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# **RTP3 Household Survey Data Management Guide**

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# 1 Purpose of this Document

This document provides guidance and advice for members of the GCRF funded Centre for Sustainable, Healthy, and Learning Cities and Neighbourhoods (SHLC) involved in the RTP3 Household Survey. Specifically, this document covers the pilot specification, neighbourhood selection, ethical approval, creation of fieldwork tools, setting up the survey software, uploading copies of datasets and survey schemas, the process for merging datasets and generating reports on the data, and the plans for archiving the final dataset.

Team members should also consult the following documents on the SHLC Teams site:

- **SHLC General Data Management Guide** which provides details of the general data management issues teams should consider – particularly in relation to data security and encryption. This is available at **Research > PoliciesAndProtocols**.
- **RTP3 Household Survey Questions and Definitions** document, which contains all the household survey questions with definitions of key terms as well as routing and validation rules. This is available at **Research > RTP3 > HouseholdSurvey**.
- **RTP3 Household Survey Fieldworkers' Handbook** for further details of the fieldwork workflow. This document is currently in preparation and team members will be notified when it is complete.

Please note, this is a 'living document' that will be updated as required as work on the RTP3 household survey progresses.

## 2 Purpose of Household Survey

The RTP3 Household Survey will provide us with a large international dataset that will allow cross-neighbourhood, cross-city and cross-country comparisons. Data collected from each household will cover demographic information, social and economic profile, and health and educational requirements and problems.

The survey will be done through face-to-face interviews with a **randomly selected representative of randomly sampled households** within our selected neighbourhoods. Interviews will be held at the home of the respondent.

The purpose of the household survey is to answer the research questions, including:

- 7 Who lives in what types of neighbourhoods?
- 8 What are the economic (employment, income and consumption, assets), social (gender, age, ethnicity/race and disability), educational (levels, access and aspiration) and health (physical and mental wellbeing) profiles of residents in each type of neighbourhood?
- 9 What kind of social class structure can we identify in these neighbourhoods?
- 10 What are the characteristics of residents in terms of their demography, household structures, incomes and housing, education level and health status?
- 11 What public and private health provisions can be found in these communities?
- 12 What kind of health challenges are faced by residents in different types of communities and how are these exacerbated or ameliorated by neighbourhood and city form?
- 13 What kind of education facilities and opportunities are provided to different groups of residents?

We are aiming for a minimum of 14,000 survey respondents across all our partner countries. This equates to roughly 2,000 per country and 1,000 per city. Exact numbers per will vary based on the number of neighbourhoods per city included in the fieldwork, the population size of the neighbourhood, and whether the in-country team decides to collect more than the minimum specified number of survey responses. Country teams may also transfer some sample allocations from their smaller case city to their larger one.

### 3 Pilot Specification

#### Preparing for the field

Topic	Objective	Approach
<b>Overall number</b>	Achieve a target number of completed questionnaires	<b>We are aiming for a 5% pilot sample. This equates to 100 survey responses per country.</b>
<b>CAPI</b>	Country teams confirm use of CAPI software for pilot.	University of Glasgow is administering a REDCap server available for all country teams to use. Country Co-Is to make decision for their team on whether they are using the SHLC REDCap server, self-hosting their own REDCap server, or using alternative software.
<b>Training</b>	Researchers to receive adequate training for conducting pilot	Identification and provision of training (fieldwork, software, data entry, etc). Country Co-Is to notify University of Glasgow of any specific training needs for their team. Provide training sessions for all interviewers led by key academic staff and Data Lead.
<b>Robustness in selection of neighbourhoods</b>	Ensure a random selection of neighbourhoods across all neighbourhood categories	Country teams to use table from guidance document to assist neighbourhood selection. Selection of neighbourhoods to be based on the framework agreed at the Manila meeting and incorporated in the revision of the RTP3 guidance document.
<b>Pilot stratification/ household robustness</b>	Ensure pilot is undertaken with a wide range of different types of households	<b>Country teams to collect 50 survey responses per city.</b>  <b>Country teams should choose three neighbourhoods in each city – picking one from the poor, middle, and rich bands as outlined in their neighbourhood selection.</b>  <b>Within each neighbourhood aim to achieve 16-17 survey responses.</b>
<b>Handbook &amp; other tools for fieldwork</b>	Provide fieldworkers with handbook to aid sampling and conducting interviews	This document contains information for preparing fieldwork tools, translating the survey questions, use of CAPI software, and plans for creating the final dataset. A fieldworker manual is in preparation and will be circulated shortly.
<b>Fieldwork Safety</b>	Identify and manage safety risks for fieldworkers.	Conduct risk assessments for each neighbourhood and retain them. Additional Covid considerations to be made with details provided for the University of Glasgow's ethics committee. A safety protocol is provided in this document that

		country teams can modify to suit local circumstances. This protocol ensures someone always knows each interviewer's schedule, and develops an approach to communication for use in the event of an emergency.
<b>Translation</b>	Translation of fieldwork tools	Each country team to translate the survey and associate documents into appropriate languages ensuring translation is as faithful as possible to the original English language version. Back translations should also be done for the WHO-5 questions. A translation protocol is provided for the household survey questions to ensure robustness of translation.
<b>Timing</b>	Complete pilot in good time	Each country team to keep PI updated on when piloting may be feasible in their country and agree dates for the beginning of pilot fieldwork. Country teams should also notify PI where any changes in lockdown policies in their country impacts fieldwork that had been agreed.

### In the field

Topic	Objective	Approach
<b>Refusal rates/ non-response</b>	Test out approach to calling at addresses and non-response protocols. Scope likely refusal rate/ non-response rate to aid in drawing sample	Keep clear records of calls made and responses including average number of calls per household. Report on success of recruiting 'random adult' respondents using birthday rule.
<b>Interview length/ interview fatigue</b>	Ensure average interview length is 40 minutes or less on average. Ensure that there is an acceptable degree of engagement throughout the questionnaire duration.	Keep records of interview length and note if response quality falls off unacceptably towards end of questionnaire. Identify impact on interview length of household matrix for large households.
<b>Comprehensibility</b>	Ensure questions and 'plain language statement' are understood by respondents	Interviewees to record respondent reactions. Feedback form at end of interview for asking respondent if there was anything that confused them or they did not understand.
<b>Routing</b>	Ensure questionnaire routing is workable with a range of	Fieldworkers to report back and Co-I / pilot manager to check quality of completed work

	different respondents and circumstances	
<b>Interviewer reporting</b>	Take the full benefit of interviewers' experience	Key researchers ideally take part in pilot as interviewers or accompanying interviewers. Interviewers to complete a feedback form for each interview, recording how it was received by respondent and highlighting any problems with questions or the questionnaire as whole. In particular, variability of 'random adult' approach to be tested in relation to answers obtained about household-related questions.
<b>Fieldwork management and Record keeping</b>	Ensure arrangement for field work management and record keeping is working well	Record keeping forms, technologies etc. to be tried and out tested for robustness
<b>Ethical compliance</b>	Ensure compliance with ethical requirements, including obtaining informed consent and maintaining confidentiality	Ensure fieldworkers are trained in ethical requirements and are instructed to obtain informed consent before proceeding to interview. Ensure proper security of completed survey materials both physically and electronically. Ensure to monitor Covid regulations in country and team members are updated on these as they develop.

