The Fieldwork Collectors team will start their route to recruit participants from the northernmost point of each selected quadrant to complete the 12 interviews for this PSU. If the selected quadrant is mostly comprised of an area without households (e.g., quadrants 1 or 4 in Figure 2), another quadrant will

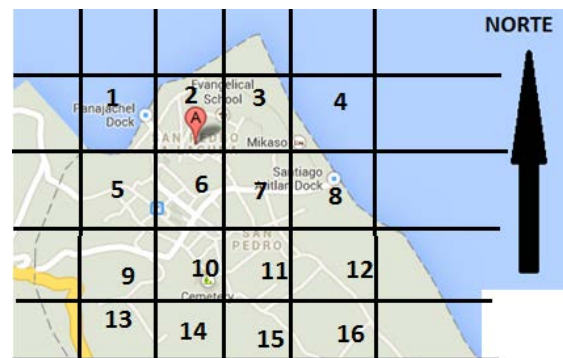


Figure 2. Example of map divided in quadrants.

be randomly selected. Furthermore, if 12 interviews could not be completed in the selected quadrant, the Fieldwork Collector team will move to the adjacent quadrant following a clockwise pattern starting at 12 o'clock. For instance, if the initial quadrant from Figure 2 was quadrant 10, the first contiguous one would be 6, followed by quadrants 7, 11, 15, 14, 13, 9 and, last, quadrant 5.

## E.3. Dwelling block

Within each quadrant, the Fieldwork Collector team starts the recruitment process following a determined contact pattern to select the first dwelling block. A dwelling block is a structure habitat

occupied by one or more households. Business premises such as shops, bars, restaurants, offices, etc., buildings under construction, unoccupied or abandoned or an empty lot, or a space without buildings will not be considered a block for purposes of the ECCTS. The fieldwork of the II ECCTS will be carried out every day of the week, including Saturdays and Sundays, and between 8 a.m. and 6 p.m.

In Central America, it is still common to find single dwelling blocks in the form of a single-family fully or semi-detached home, each of them being considered a dwelling block for the purposes of the ECCTS. However, other types of dwelling structures such as building apartments or condominiums have begun to proliferate and, for these cases, each floor (or height) will be a block for the purposes of the ECCTS.

Unfortunately, due to security concerns, many apartment buildings and condominiums are not freely accessible by non-members without access permits granted by the corresponding board. Thus, once a quadrant from the selected PSU has been identified, the Field Supervisor will visit the area in advance to determine potential apartment building and condominiums where permit applications may be required. The Country Fieldwork Supervisor will submit the request on behalf of the study team. If access to a dwelling block cannot be obtained with enough time to plan the on-the-ground deployment of the Fieldwork Collector team, this block will be replaced by the next one following the previously mentioned clockwise pattern.

When a block is selected, the Fieldwork Collector team will begin contacting the inhabitants of the dwelling. That is to say, the team will knock at the door or ring the bell, as appropriate. If nobody answers, but the dwelling appears inhabited (e.g., due to its external appearance or because a neighbor informs the team), the team will return a maximum of two times on the same day, with a difference of at least 1 or 2 hours between visits. If the team fails to establish communication with a resident of the selected dwelling, the dwelling will be considered ineligible and the team will move to the next dwelling block following the pattern described in the next section.

After a successfully completed interview in a block, the Fieldwork Collector will move two doors away from the dwelling block of the recently completed interview, and knock on the third door. However, if no interview has been completed, the Fieldwork Collector will try to establish communication with the block (or door) to the right of the initially selected block (or door) and, if this proves unsuccessful, the Fieldwork Collector will move to the next block (or door) to the left of the initially selected block (or door). The Fieldwork Collector will make up to four attempts to,

accordingly, the right (or left) of the initially selected block (or door). If these attempts are unsuccessful, the Fieldwork Collector Team will move to another quadrant (see Section E.2. Quadrant) until the 12 interviews assigned to the PSU are completed.

#### **E.4. Household**

Once communication with somebody at a selected dwelling has been established, and after greeting the person who answered the call (e.g., opens the door, answers via an intercom system), the Fieldwork Collector team must determine the number of households in the dwelling. A household is defined as the people in a family living together in a block. More than one household may cohabitate in a single dwelling block. Only one household per dwelling block will be selected.

The Fieldwork Collector team will start by asking the person who answered to talk to an adult who currently resides in the block. Domestic workers or visitors in the household at the time of contact will not be considered eligible. Once contact with an adult who lives in the block has been established, s/he will be asked about the number of households in the block. This information will be recorded by the interviewer, and her/his household will be the one selected.

If the person who answered the call from the Fieldwork Collector team does not reside in the dwelling (e.g. a domestic worker or a visitor), and no current adult resident is available at the time, the team will return a maximum of two times on the same day, with a difference of at least 1 or 2 hours between visits. If the team fails to establish communication with a household resident, the whole household will be considered ineligible and the team will move to the next household.

#### **E.5. Person**

Once contact with an adult person who resides in the block has been established, the team should determine the eligibility of each member of the selected household according to the criteria described in Section D, above. The interviewer will start by formally introducing her/himself and reading the study's description of the study from the information sheet (see Annex 1), which will be given to each potential interviewee. Among all the eligible household members available at the time of the interview, the person with the most recent birthday will be selected to be the survey participant. The following alternatives are possible:

The person who answered the Fieldwork Collector team resides in the block but is not eligible. Thus, the team will return a maximum of two times on the same day, with a difference of at least

1 or 2 hours between visits to find an adult eligible from the initial household.

When more than one household inhabit the block and the first household was deemed ineligible, the Fieldwork Collector team will repeat the procedure described above with another household within the same block (i.e., up to three visits: one initial and two follow-up visits).

When the team cannot find any eligible person, the entire dwelling block will be considered ineligible and the team will move to the next block.

The selected person is not available at the time. The team will return to the household following the same strategy depicted in the selection of dwelling blocks. If further attempts (i.e., up to two more times) to conduct the interview are unsuccessful, the person will be classified as non-participant. The team will move to the next block.

The selected person is available but declines participation at the time. The interviewer will offer to re-contact the person at a more convenient time within the timeframe that the Fieldwork Collectors are in the area. If this proves unfeasible (i.e., declining to participate at any time for whatever reason), the household will be considered as non-participant and the team will move to the next block.

When the selected person is available and agrees to participate in the survey, the Fieldwork Collector will proceed to administer the questionnaire. Appendix D. Fieldwork Collector Training Manual describes the steps involved in conducting the interview, along with some tips for excellent interviews. When the interview is completed, the interviewer will move to the next block. If the interview is interrupted, the Fieldwork Collector will try to schedule a time within the same day to return to the household to complete the interview. If this proves to be unfeasible, the interview will be classified as incomplete and the Fieldwork Collector will move to the next block. The process described above will be repeated until the 12 interviews per PSU are completed.

## **F. DATA MANAGEMENT AND QUALITY CONTROL**

The tasks and activities described in this section are designed to ensure a high degree of quality in the performance during the fieldwork. Quality control activities take from the preparation stages of the fieldwork until the delivery of the final and clean database to the research team.