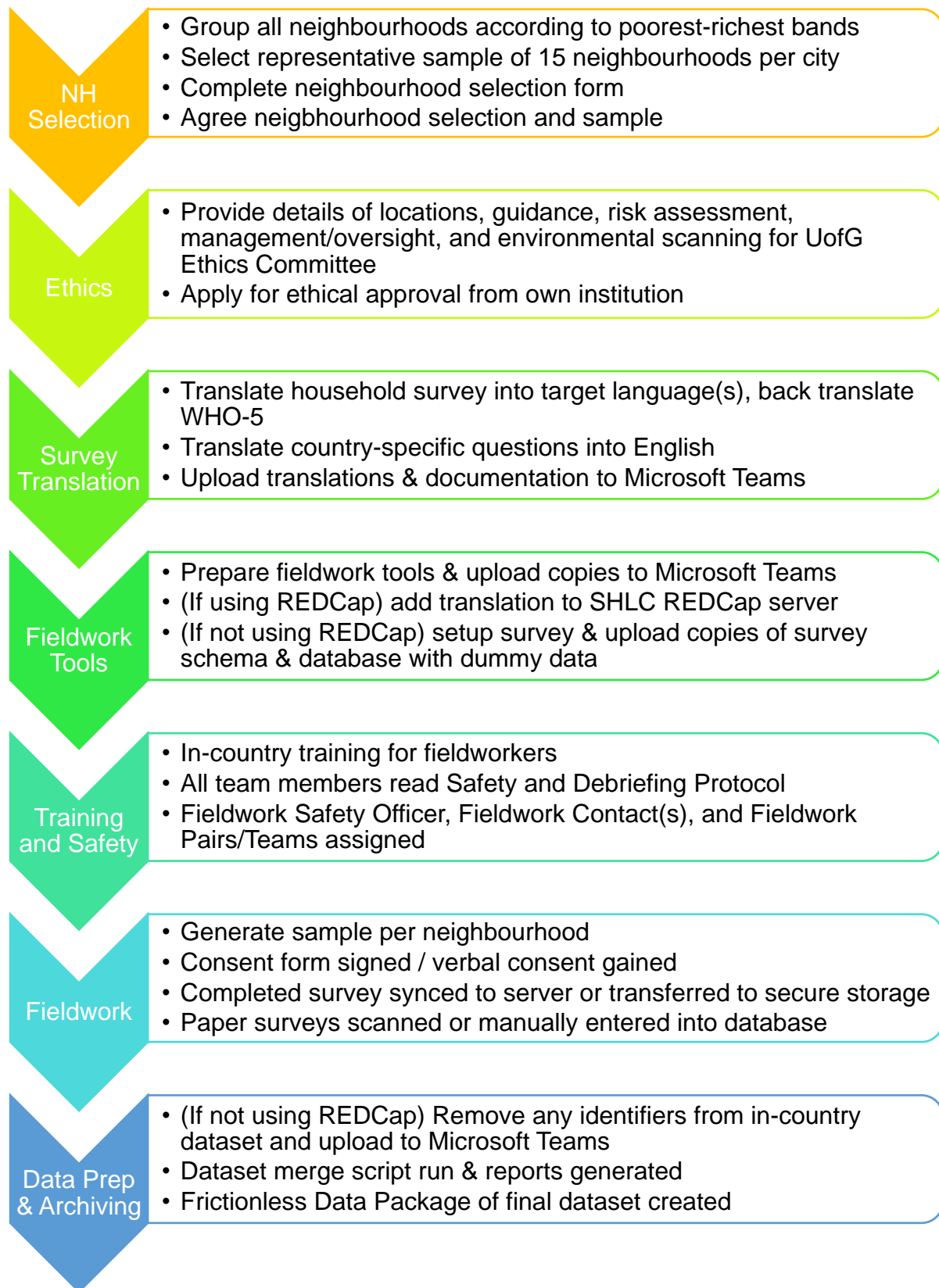
### Post-fieldwork

Topic	Objective	Approach
<b>Country database setup</b>	Setup of databases for each country	University of Glasgow providing SHLC REDCap server that all teams can use. Teams to setup own REDCap server or alternative where using the SHLC server is not viable. In such cases, database structure once prepared to be uploaded to SHLC Teams group and Data Lead notified.
<b>Data Entry</b>	Test and validate data entry for CAPI/PAPI as appropriate	Data Lead to create general data protocol based around REDCap – country teams need to modify to suit chosen software
<b>Merge &amp; validate</b>	Test merge of datasets and validating datasets structure and content	Create script to merge pilot data with validation checks and reports for original datasets as well as merged whole project and individual countries to ensure robustness of coding, data input and presentation of data files for use
<b>Workflow &amp; archive</b>	Ensure merged data package is usable	Given the diversity amongst project team, need to test the merged dataset is easily usable in team members' chosen workflows (R, Python, SPSS)
<b>Reporting</b>	Ensure details	Written report required from Co-I or designated



	about pilot are captured to provide confidence to data users.	pilot managers in each country about conduct of pilot and outcomes Report from Data Lead required on any specific issues arising in the datasets or during merging
<b>Debriefing sessions</b>	Take the full benefit of experience across the team	Each country team to have debriefing sessions together to discuss success or other wise of the pilot. During the pilot debriefing sessions should take place at regular intervals to help identify any emerging issues and help in the training of fieldworkers. Post-fieldwork the country team should have a debriefing session to discuss success of pilot and any issues for raising with the wider team. An international debriefing session to be arranged after all countries complete pilot fieldwork.

## 4 Overview of Household Survey Workflow



## Neighbourhood selection

- Group all neighbourhoods within each city into five bands – spanning poorest to richest.
- Select a representative sample of up to 15 neighbourhoods per city – with a maximum of 3 neighbourhoods in each band per city.
- Complete neighbourhood selection form and submit to PI.
- Agree neighbourhood selection and final survey sample based on neighbourhood population.

## Ethics

- Provide Glasgow with details of field-additional ethics requirements. This includes details of locations fieldwork will take place, copies of guidance team is adopting and who issued it, risk assessments, details of who is responsible for management/oversight, steps that will be followed to monitor any change in the risks and adjustments that will be made.
- Seek in-country ethics approval.

## Fieldwork Tools

- The team creates 6-8 country specific questions, including code numbers and variable descriptions, for adding to the survey.
- The team prepares their versions of the consent form/protocol, participant information sheet, calling card, and other relevant household survey documents – making any adjustments to wording to account for location-specific social and cultural context.
- In-country PI to modify the **Safety and Debriefing Protocol** to account for adjustments in fieldwork logistics to account for social and cultural context as well as specific safety issues for researchers in their country.
- Assess local support organisations, relevant for issues covered in the survey, that are accessible to those living in the sample neighbourhoods. Create support organisation sheets for the neighbourhoods using the **Support Organisation Template**.
- Create a calling card for fieldworkers to use if household or random adult is not available

## Survey Translation

- Notify PIs and Alasdair with initial rough translation of questions.
- In accordance with **Household Survey Translation Protocol**, the Country PI appoints Translators (including 1+ professional translators), Reviewer, and a Translation Co-Ordinator if they are not fulfilling the role themselves.
- The household survey questions are translated following the **TRAPD** steps set out in the **Household Survey Translation Protocol** (two translations, review to reach agreed translation, adjudication on outstanding issues, pre-test, and document).
- WHO-5 questions are back-translated into English
- Country-specific questions are translated into English following same steps.
- Translations of all documents are uploaded to Microsoft Teams in **Research > RTP3 > Translations**.

## Survey Software

*If using SHLC REDCap server -*

- Add translations to the SHLC REDCap server

*If self-hosting SHLC REDCap server –*

- Receive copy of the survey schema from Alasdair. Add questions and translations to the SHLC REDCap server.
- Upload a copy of the database with dummy data to **Research > RTP3 > Data > CountryDatasets**

*If not using REDCap -*

- Consult with Alasdair on the survey software to be used
- Setup survey software following specifications in [SECTION]
- Upload a copy of the database with some dummy data, in **Research > RTP3 > HouseholdSurvey > SurveySchemas**
- Upload and XML, or similar, output of the survey questions to Microsoft Teams **Research > RTP3 > HouseholdSurvey > SurveySchemas**
- Prepare short guidance document for fieldworkers on how to use country team's chosen survey software.

*All -*

- Setup electronic devices for fieldworkers
- Create paper version of survey as backup in case of electronic device failure in the field

## Training and Safety

- Country PI to notify University of Glasgow of any specific training needs for their team. General training on conducting the survey and the relevant protocols are already planned for.
- In-country / online training provided for fieldworkers.
- All team members involved in the research, including line managers who are not directly conducting fieldwork, must read the **Safety and Debriefing Protocol**.
- Where the in-country PI is not acting as the Fieldwork Safety Officer to appoint someone to the role
- All fieldworkers to be appointed Fieldwork Contact(s) to notify of fieldwork times and locations, sign-in and out with, and contact in the event of any incidents. Fieldworkers and Fieldwork Contacts must store each other's numbers on their phones.

## Fieldwork

*Please see **RTP3 Household Survey Fieldworkers' Handbook** for further details of the fieldwork workflow.*

- For each neighbourhood, the random sample selection procedure is followed to choose dwellings / locations to approach and fieldworkers are assigned their dwellings / starting locations. This depends on the design, structure, and access to available data for the neighbourhood. The more random the method used the better.
- Fieldworkers will check electronic devices to make sure they are functional, and that the battery is charged. Devices must be fully encrypted with biometric/PIN locks. Survey apps must use PIN lock and other security measures where present. Fieldworkers should also ensure their mobile phone is fully charged and take with them paper backups of the survey, water, ID badge, map of neighbourhood, and the **RTP3 Household Survey Fieldworker Handbook**.
- At each location selected, the fieldworker establishes whether the location is a dwelling – if not move onto the next selected location.
- If occupied dwelling and someone is in, fieldworker asks whoever answers the door how many households live there. If more than one household then a random household is selected. Then a random member of the household is selected by whose birthday is next. If 2+ people have birthday on same day then flip coin or use random number generator.
- If no one answers door or random household / household member are not available leave calling card with your details. Revisit dwelling 3 times to try and arrange survey time.
- If random household member available, or survey time arranged, provide / read out participant information sheet and seek informed consent.
- Once received informed consent, conduct survey.
- Maintain vigilance for any potential upset or distress, reminding respondent they can take break or opt not to answer potentially sensitive questions. Where appropriate at end of survey, or if respondent chooses to end survey early, remind them of the support and advice organisations available.
- *Pilot*: Fill in post-survey form and note any issues / consult with respondent on any questions that were unclear.
- Collected survey responses synced / uploaded to survey server.
- Regular fieldworker debriefing sessions to take place to discuss progress and any emerging issues.

## Data Prep and Archiving

*If not using SHLC REDCap server –*

- Export dataset from survey software and strip it of any identifiers
- Upload country dataset to SHLC teams site
- Ensure all necessary documentation (translations of participant information sheet, consent form, household survey, and country-specific questions) are uploaded

*All -*

- Datasets merged, validation script run, reports generated
- Country teams to double-check data where any issues identified
- Frictionless Data Package of dataset made available on SHLC Teams site
- Dataset and all relevant documentation archived with the UK Data Centre

## 5 Neighbourhood selection

### 5.1 Aims and rationale

As far as possible we aim to

- group all the neighbourhoods in each city within the study into 5 categories that represent a convincing socio-spatial spectrum, ranging from neighbourhoods that can be characterised as principally providing for the rich through to neighbourhoods that can be characterised as principally providing for the poor.
- select up to a total of 15 representative neighbourhoods along the rich to poor social-spatial spectrum which cover the 5 categories and include the major types of neighbourhoods in the city.

SHLC has set out to understand cities as a whole and not only to focus on the disadvantaged areas or slums which have often been the subject of research or urban policy. Ideally the 5 parts of the ‘rich to poor’ spectrum should each aim to capture about 20% of all neighbourhoods in the city, i.e. we are creating a spectrum of neighbourhoods, not a spectrum of income groups or population segments, as neighbourhoods are the unit of analysis. Some teams may find difficult to do this, as there is no complete list of all neighbourhoods, in a good ranking order, for the case study city. To ensure our study covers the full spectrum, we need to find practical ways to move forward.

We accept that the socio-spatial structure of cities is usually complicated and that there may be socio-economically mixed neighbourhoods or neighbourhoods whose distinguishing feature is not socio-economic (such as neighbourhoods principally defined by ethnic composition or by built environment, for example). The SHLC cities are not all structured in the same way, a factor that lies at the heart of the research we are trying to do. Cities are also dynamic, and there may be neighbourhoods that are difficult to characterise because they are in transition, for example gentrifying neighbourhoods, or neighbourhoods that receive new migrants. Nevertheless, we know from the literature and our own observations that cities tend to divide significantly on broad socio-economic lines and that these socio-economic divisions are strongly related to other features of neighbourhoods such as the provision of services (both public and private), the built environment, and their location relative to other amenities and centres of economic activity within the city. (They may also be related to a range of other socio-economic, health, education, quality of life and political factors which is for the RTP3 package to investigate).

### 5.2 The importance of transparency

Identifying the spectrum of neighbourhoods along broad ‘rich to poor’ lines in a transparent way is central to the rational and the success of the forthcoming RTP3 work- the household survey and qualitative studies of particular neighbourhoods. We need to be able to demonstrate that our selection of neighbourhoods has been done on a reasonable basis in each city so that when we eventually present data derived from the study there will be value in the comparisons and contrasts that we draw between neighbourhoods within and between cities and countries.

As we now know, the possibility to identify neighbourhoods using quantitative indicators in a reliable way exists only in a few cities, therefore the exercise of identifying the ‘rich to poor’ spectrum in most cases must draw upon local knowledge. Even where good quantitative data exists and cluster analysis can be carried out to identify neighbourhoods based on latent divisions within the data set, there is still a need to provide verification by neighbourhood visits or other means, and also to ensure a broad ‘rich to poor’ spectrum of neighbourhoods is identified, even if clustering occurs on other factors.