### **F.1. Before the fieldwork starts**

The crucial factor of this phase is to have a sound fieldwork manual providing the key

methodological criteria to, first and foremost, make transparent the different steps to be taken both before and during the fieldwork and allow reproducibility of the methods followed to obtain the survey data. Further, the manual must have been agreed upon by all parts and include, at least, the following key components: the aims of the manual, a description of the project organization and the roles of each part, a definition of the target population and a description of the sampling strategy and recruitment of the participants in the survey. Said manual is provided in Appendix C.

## **F.2. During the fieldwork**

In this phase, most of the tasks are the responsibility of the Fieldwork Collector team, whose quality control tasks consist of two parts:

### ***F.2.a. Quality Control on the Ground***

As part of the Fieldwork Collector team, the Field Supervisor accompanies all interviewers to the selected PSU every day during the fieldwork. During this time, the Field Supervisor can help resolve questions or clarify procedures about which an interviewer may have doubts. At a minimum, the Field Supervisor should be paying attention that these aspects of the established procedures are being followed:

- Selection of dwelling, household, and interviewee
- Introduction to the interviewer and handing out of the Information Sheet
- Completing the roadmap table (see section F.2.a.1., below) as well the event logs (see section F.2.a.2., below)
- Conducting the interview

#### ***F.2.a.1. II ECCTS Fieldwork Roadmap Log***

The Fieldwork Roadmap Log, aka., roadmap table (see Annex 2 for blank template of the roadmap log), is completed for each census segment by the Field Supervisor. This log details the characteristics of the locations where the 12 interviews were carried out in each PSU and the interviewer's name. To prevent the interviewer's bias throughout the fieldwork, the same interviewer will be limited regarding the maximum number of interviews that she or he can complete. This number will be agreed upon between the vendor and the Steering Committee.

### F.2.a.2. II ECCTS Fieldwork Event Log

In order to record the incidents related to the selection process before conducting an effective interview, an incident control sheet will be used. This sheet has been designed according to international standards and adapted to the characteristics of the II ECCTS (see Annex 3). This form, which we refer to as the Fieldwork Event Log, allows us to verify the quality of the sample at the field level. Its purpose is to categorize and collect what happens with each interviewer's attempts to contact a qualified respondent. The Fieldwork Event Log is completed by the interviewer, in digital or paper format, and used to record any incidents that transpired during the field day. In case of revisits, the final result of the last visit will be recorded.

The Fieldwork Collector team should remember that this form is an integral part of the questionnaire. Without it and its correct completion, the survey may be canceled. In the Fieldwork Event Log, each column identifies a dwelling that must be categorized using one of the codes shown in the cells.

The Field Supervisor should review all Fieldwork Event Logs ideally at the end of each day but no later than at the end of each week. An incident event will be classified as or recurring. Recurring incidents will be discussed with the Country Fieldwork Manager and the Steering Committee members to see if corrective or alternate measures can be implemented.

### ***F.2.b. Post-Interview Quality Control***

During the fieldwork, and on a weekly basis, the Field Supervisor will do the following:

Select a 10% random sample of respondents who included a contact telephone number (see section at the end of the II ECCTS questionnaire (Appendix A):

Call the interviewer to check the reliability of the responses and introduce her/himself following this script:

*Good morning / good afternoon, my name is [NAME OF THE CALLER], and I work for Borge and Asociados on behalf of [NAME OF THE PARTNER LOCAL UNIVERSITY COLLABORATING IN THE II ECCTS]. Could I please speak with [NAME OF THE PARTICIPANT]? A few days ago, you were so kind as to answer a survey on the working conditions of people who work. The survey took place in your home and it was our interviewer [NAME OF THE INTERVIEWER] who did the interview. As mentioned by [NAME OF THE INTERVIEWER], we are calling you to confirm that the interview was performed. If you agree, very quickly, I would like to revisit with you a few responses to some of the questions you were asked.*

When the introduction is complete, the Fieldwork Supervisor will check with the respondents their answers to the following questions: the place of residence where the interview was conducted, the sex of the person interviewed, and the type of work he or she did when the interview was completed.

If many of the responses are different from those recorded, it will be necessary to repeat the interview and the Fieldwork Supervisor will attempt to schedule the re-visit during this call. If a re-visit is not feasible (e.g., the interviewee refuses), the questionnaire will be canceled.

If several of these canceled questionnaires are linked to a specific interviewer, then corrective measures will be discussed, and he/she will be re-trained. In there are repeated errors and/or any of them have an egregious nature, actions can be taken. These actions may even include the termination of the interviewer.

If a selected interviewee is not reached (e.g., not available during the call, nobody answers the call), another respondent with contact info will be selected until 10% of the sample has been successfully contacted.

On a weekly basis, perform additional data quality control by:

Crossing variables to detect impossible or out of range values (e.g., age, hours worked per week) or a large number of N/A or “Don’t want to respond” answers. All of these would be an indicator of the performance quality of the interviewer. Corrective measures will be discussed, and he/she will be re-trained. In the case of large numbers of errors, actions may include up to termination of the interviewer.

Check the start and end times both by the interviewer’s reported times and by the time automatically recorded by electronic devices. Very short or very long interviews, as compared to the average duration of all the interviews and also the expected duration based on the initial testing of the questionnaire, should prompt the Fieldwork Supervisor to confer with the interviewer about the circumstances leading to those shorter or longer interviews.

Similarly, interview times between questions via the automatically recorded times by the electronic device will be checked. Very short or very long inter-questions times, as compared to an overall average time, should lead to a review of those specific questionnaires, to see whether errors or incongruent answers are frequent.

If several of these unreliable questionnaires are linked to a specific interviewer, then corrective measures will be discussed, and he/she will be re-trained. In the case of large numbers of errors,

actions may include up to termination of the interviewer.

Examine the efficiency of the weekly fieldwork, and then cumulatively, by calculating standard indicators (e.g., response rate, cooperation rate, rejection/refusal rate, contact rate) as defined by the American Association for Public Opinion Research, the institution of reference on survey indicators<sup>2</sup>:

### **F.3. After the fieldwork is completed**

Responses will be entered in the field into hand-held computerized devices. This allows for the instant capture of data. The data will be transmitted daily to a secure database repository, with backup copies stored in a separate secure location. If a paper-based questionnaire is to be used, then data will be entered by personnel at the Country Fieldwork Supervisor's offices. Data files will be then submitted to the UTSPH team by the vendor in Microsoft Excel or similar format and adapted for use with standard statistical packages for the analyses. A coding manual will be prepared to guide data entry and variables coding. This manual and final data files will be prepared as a deliverable to USDOL in Year 3 of the Cooperative Agreement period.

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<sup>2</sup> American Association for Public Opinion Research (AAPOR). *Standard Definitions: Final disposition of case codes and outcomes rates for Surveys*. Available at: [www.aapor.org/Standards-Ethics/Standard-Definitions-\(1\).aspx](http://www.aapor.org/Standards-Ethics/Standard-Definitions-(1).aspx) [accessed 05-31-2017].



**ANNEX 1.**  
**II ECCTS Fieldwork Initial Information Sheet**

(CITY AND COUNTRY, DAY, MONTH, YEAR)

Dear Sir or Madam,

My name is \_\_\_\_\_ and I am a pollster with Borge y Asociados.

You have been chosen at random to participate in the Second Central American Survey on Working Conditions and Health, which is run by the (CORRESPONDING UNIVERSITY IN THE COUNTRY). I come on behalf of the polling firm Borge & Asociados. The interview will last approximately 30 minutes.

The main goal of the Surveys Working Conditions and Health (ECTS), which are held in many countries around the world, is to provide reliable information on the working conditions and the health of people working so that governments and organizations of workers and employers may adopt policies to improve those conditions, and consequently the health of working people. Also, the ECTS provides information useful for research in occupational health.

Your participation in the study is voluntary, and we will never share your individual opinion. You can leave questions unanswered or terminate the interview at any time you wish. All the answers you provide are valid and will be completely confidential and anonymous. You will not be paid for their participation, but it will not have any cost for you either.

If you have questions about the study, please contact Borge & Asociados at (PHONE) with (NAME OF HEAD OF COUNTRY) or email info@borgeya.com. We will leave this letter with you, in case you want to review it.

If you agree to participate we can start now.

**ANNEX 2.**  
**II ECCTS Fieldwork Roadmap Log**

<b>No. PSU:</b>	<b>No. Quadrant:</b>	<b>Interviewer Identifier:</b>	
<b>Department:</b>		<b>Municipality:</b>	<b>District/Town:</b>
<b>Date (dd/mm/yy):</b>			
<b>No.</b>	<b>Address of Dwelling:</b>	<b>Hour/Minutes:</b>	<b>Output *:</b>
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
...			
<b>Additional Supervisor's comments:</b>			

\* The results can be **VD**: unoccupied housing, **NE**: occupied housing but no one is eligible; **R**: housing occupied with eligible persons but refuses to cooperate; **I**: interview started but interrupted; **S**: interview completed successfully; **O**: other reasons not specified in the previous ones.

**ANNEX 3.**  
**II ECCTS Fieldwork Event Log**

(1) Date (Day/Month/Year):		(2) Interviewer Name:	
(3) Dwelling number:		(4) Interview Number:	
(5)	(6) Outcome of the attempt	(7) Dwelling code	(8) Revisits (Date and Time of revisit)
DWELLING	Unoccupied house		
	No one in the house		
	Did not open the door to the house		
	Condominium / gated neighborhood / apartment building that does not give permission		
	Sale of drugs / housing with danger signs		
NOT ELIGIBLE	Mute, mentally ill, drunk, aggressive, etc.		
	Only domestic employee or present visitor		
	Does not speak the language of the survey		
	No respondent who matched the age sought ( $\geq 18$ years) or who worked at least 1 hour the previous week		
	No adults at home		
REJECTED	No one at home wanted to be interviewed		
	Respondent rejected permanently		
	Respondent present declined but informed that another household member may be interviewed at another time		
RESPONDENT	Respondent fit not present in the home at the time of the first visit		
	Adequate Respondent not present at home at the time of the second visit		
	Adequate respondent not present at home at the time of the third visit		
	Respondent fit to start interview		
	Partial or interrupted interview		
INTERVIEWER: Enter in this box any comments on other types of incidents			

**APPENDIX 3.**  
**II ECCTS Fieldwork Collector Training Manual**



# **Second Central American Survey of Working Conditions and Health (II ECCTS)**

## **FIELD WORK COLLECTOR TRAINING MANUAL**

**(For use in conjunction with the II ECCTS Fieldwork Manual)**

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## **Acknowledgment**

Some parts of this manual have been adapted from the publicly available European Foundation for the Improvement of Living and Working Conditions (EUROFOUND), European Working Conditions Surveys Interviewer Manual, available at <https://www.eurofound.europa.eu/surveys/ewcs/2005/interviewermaterial>

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## **THE SECOND CENTRAL AMERICAN SURVEY OF WORKING CONDITIONS AND HEALTH (II ECCTS)**

### **A.1. Overview**

The Segunda Encuesta Centroamericana sobre Condiciones de Trabajo y Salud (II ECCTS; English translation: The Second Central American Survey of Working Conditions and Health) seeks to provide reliable information on working, employment, and health conditions. This information should be useful to researchers, governments, employers, and worker organizations with the ultimate goal of developing, implementing, and evaluating policies that improve these conditions, and consequently, the health of the people who work.

This Training Manual is designed to help guide the training of field supervisors, field interviewers and research team members on all aspects of the fieldwork portion of the II ECCTS. It is designed to supplement the II ECCTS Field Manual, which describes in detail the essential criteria and procedures that must be followed by the field teams. It does not include the statistical analysis or results reporting components of the II ECCTS, nor does it necessarily duplicate the material contained in the II ECCTS Field Manual.

The Training Manual is based on the experience of the European Working Conditions Survey Interviewer Manual, as well as experience we gained from conducting both the I ECCTS in 2011 and the pilot study of the II ECCTS in 1996 in Honduras. This work is partially funded with joint support from the Bureau of International Labor Affairs (ILAB) and the Chief Evaluation Office (CEO) at the U.S. Department of Labor (USDOL).

### **A.2. Aims**

The aim of the II ECCTS is to quantitatively identify the levels of prevalence and the nature of working conditions, health, labor rights (including non-discrimination) and social protection benefits, work-related and gender-based violence in Central America based on a representative sample of people working in the six Spanish-speaking countries of Central America (Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, and Panama).

### **A.3. Some key definitions**

Below, you will find the key operational definitions, and abbreviations where applicable, related to the survey fieldwork:

**Census segment:** a geographic region defined for taking a census. This unit may vary from country to country, and sometimes, from census year to census year. In this project, we will be using the definitions from each Central American country's most recent census edition.

**Central America:** for the purpose of this Survey, we are referring to the six Spanish-speaking countries of Central America (Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, and Panama). The English-speaking country of Belize is not included.

**CEO:** Chief Evaluation Office, U.S. Department of Labor.

**Country Fieldwork Supervisor:** aka, Fieldwork Manager, is the lead Borge & Associates representative in a country. He/she is responsible for coordinating the work of all surveys conducted in that country. Most of this work will be performed in an office setting. He/she reports to Borge & Associates headquarters in Costa Rica and is employed by Borge & Associates.

**Dwelling block:** A structure habitat occupied by one or more households. Dwelling blocks can be found in the form of a single-family fully or semi-detached home, each of them being considered a block for the purposes of the ECCTS, or in the form of building apartments or condominiums. Moreover, for these cases, each floor (or height) will be considered a block.

**Employment conditions:** refers to the nature of the contractual agreement between employer and employee, including contract type (i.e., written or verbal), salary, and benefits structure.

**ECCTS:** Spanish acronym ("Encuesta Centroamericana de Condiciones de Trabajo y Salud") for the Central American Survey of Working Conditions and Health. "I ECCTS" refers to the first survey, conducted in 2011. "II ECCTS" refers to the second survey, which will be conducted under this Cooperative Agreement.

**Fieldwork Collectors:** Consist of both the Field Supervisor and all Field Interviewers in a group. See Field Interviewer and Field Supervisor for respective definitions.

**Field interviewer:** As a member of the Fieldwork Collector team, the Field Interviewer is the person who conducts the survey interview. He/she goes out to the field each day and reports to the field supervisor. He/she is employed by Borge & Associates.

**Field Supervisor:** As a member of the Fieldwork Collector team, the Field Supervisor is the lead person over a group of field interviewers employed by Borge & Associates. He/she goes out to the field each day with interviewers and reports to the country fieldwork manager. He/she is employed by Borge & Associates.