It is therefore important to be explicit about:

- a) the underlying quantitative analysis (where such exists), including the data sources and their manipulation and analyses;
- b) the sources of local knowledge that have been used (likely to include neighbourhood visits/ audits/ ‘ground truthing’, and/or consultations with city officials, planners, property specialists etc.)
- c) the nature of the data that has been obtained from the local knowledge. (In the absence of income and wealth data this is perhaps likely to be a combination of built environment, density, service provision and consumption factors combined with neighbourhood identity and reputational factors including political boundaries but will vary according to location).
- d) the process that was used to of translate the local knowledge data into a ‘rich to poor’ neighbourhood spectrum, including the identification of key variants within each part of the spectrum (see below).

### 5.3 Selecting neighbourhoods for study

As far as possible neighbourhoods from each of the 5 groups should be selected purposively to achieve a good representation for the city. Selections should stand up scientific scrutiny. We should avoid selections based on convenience, personal preference and purely on existing connections. We understand that all the cities are different, it will be hard to apply the same selection criteria.

The following guidance should be followed as far as you can.

Type of neighbourhood	<p>The first priority for selection could be given to type of neighbourhood. Within each rich to poor group, there might be several different types of neighbourhoods, e.g. planned/unplanned neighbourhoods, historical core/new suburban neighbourhoods, formal/informal neighbourhoods, private/public (social) developed neighbourhood, townships/urban villages, race/language/religion, etc. We aim to include the major types of neighbourhoods within the group.</p> <p>We expect each group will include different types of neighbourhoods and not all types of neighbourhoods will be crowded in one group.</p> <p>If there are more than three types of neighbourhoods in a particular group, we select one from each of the most important three types; by important, we mean neighbourhoods that give best representation of the city.</p>
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	<p>If there are more choices, we should avoid small, rare and very unique neighbourhoods.</p> <p>We know there are important differences between the large and small cities in each country, the selection criteria could be different between the two cities.</p>
Scale/Size	<p>If there are a couple of different neighbourhoods within each neighbourhood type, we can select the larger one which normally shows more complexity than the smaller ones. If there are many neighbourhoods, also similar size, in a particular type, we can select the one which represent the 'average' situation in this type of neighbourhoods.</p>
Location	<p>If there are several different sized neighbourhoods within each neighbourhood type, we can give some consideration to the location, for example, centre, inner city or periphery, which may also reflect the age of the neighbourhood.</p>

### The ideal list of selected neighbourhoods:

Our Survey aims a) to provide a good and comprehensive understanding of neighbourhoods and their residents in our 14-case study city; b) enable us to carry out some comparative analysis between cities and countries.

If we can be sure on the followings in terms of neighbourhood selection at this stage, we will be UK.

- The neighbourhoods we selected (up to 15 of them in each city) include the main types of neighbourhoods in the city.
- The neighbourhoods we selected represent the social and spatial spectrum (ranking order from poor to rich) in the city.
- We have assigned each selected neighbourhood to the correct rich to poor group we defined.

This exercise may not necessarily change each team's neighbourhood selection much, but the discussion, careful consideration and form filling enable us all to have a better understanding of the common research process, and the key issues and challenges in cross country comparative research.

**Very Small City:** For small cities where neighbourhood structure is simple and not many neighbourhoods could be found, please select the ones which will give a good coverage of the city. If there are less than 5 groups of rich-to-poor neighbourhoods, please select and assign them to the appropriate groups.

A copy of the form to fill to complete and details of the neighbourhood selections made so far are available on the SHLC Teams site at **Research > RTP3 > NeighbourhoodSelection**.

## 5.4 Final sample selection

[**TODO** – this will be added at a later stage]



## 6 Ethics Approval

In addition to seeking ethical approval from their own institution, where applicable, further information is required by the University of Glasgow's ethics committee. The University of Glasgow has provided in-principle ethics approval to carry out the household survey. However, proposals to enter the field will need additional application on a case-by-case basis in order to demonstrate that the risks related to Covid-19 infection have been properly considered and will be satisfactorily managed.

There will be a great deal of caution around permitting the fieldwork while the pandemic is ongoing, so the proposals will need to be very detailed and specific.

If you want the University of Glasgow to make an application for permission to start fieldwork based on a consultation with the chair of the relevant ethics committee we will require the following information:

**Locations:** Details of the locations to which the proposals refer, noting there may be different risks and guidance in different cities or even between different parts of the same city.

**Guidance:** Copies of the guidance that you are proposing to adopt and details of who has issued it and when. This will need to be in English, so please translate as required. As well as local guidance, the ethics committee will consider international guidance on travel to and within your country to be relevant, such as from WHO. Even though there are no UK researchers involved on the ground, the UK FCO (Foreign and Commonwealth Office) guidance on travel will always be a reference point. Overall, it needs to be clear from the guidance submitted that the activities involved in the fieldwork are consistent with the local and international guidance and the appropriate safeguards stipulated in the guidance are in place.

**Risk assessment:** Ensuring that risks to all parties involved in the fieldwork are identified, properly considered and managed will be key to obtaining permission to proceed. Teams will need to set out who is at risk, what the risks are, how severe they are, how likely each risk is to crystallise and how each risk will be mitigated. In thinking about who is at risk, fieldworkers, support workers, survey respondents and members of the wider community or public are all relevant. It would not be excessive to set this out as a formal risk assessment. Alternatively, it might be sufficient to copy the health and safety protocol that you propose for use in the field, provided it is comprehensive, fully detailed and justified, and makes clear the risks, their incidence and the proposed mitigations.

**Management/ oversight:** It will be necessary to advise who is responsible for ensuring that Covid-19 risk protocols are in place and how compliance and effectiveness will be achieved. It would be helpful to set out any relevant experience and qualifications of individuals or organisations with an oversight role.

**Environment scanning:** You will also need to set out what steps you propose to take to continue to scan for any new guidance as it emerges, on the grounds that the recession of the pandemic that has permitted fieldwork to commence may not be secure. You will need to agree to adjust safety protocols or even curtail field work if your risk assessment is overtaken by new guidance or additional risks.

A form for providing these details is available on the SHLC Teams site at **Research > PoliciesAndProtocols > Ethics** with filename:

**RTP3-AdditionalEthicsRequirementsForEnteringField**

Professor Keith Kintrea ([keith.kintrea@glasgow.ac.uk](mailto:keith.kintrea@glasgow.ac.uk)) is available to advise if you have queries.

## 7 Fieldwork Tools

This section provides details of the fieldwork tools country teams should prepare in advance of starting the pilot. This covers country-specific survey questions, values for the race/ethnicity question in the survey, consent form and participant information sheet, fieldworker aids, support and advice sheets, and a calling card. Details for translating the household survey itself are provided in the next section.

### 7.1 Country specific questions

All country teams can add roughly 6-8 country-specific questions to the survey. This is a rough figure as the overall goal is to keep the survey within 40 minutes. Any additional questions added should not make the average survey go over this time-limit. So there is more room available for adding quick-fire short questions that do not require much time to ask or clarify responses.

When creating country-specific questions please also provide proposals for variable names and any instructions/information provided for fieldworkers. Examples of these can be found in the **RTP3 Household Survey Questions and Definitions** document.