**Fieldwork Manager:** aka, Country Fieldwork Supervisor (see above).

**Formal worker:** for the purposes of this Survey, it is a worker, whether employed or self-employed, who is registered or enrolled in her/his country's social security system to be able to receive social protection benefits (e.g., pension). Formal workers are found in the formal economy.

**Gender-Based Violence:** any act of violence that occurs or is perceived to occur in whole or in part due to one's actual or perceived biological sex, gender identity and/or expression, or sexual orientation.<sup>3</sup> This project focuses mainly, but not exclusively, on biological sex.

**Health:** a state of complete physical, mental, and social well-being and not merely the absence of disease (according to the World Health Organization's definition).

**ILAB:** Bureau of International Labor Affairs, U.S. Department of Labor.

**Informal economy:** any economic activity that is not being regulated and registered by the corresponding government and, as such, is not being tax-accountable.

**Informal worker:** for the purposes of this Survey, it is a worker, whether employed or self-employed, who is NOT registered or enrolled in her/his country's social security system to be able to receive social protection benefits (e.g., pension). Informal workers can be found in both the formal and informal economies.<sup>4</sup>

**Insecurity:** a self-reported perception of feeling unsafe. It may, but not necessarily has to, include an element of violence.

**Mental health:** a broad array of activities directly or indirectly related to the mental well-being

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<sup>3</sup> This definition is a simplified version of the U.S. Government definition, which states that "Gender-based Violence (GBV) is an umbrella term for any harmful threat or act directed at an individual or group based on actual or perceived biological sex, gender identity and/or expression, sexual orientation, and/or lack of adherence to varying socially constructed norms around masculinity and femininity. It is rooted in structural gender inequalities, patriarchy, and power imbalances. GBV is typically characterized by the use or threat of physical, psychological, sexual, economic, legal, political, social, and other forms of control and/or abuse. GBV impacts individuals across the life course and has direct and indirect costs to families, communities, economies, global public health, and development." Source: U.S. Department of State and U.S. Agency for International Development. *2016 Update to United States Strategy to Prevent and Respond to Gender-based Violence Globally*. Washington, DC, 2016. Available at <https://www.state.gov/s/gwi/priorities/gbv/258536.htm> [accessed 06-29-2017].

<sup>4</sup> This definition is a simplified proxy for the International Labour Organizations definition, which states that the informal economy "refers to all economic activities by workers and economic units that are – in law or in practice – not covered or insufficiently covered by formal arrangements; and does not cover illicit activities, in particular the provision of services or the production, sale, possession or use of goods forbidden by law, including the illicit production and trafficking of drugs, the illicit manufacturing of and trafficking in firearms, trafficking in persons, and money laundering, as defined in the relevant international treaties." Source: International Labor Conference. *Recommendation 204: Concerning the Transition from the Informal to the Formal Economy*. Geneva, 2015. Available at [http://www.ilo.org/wcmsp5/groups/public/---ed\\_norm/---relconf/documents/meetingdocument/wcms\\_377774.pdf](http://www.ilo.org/wcmsp5/groups/public/---ed_norm/---relconf/documents/meetingdocument/wcms_377774.pdf) [accessed 06-29-2017].

component included in the WHO's definition of health (see above). It is related to the promotion of well-being, the prevention of mental disorders, and the treatment and rehabilitation of people affected by mental disorders (according to the WHO's definition).

**Respondent:** the person who completes the survey.

**SALTRA:** Spanish acronym for “Programa Salud, Trabajo y Ambiente en América Central” (Program on Health, Work and Environment in Central America), a network of academic and research institutions in the six Spanish-speaking countries of Central America, headquartered at the Universidad Nacional (UNA) of Costa Rica. Together with UTSPH and our colleagues at UPF, SALTRA conducted the First Central American Survey of Working Conditions and Health (I ECCTS) and will be conducting the II ECCTS.

**Sampling frame:** the starting point from which a study sample is drawn. For the II ECCTS, the sampling frame is the most recent census in each of the six Spanish-speaking countries of Central America.

**Segment:** refers to a census tract segment, the smallest geographical unit from which census information is gathered. In contrast to a district or county, which are measured in size, segments are defined by a specific number of households (e.g., 60 in urban areas and 40 in rural areas), allowing comparisons by population density.

**Social protections:** a system of benefits present in each of the six Spanish-speaking countries of Central America, including access to national health insurance and clinical services, sickness absence, disability, and retirement pension.

**Survey of working conditions and health:** an interviewer-administered survey completed by workers (and/or employers) in which information is gathered on self-reported demographics, employment conditions, workplace risk factors, various aspects of health, and preventive resources.

**UNA:** Universidad Nacional, Costa Rica, one of the project collaborators. **See SALTRA.**

**UPF:** Universitat Pompeu Fabra, the institution of affiliation of our collaborators at the Center for Research in Occupational Health (CiSAL, by its Spanish acronym) in Barcelona, Spain. Together with UTSPH and our colleagues at SALTRA, UPF conducted the First Central American Survey of Working Conditions and Health (I ECCTS) and will be conducting the II ECCTS.

**USDOL:** United States Department of Labor.

**UTHealth:** The University of Texas Health Science Center at Houston. **See UTSPH.**

**UTSPH:** The University of Texas Health Science Center at Houston (aka, UTHealth) School of Public Health, the lead institution on this Cooperative Agreement with USDOL. Together with our colleagues at UPF and SALTRA, we conducted the First Central American Survey of Working Conditions and Health (I ECCTS) and will be conducting the II ECCTS.

**Violence:** any act related to incidents of force or power inflicted by humans upon each other. It can be physical, psychological (e.g., verbal threats), or sexual in nature<sup>5</sup>, including incidences of self-inflicted harm if directly related to work. It can also include incidents of a mixed type like extortion (i.e., coercion via any kind of force, threat of violence, of damage to property, or to reputation, or of adverse action).

**Worker:** for the purposes of this survey, it refers to any person over the age of 17 years who has worked for pay for at least 1 hour in the week previous to the interview (or who would have done so but was temporarily absent).

**Workers' rights:** a group of legal rights and claimed human rights having to do with labor relations between workers and their employers, usually obtained under labor and employment law. Informal workers, however, are often not covered by these rights or laws and, therefore, enforcement will differ by country. These rights, including provisions on violence, may be codified in and/or affected by laws on occupational safety and health, non-discrimination, freedom of association and collective bargaining, and working conditions (e.g., wage and hour). At the same time, child labor and forced labor laws may also be applicable, although these topics are not covered in the current research project.

**Working conditions:** the elements of a person's occupation, including job-related functions, responsibilities, tasks, products, environmental conditions and risk/preventive measures and conditions that may increase or decrease the chance of adverse health effects.

**Work-related violence (WRV):** acts of violence occurring in the workplace, while commuting, or outside the workplace. It includes violence committed by any perpetrator whose relationship to the victim results from work or it is related to the place or type of work.