Country-specific variable names should be prefixed with the two-letter international code for the country and numbered sequentially based on the order they will appear in the survey. Where a question is relevant to an existing section it is possible to place the question within that section – however, please still name the variable based on the country code and sequential number for that country-specific question.

Country name	Country code
China	cn
The Philippines	ph
India	in
Bangladesh	bd
South Africa	za
Rwanda	rw
Tanzania	tz

Guidance for translating country-specific questions is provided in the next section. However, before beginning translation country teams should notify the Prof Ya Ping and Alasdair Stewart with rough translations of the questions they plan to add to the survey.

## 7.2 Race/ethnicity question

For question **hh18\_race\_ethnicity** " Firstly how do you describe your race/ethnicity?" country teams need to specify options relevant for their country. Please create a list of these, translate them where applicable following the translation protocol, and notify Alasdair of these.

## 7.3 Consent form and participant information sheet

The versions of the consent form and participant information sheet that were approved by the University of Glasgow's ethics committee are available in **Appendices 2-4**. **Appendix 2** contains the standard consent form, **Appendix 3** the participant information sheet, and **Appendix 4** a slightly modified version of the participant information sheet as agreed for use in China.

These have been written to be as succinct as possible and provide all the information that is ethically required to ensure respondents are fully aware of what they are agreeing to and what the research involves. Country teams should translate these into the target language for the survey in their country whilst maintaining the overall structure and all the information listed. These do not have to be exact word for word translations, what is most important is that the information is phrased in a way that is easy for potential respondents to understand.

It is also requirement of our funder, and good research practice, to archive the data from SHLC. Good documentation is a necessary part of this and where there are multiple translations it is good practice to also include translations of the participant information sheet and consent forms. This provides useful background material for secondary analysts as well as helps demonstrate the robustness and ethical standards followed by the research.

Please upload copies of the translated versions of these to the SHLC Teams site in the relevant folder - **Research > RTP3 > HouseholdSurvey > Translations**. The filename should use the country's two-letter international code at the start:

Translation	When	Filename
Participant information sheet	Before pilot	gb_ParticipantInformationSheet.doc
Consent form	Before pilot	gb_ConsentForm.doc

## 7.4 Fieldworker aids

Country teams may also wish to create a single A4 sheet with information to aid fieldworkers where they think there may be any difficulty in coding responses within their country. For example, in the household matrix we ask what level of education each household member has completed. Respondents may not know whether their qualification is considered technical / vocational, college, or university – especially where the provision of these forms of education may be provided by the same institutions. In such circumstances, a short list of the main forms of qualification grouped by whether they should be coded as technical /

vocational, college, or university would reduce potential errors arising in the field where both respondent and fieldworker are unsure how the qualification would be classified.

## 7.5 Support and advice sheets

Given the nature of our research it is likely we will be interviewing participants who are experiencing significant financial hardship and stress. This can range from difficulties finding money to buy food, mourning the loss of a family member, experience of gender-based violence, or at risk of becoming homeless. Our questions covering these issues may also be difficult for participants to answer and discuss, leaving them more concerned and upset about their situation.

Fieldworkers, however, should not be providing direct advice to participants as this poses significant ethical and legal problems. We are not, and cannot be expected to be, experts on all areas covered by our research. Well-meaning advice that is inaccurate may also worsen participants' difficulties. Instead, we should sign-post participants to relevant organisations and support services.

Signposting should happen at different stages of the interview:

- The list of support organisations should be included at the end of the participant information sheet
- Participants should be reminded of the list of organisations when closing the survey, focus group, or interview
- If a participant has shown distress in relation to a specific issue, the fieldworker should directly highlight the relevant organisations that the participant may want to contact. If there is a break during an interview as a participant has shown distress relevant organisations should also be highlighted to the participant before resuming the interview.

### Drawing up a list of support organisations

**Appendix 6** has a shortened example of a sheet used for research on the experience of claiming welfare benefits in the UK. This shows a rough template of the types of organisation that were considered relevant for participants in the research and the information provided to them.

In-country teams should assess what issues are relevant based on the survey, focus group, and interview questions and what issues people in each neighbourhood may be dealing with. They should then assess what services are available and accessible for residents of each neighbourhood included in the fieldwork.

Support organisations can include:

- Financial support and advice services for people in debt, struggling to pay bills, or eat
- Legal advice services for people having difficulty accessing state benefits and other services
- Housing support services helping people who are homeless, experiencing trouble with their tenancy – including threats of eviction, or having difficulties with their mortgage payments

- Mental health support services helping people who have mental health problems or are currently struggling with high levels of stress.
- Domestic abuse organisations providing advice and refuge for people experiencing domestic violence or abuse.

The most appropriate organisations will vary based on the structure and what is available in each country, city, and within or near the neighbourhood. Additionally, there may be issues specific to each country with relevant support organisations that are worth including – such as organisations for people impacted by a natural disaster or dealing with impact of Covid-19. In Glasgow, for example, there are local self-help groups that will deliver shopping for people who are self-isolating.

For some neighbourhoods, it may be worth prioritising support organisations that have local office addresses over national telephone lines. Especially, in areas with high rates of illiteracy where local maps, description of location in relation to local landmarks, and street-level photos would be more appropriate. Additionally, where possible it is worth including two organisations that cover each of the areas.

Once services have been identified, a support organisation contact sheet for each neighbourhood should be drawn up including at least:

- Name
- Description of service provided by the organisation

And at least one, preferably multiple, of the following details:

- Telephone number, include opening times where these apply
- E-mail address
- Address for local office
- Street-map marking location of organisation with street-level photo

It is also beneficial to include any logos the organisation uses.

## 7.6 Calling card

**Appendix 5** has a calling card template that can be used during fieldwork. Details such as the level of formality (“Dear Sir/Madam” vs “Hello”) and making clear the international aspect of the research can be modified to suit the local social and cultural context. This is a rough template, please feel free to add organisation logos and customize the text formatting.

The main details to include are:

- Who you are and which organisation you are from
- Introduce that it is a household survey, with either national or international details
- Why you are looking to speak to them / a random member of their household
- The benefits of the survey
- That the survey is voluntary and confidential
- How they can contact you
- (Option) where access to telephone and e-mail may prove difficult, teams may want to find local community centres, hubs, or similar organisations who can pass on messages to the research team.

## 1.1 Monitoring / Feedback Sheets

**Appendix 7** has a template monitoring / feedback sheet for the pilot that teams can adapt for doing the survey fieldwork.

In-country teams should setup their own monitoring processes for recording the success rate for arranging interviews and provide fieldworkers with any tools/paperwork for recording this information. For example, recording the number of dwellings approached and for each dwelling:

- whether it was a dwelling or something else
- whether anyone answered the door
- whether they interviewed anyone at the dwelling
- how many visits it took to arrange an interview
- any reason given a selected respondent was unavailable to interview
- any reason given where a respondent declines to participate

This will help us identify any issues emerging and whether we are having difficulty arranging interviews in particular areas and with certain types of respondent. Fieldwork teams should also have regular debriefing meetings to discuss these issues.

## 8 Household Survey Translation Protocol

Ensuring accurate translation is critical for many aspects of the work for the GCRF Centre for Sustainable, Healthy, Learning Cities and Neighbourhoods (SHLC). The fieldwork instruments for SHLC aim to generate a unique comparative dataset on neighbourhood sustainability, education, and health. Fieldwork is taking place in 14 cities across seven countries – with up-to 15 neighbourhoods in each city. We therefore need to ensure that the fieldwork tools are consistent across each of our fieldwork locations and each questions easy for participants to understand.

Documents requiring translation include: household survey, focus group schedules, consent forms, participant and information sheets. In translating these documents, it is crucial we avoid unintended transformation in the way the questions and information in them are understood by both researchers and participants. This is particularly important for the Household Survey. This protocol sets out key roles and procedures, following best practice recommendations, to promote consistency in the approach to translation and verifying its accuracy across the project.

### 8.1 Team-Based Conceptual Translation

When translating the household survey we are not seeking a word for word translation but a translation that a lay person can easily understand and retains the *conceptual meaning* of the original documents. For example, the Polish phrase ‘kot je’ can literally be translated word for word as ‘cat eats’ but a more natural English phrasing of the translation would be ‘the cat is eating’. Similarly, a word can often be translated in multiple ways, such as when asking someone “How often do you meet your neighbours in the street?”, the verb ‘meet’ in Polish could be “spotykać” or “spotykać się” depending on whether the meeting is by chance or by arrangement. The single word “się” radically changes the meaning of the sentence and whether it should be added or not depends on the conceptual meaning of the original English. It is *crucial*, therefore, that we ensure the *consistency of conceptual meaning* across translations.

Therefore, we are adopting a *team translation* method where focus is given to the key terms used and what the survey questions aim to measure. There are multiple roles involved in team translation, which are as follows.

#### Translation Coordinator

Each in-country team should appoint a Translation Coordinator. This person will oversee the translation and adjudicate where there are disagreements in translation or recommended changes arising from review / testing.

- Senior member of the in-country team
- Fluent in target language and English
- Understands the key concepts and intents of the survey questions

#### Translators and Reviewer(s)



These should be a mix of both professional translators and research team members involved in translation. There should be at least one Reviewer who will help review the translations produced by the translators.

- Fluent in target language
- Fluency and *experience* working with English
- [Research team members] Understands the key concepts and intents of the survey questions

Where there are not enough qualified team members to aid the translation, the Translation Coordinator can also act as the Reviewer.

## Specialists

The Research Fellows at the University of Glasgow were involved in the finalisation of the survey questions and preparing the documentation to aid translation. Whenever it is unclear how to translate a particular phrase or there is strong disagreement on how to translate it, the Glasgow Research Fellows are available to assist. Especially, Yulia Nesterova and Ramjee Bhandari can aid in providing conceptual clarity and the intended meaning for the education and health sections of the fieldwork tools respectively. Please also notify Alasdair of any issues and their resolution so that the documentation can be updated to help other teams.

## 8.2 Overview of the Translation Stages

The Team Translation model incorporates five stages referred to by the acronym **TRAPD**.

1. The fieldwork instruments are **translated** separately by two individuals/teams.
2. The Translators and a Reviewer meet to **review** the two draft translations and create an agreed single version of the translation.
3. An **Adjudicator** (the translation coordinator) compares the agreed translation from the review meeting to the original fieldwork instrument and proposes any necessary changes to create an adjudicated translation. They also make executive decisions on any disagreements or issues highlighted by the review meeting.
4. A **pretest** of the translation (focus group and survey pilot) is conducted. Feedback from the testing is then used to create a final version of the translation.
5. Throughout the translation process each step (draft translations, minutes of review meeting, decisions made by adjudicator, pretesting report, and final translation) is **documented**.

## 8.3 Translating the Household Survey

The final agreed version of the RTP3 Household Survey is available on the Microsoft Teams site at **Research > RTP3 > Household Survey**. Translations should be based on this version. Some of the questions use standardised instruments / questions used in previous surveys that may have existing translations. However, to start with please still follow the protocol for these questions and create translations. Then at the review meeting include the existing translations when creating the agreed translation for adjudication.

The Glasgow team have produced documentation for each survey question providing a short statement on what each question measures, definition of key terms, and examples of how to

code potentially tricky answers. These are available in the **HouseholdSurveyDefinitions** document with each question separated into its own section. An example is provided below.

**Question ee18:** Are you able to borrow money from a financial institution if you need to?

- 1 - Yes
- 2 - No

**Instructions:** Read question, record single answer

**Variable code:** ee18\_financial\_access

**Variable Description:** Can access a loan from a financial institution.

#### **Definitions:**

Loans include mortgages, credit cards, bank overdrafts, and so on.

Financial/banking institutions providing loans include corporations such as banks, building societies, credit unions, and mortgage companies. NGOs and public loan programs are also included.

Not included are loans from friends, family, loan sharks, and other informal borrowing. Loans obtained over peer-to-peer lending platforms are also not included. Record 'No' in these cases.

Reasons a person is unable to borrow money include no financial institutions nearby, disqualified (poor credit history/previous bankruptcy), not permitted to take out further loans until current loan is paid off, or ineligible due to unemployment/low income.

Two separate translations should be produced by two individuals or, preferably, teams. At least one professional translator should be one of the individuals or part of one of the teams. Each individual/team should work through the **RTP3 Household Survey Questions and Definitions** document writing translations for the questions, values, fieldworker instructions, and any text fieldworkers are asked to read out. Translations should be based on the question intents, underlying concepts, and the available answers rather than seeking word-for-word translation.

Care should be taken when translating answer options where the options exist on a continuum. We have several questions using rating scales such as asking participants to respond from strongly agree to strongly disagree. If visualising these on a spectrum each option is equally spaced with strongly agree and strongly disagree at the far end and neither agree nor disagree in the middle. The same equal spacing should be sought for the way the translations would be understood by participants. The same applies for questions with scales such as those offering five values ranging from all of the time to none of the time. Please ensure equal spacing in the intensity of each option is retained in the translation.

*It is imperative that the survey questions are understood the same across all our countries. Any slight change in meaning due to translation or unclear phrasing means we are effectively not asking the same questions in each country. When considering a translation of a key term*

or question option, consider what the term includes/excludes - discuss amongst the team whether there is agreement on these. Wherever there is any doubt in how to translate a question, the team is unsure of what is included or excluded by a key term/option, or any of the questions/definitions are unclear, please notify Alasdair Stewart and he can consult the wider SHLC team and policy area specialists and update the relevant documentation.

Similarly, if during translation it becomes clear that the phrasing / options do not capture people's experiences in your country please flag this with the wider team rather than changing the meaning of the question or adding new options.

Depending on the survey software used by your team, it may also be possible to incorporate the definitions, so they are available to aid fieldworkers. Where this is the case you may also want to translate the definitions. *These do not need to go through the same full two translations process as with the questions and values, but should still go through a review process.*

## 8.4 Pre-Testing and Piloting of the Translation

The household survey pilot will provide an opportunity to also test the translations and identify any issues. The post-survey forms for the pilot contain sections for highlighting any such issues. As well as noting down any questions where it was clear to the fieldworker that the participant did not easily understand the question, fieldworkers at the end of each survey should ask the participant whether there were any questions they were unsure about. Similarly, where a fieldworker had to rephrase a question to help a participant understand it, at the end of the survey ask the participant what it was about the question that they found hard to understand.