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<sup>5</sup> The International Labour Organization distinguishes between sexual violence and sex/gender-based violence as two distinct phenomena. Sexual harassment/violence deals with comments/behaviors of a sexual nature, while sex/gender-based violence is based on one's sex/gender - such as bullying experienced by LGBTQI workers or pregnant workers experiencing bullying/harassment. Source: International Labour Conference 107<sup>th</sup> Session, 2018. *Report V(1): Ending Violence and Harassment against Women and Men in the World of Work*. Available at: [www.ilo.org/wcmsp5/groups/public/---ed\\_norm/---relconf/documents/meetingdocument/wcms\\_553577.pdf](http://www.ilo.org/wcmsp5/groups/public/---ed_norm/---relconf/documents/meetingdocument/wcms_553577.pdf) [accessed 06-29-2017].

#### **A.4. Project organization**

The organizational chart approved in the Project Document for this Cooperative Agreement will be followed (Figure 1). The grey shaded boxes are those most relevant to this quantitative study, whereas the white shaded boxes correspond to other parts of the Cooperative Agreement. For this project, we are collaborating with our long-time partner in Central America, **SALTRA** (“Programa Salud, Trabajo y Ambiente en América Central”, or Program on Health, Work and Environment in Central America), with whom we have been working for more than two decades on work and health issues in the Region. SALTRA is a network of seven universities and it has representation throughout Central America. Its aim is to develop national and regional capacities for the prevention of environmental and occupational hazards, particularly in the informal (i.e., undocumented), agriculture and construction sectors, within the perspectives of public health and sustainable production, with an ultimate goal of preventing and reducing poverty in the region. SALTRA is headquartered in Heredia, Costa Rica at the **Universidad Nacional (UNA)**.

**David Gimeno, PhD**, Principal Investigator, will be responsible for the overall direction of the project and will ensure the successful completion of all project deliverables, including the quantitative study. He will also be responsible for supervising the data analysis and for the reporting Cooperative Agreement’s reporting activities, which are housed at UTSPH. Additionally, Dr. Gimeno will serve as the **Executive Director of the project**, ensuring the fieldwork is carried out according to the criteria and strategy described in the Fieldwork Manual (Appendix C of the Survey Methods document).

**George L. Delclos, MD, PhD**, the main UTSPH co-Investigator, will work together with Drs. Gimeno and Rojas, to oversee the logistics and application of the survey.

**Marianela Rojas, PhD**, is the SALTRA coordinator, and a faculty member at the UNA in Costa Rica. Dr. Rojas is also the Principal Investigator of our subcontract with UNA, and will work directly with the survey vendor to train the field team and implement the fieldwork.

**Erika Figueroa, MPH**, and UTSPH doctoral student, is the Project Coordinator. Her task is to keep all aspects of the project on track. Ms. Figueroa is bilingual, allowing her to interface with our international collaborators, and has experience coordinating other projects at UTSPH.

**Fernando G. Benavides, MD, PhD**, is the Director of the Center for Occupational Health Research (CiSAL by its Spanish acronym) at Universitat Pompeu Fabra (UPF) in Barcelona, Spain. He is an internationally recognized expert in national working conditions and health surveys



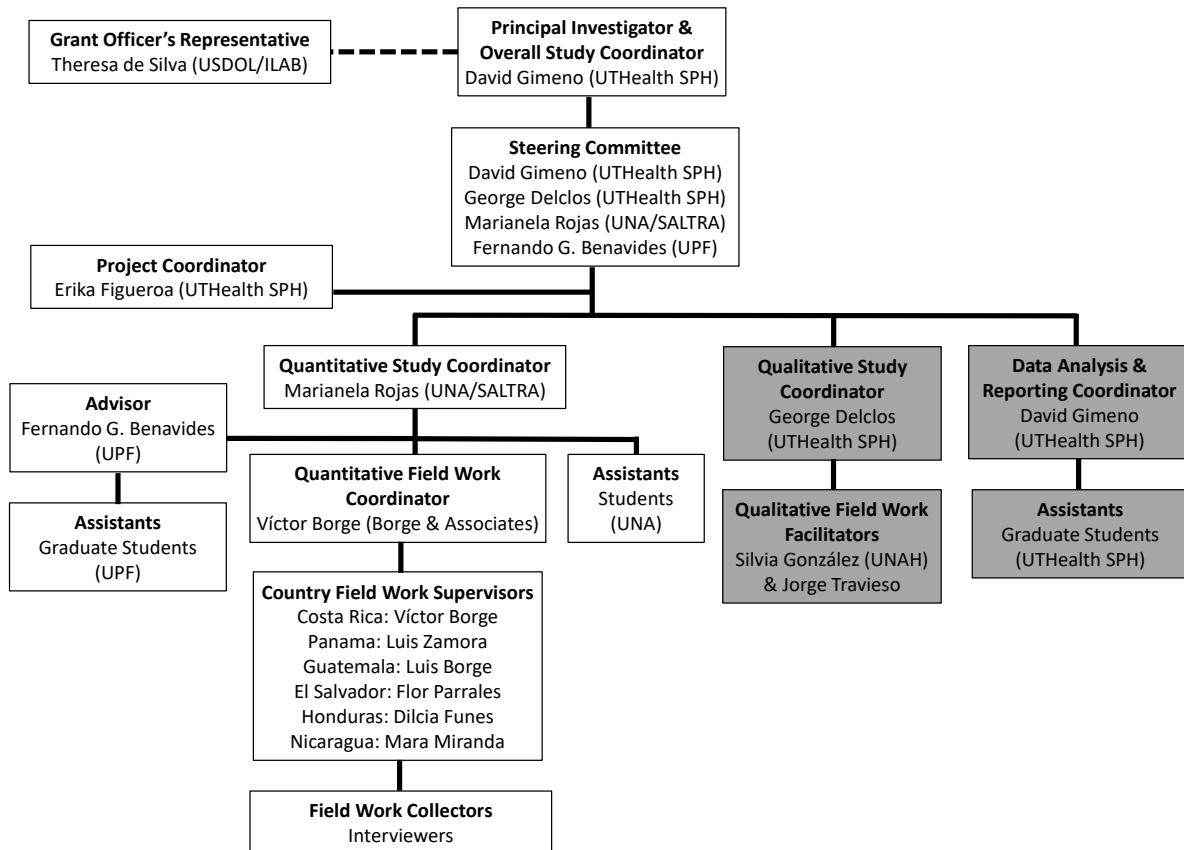
and one of the leaders in the CESLAC in Latin America. He will serve on the Steering Committee as an advisor, suggest ways to improve the survey questionnaire, advise on the development of the survey training and field manuals, and the interpretation of results, and collaborate in papers preparation. A Memorandum of Understanding between UTHealth and UPF promoting research collaboration enables his participation.

**Borge and Associates (B&A)** ([www.borgeyasociados.com](http://www.borgeyasociados.com)) also known as JAV Estudios para el Desarrollo, S.A., is an international survey firm, headquartered in Costa Rica. They have offices throughout Central America to conduct the fieldwork. We have a history of collaborative work with them dating back to the 2011 I ECCTS and the recent August 2016 field testing of the questionnaire. B&A will be responsible for training of the field teams, collecting and collating the surveys, including data entry/quality assessment, provisioning field briefing reports, and preparing codebooks and initial data files for subsequent analysis. B&A will provide properly trained **coders** in the use of the standard classification systems to codify the self-reported responses about occupation and economic activity (i.e., industry). Occupation will be coded according to the International Standard Industrial Classification of All Economic Activities (NACE), which is equivalent to the North American Industry Classification System (NAICS), and industry will be coded according to the International Standard Classification of Occupations (ISCO), which is equivalent to the U.S. Standard Occupational Classification (SOC) System.

Furthermore, B&A has Country Fieldwork Supervisors (a.k.a., field manager) in each of the six survey countries, each of whom oversees the team of Fieldwork Collectors (Fig. 1). The team includes both the Field Supervisors, who supervise the field operation, accompany, and acts as on-the-ground monitor of the Field Interviewers, who actually conduct the survey interviews. The Field Interviewer reports to the Field Supervisor who reports to the Country Fieldwork Supervisor who, in turn, reports to B&A as well as is the designated contact for both the project Executive Director and the SALTRA coordinator regarding the day-to-day activities related to the fieldwork.

Drs. Gimeno, Delclos, Rojas, and Benavides make up the **Project Steering Committee**, with representation from subcontractors and consultants, which will help guide the successful conduct of the quantitative study. This Steering Committee will help solve design and logistics issues that may arise before, during, and after the fieldwork. Below this level of the organizational chart is the Quantitative study and a central data analysis/reporting core, housed at UTSPH.

**Figure 1.** Cooperative Agreement Organizational Chart.



*Note: USDOL/ILAB = U.S. Department of Labor Bureau of International Labor Affairs; UTHealth SPH = The University of Texas Health Science Center at Houston School of Public Health; UNA = Universidad Nacional, Costa Rica; SALTRA = Health, Work and Environment in Central America; UPF = Universitat Pompeu Fabra; UNAH = Universidad Nacional Autónoma de Honduras.*

## GENERAL PRINCIPLES OF CONDUCTING INTERVIEWER-ADMINISTERED SURVEYS

### B.1. What is my job?

As an interviewer, you are a critical member of the team that collects data for this survey. Your responsibilities are to:

- talk to members of households drawn from the random sample;
- determine who is eligible to participate in the survey;
- persuade them to take part in it;
- conduct the best possible interviews;
- maximize completes and minimize refusals;
- do your part to preserve the integrity of data collection and to prevent any loss of data;

and,

- represent the professionalism, ethics, honesty, and integrity of the entire II ECCTS research team.

## **B.2. Principles of sampling and selection of II ECCTS participants**

Probability sampling is the fundamental basis for all survey research. The basic principle of probability sampling is that a randomly selected, small percent of a population can represent the attitudes, opinions, or experiences of all the people, **if the sample is selected correctly**.

**The fundamental goal of a survey is to come up with the same results that would have been obtained had every single member of a population been interviewed.** Therefore, for national surveys, the objective is to present the opinions of a sample of people that give exactly the same responses that would have been obtained had it been possible to interview all adults in the country.

The key to reaching this goal is a fundamental principle called equal probability of selection, which states that if every member of a population has an equal probability of being selected in a sample, then that sample will be representative of the population.

In the II ECCTS, we will select a sample of 1500 workers from each of the six Central American countries, using a special type of probability sampling, using a “probabilistic multistage sampling approach.” For this, as a starting point, we will use the most recent census for each country. The II ECCTS Field Manual describes in more detail how we go from the census to identification of specific segments, quadrants, dwelling blocks, households and the person in each household who we will invite to complete the survey. When selecting samples, our goal is to allow every adult an equal chance of falling into the sample. **This is the key to the success or failure of the II ECCTS, but the final steps of the selection process depend on you.** Any deviation from the selection process increases the chances that our results will not truly represent workers in each country. And that can erode confidence in our final results, on the part of workers, government, other researchers and society in general. Therefore, **participant selection must be conducted exactly as stated in the Field Manual.**

You will be provided with the starting address. Starting from there, you are following strict rules to find the doors you will knock on. You will then follow specific rules for how to select the respondents when a door is opened. The field supervisor is available to assist you if the respondent

asks questions you cannot answer.

### **B.3. Conducting the interview: introductions and informed consent**

The II ECCTS Field Manual details the process to be followed from selecting the household and identifying a respondent to completion of the interview. It also provides contingency measures to be taken when specific steps cannot be followed as per the protocol, so they will not be repeated here. We will only highlight the most important aspects. Before leaving the office or daily gathering site and heading to the field, make sure you have the following materials provided to you by Borge & Associates:

Identification badge

Electronic PDA

Cell phone

Map

Information sheet

Paper version of the II ECCTS questionnaire

Incident form

Interviews are conducted at the **respondent's door**, and there may be some circumstances that hamper your job. Some examples include lack of comprehension or rejection of potential respondents or adverse weather conditions, such as heavy rain or heat exposure. These barriers, which are inherent to the job of a field interviewer, should not be allowed to affect the quality of the work performed.

At times you will find other family members or friends present in the dwelling during the interview. Sometimes these persons will offer their own opinions, or the respondent will ask them for advice on how to respond. If this occurs, remind everyone that the study requires is that only ONE person may participate in each household, and that only their answer will be recorded. Avoid being rude, but make sure these other persons do not interrupt the interview. If, despite your efforts, relatives or friends continue to “assist” the respondent, contact your field supervisor for advice.

Once you have contacted a potential respondent, you must introduce yourself and obtain her/his informed consent. The introduction is the interviewer's first, last, and only chance to get the interview. This is one situation where first impressions count for everything. People respond

quickly and favorably to a good first impression. The introductory sentences are critical for gaining the respondent's trust and encouraging her or him to participate.

The informed consent is a process where you do the following:

tell the respondent your full name;

read a prepared informed consent information sheet (verbatim) that describes the purpose of the study, on whose behalf the survey is being conducted, the approximate length of time the survey will take, and the fact that participation is voluntary and confidential;

ask whether the respondent has any questions;

answer those questions as thoughtfully as possible. If you are unable to answer a respondent's question, do not hesitate to say that you do not know but will find out the answer and will call him or her back. Do not hesitate to request assistance from your field supervisor or the research team if you do not know the answer; and

ask whether the respondent wishes to proceed with the survey interview. Only when the respondent agrees to participate, which implies her/his consent, can the interviewer proceed with the survey. There is no need for the respondent to sign this form. This procedure has been approved by the ethics committees at both the UNA and UTSPH.

#### **B.4. Conducting the interview: administering the survey**

The II ECCTS questionnaire has several sections and has been extensively tested. It is designed to be completed in about 30 minutes or less. You will find a copy of the most recent approved version of the II ECCTS as an appendix to the II ECCTS Field Manual. In the training session, we will go over each question as a group, and then, each interviewer will practice how each question should be asked. You will have a chance to ask for clarification and make comments, and you should practice going through the survey as many times as necessary until you feel comfortable with it. However, once the questionnaire is in its final format, it cannot be changed further, and that one is the version you **must** use.

Remember two keywords: **Accuracy** and **Consistency!** Both are critical to the validity of the study and to decrease chances of error. To ensure both, it is essential that, as a field interviewer, you adhere to the following:

**Each respondent must be given the questionnaire in the same manner.** This is very important. Each word and phrase in a survey question has been carefully considered and chosen

to avoid confusion for the respondent. One small change to a question may seem insignificant to you but may have drastic effects on the responses given.

Unless you are told otherwise, **read each question as given**, even if you think it could be worded better.

You need to do your best not to bias the respondent's answers one way or another.

In addition, you need to record each response **as it is given to you**. You should make a habit of sight verifying the answer you record for the respondent.