Where resources are available teams should also look to do a focus group with 6-10 people who would be eligible for taking part in the survey. The focus group does not need to cover all of the questions, and the team can identify a selection of questions they feel would be most appropriate to receive feedback on. Focus group members would then be asked how they perceive and understand the questions, the answer options, and any uncertainties they have. The responses to this should be compared with the original English question intents and definitions. Questions with a continuum of options are good to test with a focus group to see whether participants place examples in the same category as intended by the original English question.

## 8.5 Translating Country-Specific Questions and Values

All country teams can add around six to eight questions to the household survey. Please follow the same translation, review, and adjudication steps for producing English translations of the questions and values. Additionally, please, produce English variable definitions that describe what the variable measures. Existing variable definitions for the common household survey questions can be found in **RTP3 Household Survey Questions and Definitions** document. English translations must be produced and shared with the whole team before any fieldwork begins. There is also a question, [hh18](#), that requires in-country values, please also provide English translations of these.

## 1.2 Back Translation of WHO-5 Questions

The WHO-5 questions, **he02** in the final version of the survey, also require an English back translation for each translation.

This should be complete by an independent translator, i.e. someone not involved in the original translation process, whose native language is English and who has no knowledge of the questionnaire.

As with the initial translation, back translation should be on a conceptual and cultural equivalence and not linguistic equivalence. Discrepancies should be discussed with the translation co-ordinator and further work (forward translations, discussion by the translation panel, etc) should be iterated as many times as needed until an agreed translation is reached that resolves any issues and discrepancies identified.

Back translation is a requirement of using the WHO-5 questions and we must include these back translations within our project documentation when archiving. **Teams must not proceed with fieldwork until back translation has been complete.** Please contact Ramjee Bhandari, and cc in Alasdair Stewart, if you require any further details on this process.

Teams may optionally do a back translation for the rest of the survey to ensure the robustness of their translations.

## 8.7 Documentation

It is a requirement of our funder, and good research practice, to archive the data from SHLC. Good documentation is a necessity to demonstrate the robustness of the research and help orientate secondary analysts. Where fieldwork instruments were translated into multi-languages, it is considered best practice to archive all the translations. Please upload copies of the versions of the translation that will be used in the field to the SHLC Teams site in the relevant folder - **Research > RTP3 > HouseholdSurvey > Translations**. Use a similar formatting to the one used in the **RTP3 Household Survey Questions and Definitions** document providing translations for questions and values. Alternatively, if your team is comfortable working with YAML, Alasdair Stewart can provide you with a template to follow that we will be using for our project documentation. Translations for definitions do not have to be provided – also do not worry about including routing, validation rules, etc. However, you may want to include the latter if you do not plan on using REDCap (see next three sections for details).

Please also include documentation for country-specific questions in English in a separate document including the variable code, question, values, interviewer instructions, and any routing and validation rules used for them.

The filename should use the country's two-letter international code at the start – if using YAML the file extension can be named .yaml or .yml:

Translation	When	Filename
Pilot survey translation	Before pilot	gb_HouseholdSurveyPilot.doc

Country-specific pilot questions translation	Before pilot	gb_CountryQuestionsPilot.doc
Final survey translation	Before fieldwork for full survey	gb_HouseholdSurvey.doc
Country-specific final questions translation	Before fieldwork for full survey	gb_CountryQuestions.doc
WHO-5 back translations	Before fieldwork for full survey	gb_WHO-5.doc

For archiving, we also need to provide translations of the participant information sheet and consent form. Please upload them to the **Research > RTP3 > HouseholdSurvey > Translations** folder with the following filenames:

Translation	When	Filename
Participant information sheet	Before pilot	gb_ParticipantInformationSheet.doc
Consent form	Before pilot	gb_ConsentForm.doc

Where multiple translations are to be used add those to the end of the filename – e.g. gb\_HouseholdSurveyPilot\_English, gb\_HouseholdSurveyPilot\_Polish, etc.

## 9 Survey Software

This section outlines why the use of survey software is the preferred option for data collection for the SHLC household survey over the use of pen and paper interviewing. It also details the pros and cons of the SHLC REDCap server that is administered from the University of Glasgow. Finally, it details considerations for country teams where using the SHLC REDCap server is not a viable option for them.

### 9.7 Computer-assisted personal interviewing

The use of computer-assisted personal interviewing (CAPI), *is the preferred option for data collection for the SHLC household survey*. CAPI software enables the use of tablets, smartphones, and laptops for survey data collection. Most also perform validation checks on data entry and handles the synchronisation or merging of responses from individual devices into a centralised database. This vastly minimises data entry time and reduces possible data entry errors.

Additionally, most CAPI software can provide automated reports and live statistical summaries of the data collected so far allowing us to monitor fieldwork progress and spot any issues early. For example, it can flag early whether we are oversampling sampling men whereby we can then check with fieldworkers if there is a reason for this and adjust our recruitment protocol accordingly.

*Pen and paper interviewing (PAPI) should be avoided where possible* and used where devices fail in the field due to empty battery, hardware damage, and so on. As well as the SHLC REDCap server detailed below there are many free CAPI solutions available – most built on the [Open Data Kit](#) project. Alasdair is on hand to help with the setup of survey software and provide training to fieldworkers. Where your team decides not to use REDCap please see the next section for guidelines in setting up the survey and database.

### 9.8 SHLC REDCap server

We are *recommending* country teams use [REDCap](#) for gathering survey responses. A REDCap server for SHLC is being setup by the University of Glasgow IT. An English version of the survey will be added to the server using the database structure, variable names, routing, and validation rules specified in **RTP3 Household Survey Questions and Definitions** document.

Having a centralised server provides a number of benefits:

- University of Glasgow IT administer the server taking care of security, backups, etc.

- Glasgow will setup the survey with all the routing and validation rules, meaning country teams do not have to worry about doing this themselves.

- We can setup the structure of the survey and database and each team can then add their translations without affecting the underlying survey and database structure.

We can add country-specific questions to the same survey and use routing to ensure they only display for fieldworkers in that country.

REDCap provides free Android and iOS apps that can be used on mobile phones or tablets.

The apps allow responses to be collected off-line and submitted later once fieldworkers have a reliable internet connection.

All data stored on the app is encrypted. The app uses a secure encrypted connection to transfer data to the server. Where multiple people are using the same device separate user accounts can be set up with users unable to access each other's data.

Paper versions of the survey can be printed matching the layout of the questions in the app making manual data input easier.

Alasdair will be creating guides for adding translations, setting up the app, and using the app.

The more countries that use the SHLC REDCap server the better live picture we will have of how fieldwork is progressing and able to spot any emerging trends or issues.

The main downsides are -

The iOS app reportedly has issues with older devices. Team members in Glasgow will be testing the app across the devices they own and making a list of what works / doesn't work. Please also notify Alasdair which devices your country team have tested so we can maintain a centralist list of devices teams can use.

We understand in some cases contractors may insist on using their own software.

We cannot store any data on the SHLC REDCap server that would make the data subject to GDPR - please see **Section 9** of the **General Data Management Plan** for further details.