In the II ECCTS survey there are a few “open-ended questions,” where there are no pre-defined answer categories. Two especially important open-ended questions are those regarding the **occupation** of the respondent and the **economic activity sector** (i.e., industry) of the employer. In these cases, you should try to record verbatim what the respondent said. If the respondent is going too fast, a good technique to slow them down is to repeat what they have said so they must wait for you to catch up with them. We will code this text information later at Borge & Associates offices.

It is important not to rush respondents through the questionnaire. It is especially important to go slowly during the introduction. As mentioned above, in the introduction, we are determining who our respondents should be and obtaining their informed consent.

If a respondent does not understand a question, the interviewer will only be able to repeat it ONCE, reading out the question slowly and clearly. If the confusion persists, code a 99 “No answer” and move on to the next question. However, please note that if there is an excessive number of 99 “No answer” or 98 “Don’t know” responses, the questionnaire will be voided. **Those interviews with more than 3% of responses 98 or 99 will be annulled.** Further,

- Never act surprised by an answer, or offer your personal opinions. Politely decline to respond to any questions for advice.
- Try to create a pleasant atmosphere during the interview, one that inspires trust.
- Always maintain an impartial attitude regarding answers.
- Do not make any incentive offers to respondents.
- Do not pressure respondents to answer the questions.

You should avoid becoming bogged down with respondents who wish to talk about everything except the survey. In the training session, we will go over techniques to get respondents back on track. Use your best judgment to decide whether or not a respondent is answering truthfully or is

not taking the survey very seriously. If it is impossible to keep the respondent's attention focused on the questions, politely end the interview and make notes about what happened.

### **B.5. Conducting the interview: ending the interview**

As the respondent answers each question, you will record that answer into a small portable handheld computerized device (i.e., PDA/phone combos) to instantly capture data. During the training session, we will introduce you to the device and you will have a chance to practice using it through various simulation exercises. Data are transmitted daily to a secure database repository, with backup copies stored in a separate secure location. PDAs are employed because they are easy to use and become familiar with. In addition, PDAs have the advantage of being less fashionable than the current smartphones and, thus, less likely to be stolen from you. The PDAs have built-in automatic range limits as a data quality control measure for responses.

Once you have entered all of the respondent's answers, it is time to bring the interview to a close. For this, you should:

- thank the respondent for their time, acknowledging that you understand their time is valuable;
- ask whether they have any questions;

- assure them that their answers will hopefully contribute to making workers safer in their jobs;
- reminding them that they have been given contact information should they think of anything to ask later one, or if they wish to make any observations regarding the conduct of the interview;

- provide them with an information sheet on local resources regarding workers' rights, workplace violence or other forms of discrimination at work;

[NOTE: An example of a list of Key Referral Services is provided in Annex 1 for distribution to survey participants. The current annex relates to Honduras, where we previously conducted focus groups in collaboration with USDOL. Still, we will create one list per country with their corresponding list of key referral services]. Also, for simplicity, the length and amount of content of the list will be reduced.

### **B.6. What happens after the interview data have been collected?**

Throughout each day of interviews, you will be in regular contact with your field supervisor to comment on progress, concerns, or issues that have arisen. At the end of each day, the data from your PDA will be transmitted to a secure database repository, with backup copies stored in a

separate secure location. The field supervisor, working together with Borge & Associates's central headquarters, will be responsible for this.

You will not be involved in what happens to the data after this point unless any questions remain regarding a specific respondent or question needing clarification. The data in the repository will be cleaned, checked for errors, and integrated into separate data files for analysis by Borge & Associates. They will then send the data files to UTSPH in Texas for data analysis and report preparation.

### **B.7. What rights do respondents have?**

Respondents have specific rights that interviewers must always respect. Specifically:

Respondents' privacy will be respected, and the confidentiality of their answers will be maintained;

Respondent' names, addresses, phone numbers, personal information or individual responses will never be disclosed to anyone without their permission;

We will never use research as an excuse to sell them something or ask for money;

We will never sell a list of our respondents' names, addresses, or phone numbers to another company;

We will never misrepresent ourselves or the nature of our contact;

Respondents have a right to be provided with contact information should they have any questions, concerns, or suggestions;

A respondent's decision regarding participation in a study, answering specific questions, or discontinuing participation will always be respected without question;

We will do our best to make respondent participation in the study a pleasant experience;

We will maintain the highest standards of professional conduct in the collection and reporting of the information collected in an interview.

### **B.8. Professional ethics of the interviewer**

Our entire team, including you, must make every effort to safeguard the rights of survey participants. Interviewers are not allowed in any way to lie or mislead respondents or begin an interview without obtaining the informed consent of the participant.

All interviewers must treat the information that they receive from the respondent as strictly



confidential. When a respondent agrees to an interview, a relationship of trust is established between that respondent and the interviewer. As a professional interviewer and a representative of the II ECCTS research team, you must honor that trust. Specifically, you must treat all information gained as privileged information; its only legitimate use lies in the compilation of information for the survey. Any other use of that information is prohibited.

This privileged information includes the interview itself and any extraneous information concerning the respondent's home, family, activities, or any other facet of the respondent's life.

### **B.9. Interviewer behavior**

Attendance and punctuality are extremely important. We are on a tight schedule to achieve the number of interviews we need, and our interviewing time is often limited. If you are not able to work, you are responsible for contacting and alerting your field supervisor, so that we know whom to expect on any given work day.

Please be polite in all cases, even if the person you are visiting is not courteous. Do not take what the respondent is saying personally.

We do not expect you to listen to someone who is being rude to you and/or is using foul language. If this occurs, politely say that you are sorry you have caught them at a bad time and that you will come back at a later date. Inform your field supervisor of what happened.

If by chance a person becomes angry, uses foul language, goes on a tirade, etc., here are some ways to handle the situation:

Be nice! Do not lose your temper! Do not argue. Do not tell them your own opinion. Be calm without being patronizing.

As situations warrant, say "Yes, I see," or "Yes, I understand you feel quite strongly about this matter, but we really need your opinion," or even, "Let me repeat the question for you."

Above all, we expect you to maintain a professional demeanor regardless of the respondent's behavior. If you are not polite, it will reflect poorly upon the other interviewers and on the project as a whole. Additionally, it will be easier to revisit if the previous interviewer was not rude to the respondent.

Smoking is forbidden while interviewing even if it is allowed by the respondents. Please wait until you have finished the interview. Also, interviewers may not chew gum while interviewing.

## **B.10. Monitoring of fieldwork**

One of our greatest responsibilities is maintaining the high quality of the data collected and analyzed for this research study. Therefore, ensuring that the data we collect is of the highest quality is of paramount importance. Some of the ways we go about getting good data are to hire intelligent, responsible people as interviewers, to train them thoroughly, to provide them with friendly and supportive supervisors, and to evaluate their performances.

The purpose of evaluation and quality control is not to persecute interviewers, but to catch problems before they can negatively influence the quality of our data. Evaluation also helps us to objectively identify superior interviewers so they can be eligible for scheduling in future projects.

Evaluations are conducted both formally and informally. Informal evaluation is done constantly. Field supervisors are paying attention and they are there to help you and offer advice, support, and direction. You should not hesitate to contact them when something is not clear or a problem arises. You should regularly report the progress of your work to the field supervisor and immediately contact her/him in the event of a problem or any doubts.

Field supervisors also do random checks of 10% of the interviews completed each day for quality control. A small percentage of respondents who have a phone will be called on a different day to verify their participation and check responses on a few questions.

In addition, many times, you will see members of the UTSPH-UNA-SALTRA research team out in the field with interviewers. They are there to work collaboratively with Borge & Associates, providing local oversight of the survey fieldwork to ensure the implementation protocol is followed as planned.

Formal evaluation of your individual performance as a field interviewer is the responsibility of Borge & Associates. When evaluating your performance, they will consider, among other things, the following objective measures:

- work quality- your performance as an employee;

- productivity- your production performance, i.e., how many completed interviews you conduct and how many refusals you get;

- questionnaire administration- whether you have conducted the interview according to the training;

- data quality- whether you are recording responses correctly;

There will be periodic evaluations in which you and your supervisor will discuss any problems that could have occurred during the fieldwork. Interviewer performance can usually be brought up to the desired performance level through constructive feedback and willingness to accept that feedback. However, if things simply are not going well, interviewers may be subject to dismissal for performance below acceptable levels. Most importantly, if the field supervisor detects an interviewer has falsified an interview, she/he will immediately notify the country fieldwork manager. **Falsifying an interview is justification for employment termination**, with Borge & Associates being free of liability according to labor laws.

### **B.11. Important “Don’ts” in interviewing**

As an interviewer, you should never:

- Interpret or explain.
- Assume.
- Skip questions.
- Lead the respondent.
- Give your own opinions or those of other respondents.
- Accept answers from other people in the household. Complete an interview with one respondent only. Finish the interview with the respondent who started the survey.
- Violate client confidentiality in any way.

### **STAYING SAFE**

In training, we will spend some time discussing your safety and that of the entire field team. There is nothing, not even the collection of data through the interviews, which has a higher priority than each team member’s personal safety. Borge & Associates have extensive experience in conducting large-scale studies, such as the II ECCTS, and follows strict guidelines to keep everyone safe.

Most important among these (and which we will discuss during the training) are:

Interviews are never scheduled after 6 pm and/or once it becomes dark. This is a typical time considered to be dangerous because of the presence of persons from outside the neighborhood. Both Borge & Associates and the UTSPH-UNA-SALTRA research team recommend leaving the survey area at this time. This recommendation applies not only to a country with high levels of

violence, such as Honduras, but as a general safety rule for all six countries.

In addition, you will proceed with extreme caution in areas where houses were scattered or distant from each other. You will never travel alone, and you will have cellphone communication with your field supervisor available at all times.

Borge & Associates are always attentive to exceptional circumstances that may add difficulty with access and create safety concerns such as non-violence related events (e.g., blocked roads due to flooding, fallen bridges).

Finally, as an interviewer, you will be trained to immediately suspend your fieldwork activities if, at any time, you feel your personal safety is compromised for any reason. At that point, you will be instructed to contact your field supervisor and proceed to a pre-arranged meeting point as soon as possible.

**ANNEX 1.**  
**Example of Key Referral Services**

Estimado/a participante:

Nos gustaría darle las gracias por su tiempo y contribución. Hemos compilado una lista de los principales servicios de referencia que le puede ser útil en caso de que usted o alguien que usted conoce pudiera necesitar este tipo de servicios.

La información contenida en esta lista no implica la aprobación o la opinión de la universidad acerca de la calidad de los servicios.

Atentamente,

Drs. David Gimeno & George Delclos  
The University of Texas School of Public Health

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Dear Participant,

We would like to thank you for your time and contribution today. We have compiled a list of key referral services you may find helpful in case you or someone you know should need such services.

The information on this list does not imply any university's endorsement or opinion about the quality of services.

Best,

Drs. David Gimeno & George Delclos  
The University of Texas School of Public Health

**Línea Directa sobre Tráfico de Personas - The Global Human Trafficking Hotline**

**Tel: 1-844-888-FREE (1-844-888-3733) --- help@befree.org**

**SERVICIOS DE ASESORAMIENTO, ASISTENCIA Y TERAPIA  
COUNSELING, ASSISTANCE AND THERAPY SERVICES**

**El Teléfono de la Esperanza**

Florencia Norte 1 calle 1 Ave. Casa 4048 2 Nivel, Tegucigalpa  
Tel (504) 22321314 and (504) 22322707, tegucigalpa@telefonodelaesperanza.org,  
SPS (504) 557-8011 (504) 5580808, 902500002, sanpedrosula@telefonodelaesperanza.org

**Asociación Calidad de Vida**

PO Box 15247, Tegucigalpa M.D.C.  
Tel (504) 22216606  
calidadv@compunet.hn\_www.calidaddevida.hn

**Centro de Derechos de la Mujer (CDM)**

P.O. Box 4562, Tegucigalpa, Provincia Francisco Morazán, Honduras  
Tel (504) 221-0459, (504) 221-0657, (504) 221-1464  
cdm@cablecolor.hn, cdm@sdnhon.org.hn, cdmsps@sigmanet.hn, cdm@cdm.sdnhon.org.hn

**Centro de Prevención, Tratamiento y Rehabilitación de Víctimas de Tortura**

Tel (504) 232-4204  
cptrt@multivisionhn.nety cptrt@sdnhon.org.hn\_

**Casa Renacer (Sandra Zambrano)**

Tel (504) 2238-9308, 96933675 y (504) 3294-9572

**Ministerios Nuestras Pequeñas Rosas**

Tel. (504) 2552 - 4473 Ext 109

**Casa Alianza**

Calle Morelos Avenida Cervantes, frente Óptica Matamoros Tegucigalpa  
Tel (504) 22373623, 22373556, 22371494, 22223957 y 22382190.

**Alternativas y Oportunidades**

Barrio el Jardín Frente a la Antigua Casa Presidencial  
Tel (504) 2238-6905

**SERVICIOS MÉDICOS Y PSICOLÓGICOS – MEDICAL AND PSYCHOLOGICAL SERVICES**

**Hospital Escuela: Clínica de servicios prioritarios**

Tel (504) 22131744

**Clínica Periférica Las Crucitas: Clínica de Servicios Especializados (Dra. Ana Guillén)**

Tel (504) 22018483

**Centro Salud Alonso Suazo (Dr. Jorge Luis Larga Espada)**

Tel (504) 99857742

**Centro de Salud El Manchen (Dra. Magdalena García)**

Tel (504) 99701577

**Centro Salud Villa Adela (Dr. Oswaldo Caballero)**

Tel (504) 99899337

**Centro Salud Los Pinos (Dra. Mireya Mineros)**

Tel (504) 33475366 and (504) 99548646

**SERVICIOS LEGALES – LEGAL SERVICES**

**Ministerio Público, Fiscalía de la Mujer y Fiscalía de delitos sexuales**

Edificio Lomas Plaza II, lomas el Guijarro, Ave. República Dominicana 1101

Tel:(504) 22213099; (504)22215620

**Centro de Atención y Protección de los Derechos de la Mujer (CAPRODEM)**

Comayaguela, en frente de la estación de Autobuses La Paz, Tegucigalpa

Tel (504) 22214912

**Centro de Atención a Víctimas de Abuso Sexual (CAVAS)**

Tel (504) 25509630

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