## 9.9 Self-Hosting REDCAP

One limitation of a centralised server based at Glasgow is that we cannot store any data that would make our data subject to GDPR. Where teams as part of their country-specific questions want to capture additional data that can be used to easily identify participants, such as the geolocation of their dwelling, they will have to either collect this data separately or setup their own server.

In the latter case, country teams should in the first instance ask their institution to setup a REDCap server. REDCap is free to use for non-commercial data collection. Universities and other non-profits can sign-up to join the REDCap Consortium of partners to gain access to the server software. Glasgow can then export a copy of the survey structure that can be directly imported to your own server removing the need to set this up – and ensuring we maintain the same structure across the servers. Country teams can then modify it to add in their own questions.



If your team decides to self-host REDCap please contact Alasdair for a copy of the file with the survey and database structure. Add country-specific questions, using the English translations, and then add in the target language translations for all questions. Please then add some dummy data and export a CSV of the dataset to the SHLC Teams site at **Research > RTP3 > Data > CountryHouseholdSurvey** with filename **[international country code]\_dummy.csv**.

## 9.10 Alternative Survey Software

Now that University of Glasgow IT are providing us with a server for running REDCap, *we are recommending country teams use it where possible.*

Where it is not possible to use the SHLC REDCap server or self-host a REDCap server at your institution, then *we are advising teams consider the [OpenRosa](#) ecosystem of open source survey software.* All of these use the same XLSForm format for storing the survey structure, routing, and validation rules. This means once one country team has setup the survey and database we can share the XLS file so other country teams only need to add their translations.

In particular, from this ecosystem we recommend teams use [KoBoToolbox](#). It is a free and open-source solution providing an online tool for creating surveys, including adding translations, and Android apps for data collection. Even where teams are not using KoBo the online survey creation tool can be used for setting up the XLSForm for survey and database structure and adding translations that can then be imported into other software.

Surveys can either be hosted on KoBo's own servers or teams can setup their own server at their institution. However, please be aware that data on KoBo's servers are not encrypted by default and additional security measures must be put in place.

There is a wide array of other CAPI solutions available. However, there should be a clear rationale for why a country team is choosing to use this over REDCap or software within the OpenRosa ecosystem. There is a lot of variability with other software in regards to pricing schemes, overall estimated cost, operating systems supported, and feature set. Most of the software aimed at tablets and mobile phones are Android only and those for laptops Windows only. Server software is either hosted by the software creators or often requires a Linux/BSD based system.

We are required by ethics to ensure all survey software has *secure connections between the server and devices used in the field*. Additionally, *all data must be encrypted*. Your institution's IT department will be best placed for setting up survey servers. Alasdair though is available to advise of the suitability of any software being considered and any additional settings that you should request your IT department setup.



## 10 Setting up REDCap

[**TODO** – this section will be updated later with step-by-step guidance if any teams confirm they plan to self-host their own REDCap instance]

This section is relevant for country teams self-hosting their own REDCap server. Those using the SHLC REDCap server can contact Alasdair for setting up access for in-country team members. Skip to the next section if you plan to use alternative software.

### 10.7 Self-hosting

#### 10.7.1 *Importing survey file*

#### 10.7.2 *Adding questions*

## 11 Survey and Database Setup

This section is only relevant where country teams are not using the SHLC REDCap server. If you are using the SHLC REDCap server or self-hosting REDCap skip this section. This section covers advice and guidelines for setting up the household survey on your chosen CAPI software.

Given the diversity of how different software implements the same features, much of the below guidance is by necessity written in an abstract way. Alasdair is on hand to assist with helping explain how to implement it in different software.

When adding questions for the household survey please consult the **RTP3 Household Survey Questions and Definitions** document. This contains all the variable codes, questions, interview instructions, values, routing, and validation rules that should be set up.

For example -

**Question** **hm07**: Who, if anyone, is the head of household?

*Enter number*

**Instructions:** Read question, enter number based on household matrix number

**Variable code:** **hm07\_hoh**

**Variable description:** Household matrix member ID for head of household

**Routing:** Do not ask if only one member of household.

**Validation:** Number cannot be greater than the number of people listed in the household matrix

**Definitions:**

Head of household is the person responsible for the main decision making for the household, especially regarding financial issues. Some households though may not regard any member as being a head of household.

Enter 'o' as value where respondent says there is no head of household.

### 11.7 Variable Codes

Variable codes must be used where the software allows you to specify them. These will become the column names in the dataset. Ensuring these are consistent across every country makes it easier to merge datasets together post-fieldwork.

Each variable code begins with a one or two-letter prefix indicating which survey section it is in. For example, 'Location' is 'l' and 'Household Matrix' is 'hm'. Please note below though the additional considerations to make for the Household Matrix section.

Numbering begins from 01 for each section, such as ed01, ed02, ed03. Multi-part questions, for example series on ‘whether you agree or disagree with the following statements’, add a-z. For example, ed01a, ed01b, ed01c. A short variable name is then given separated by an underscore, such as ed01a\_adult\_training, ed01b\_equal\_education\_access, ed01c\_learning\_celebrated. Please use the original English names for these variable codes.

Country specific questions should be prefixed with the international two-letter country code (ISO 3166-1). For example, China is cn and the Philippines are ph.

## 11.8 Household Matrix

How to setup the household matrix will vary greatly based on the features of your chosen survey software. Where it is possible the household matrix it may be easiest to set it up so that it is stored as a ‘repeat instrument’. The software will then create as many entries in the database for household members as are required on a case by case basis.

Where it is not possible to setup the household matrix this way, multiple columns will need to be created for each of the household matrix questions. Prepend each set of columns with **mem##\_** where **##** is the household member number. So the variable for age for the first household member is **mem01\_hm01\_age**. During clean-up of the final dataset these columns can then be transformed into a separate table. Please setup columns from mem01 to mem15.

So that all 15 sets of questions are not displayed for every survey response, routing can be used here (see section below for explanation). One way to do this would be through creating a dummy variable **hm\_number** and before asking the household matrix questions ask respondents how many household members they have. Then use this number to skip any columns above that. For example, if there are 4 household members then skip all **mem05** through to **mem15** questions.

## 11.9 Routing

Routing, also referred to as skip-logic or branching, allows questions not application to the respondent to be skipped. For example, where a household has no children listed in the household matrix it does not make sense to ask them future questions related to children in the household.

All routing is specified in the **RTP3 Household Survey Questions and Definitions** document. The routing is contained in the section for the question to be skipped (e.g. If answered ‘No’ to X question, skip this question’) as most CAPI software requires routing to be specified in this way.

In some cases, complex routing may be difficult or impossible to implement – and you may wish to see if it is possible to implement it instead using validation rules.

Please notify Alasdair if you spot any potential errors or think there are any missing routing.

## 11.10 Validation Rules

Validation rules are any checks performed on values entered to ensure logical consistency. For example, a person cannot be ‘-2’ years old. Similarly, a 1-year old child cannot also be retired. In such cases, where a validation rule has been setup the software will either block the selection of options based on the rules, flag errors when selecting the values, or raise a warning when saving the responses.

Routing should always be used when skipping questions based on previous answers. However, depending on the exact software used some complex forms of routing, such as ‘do not ask X question if no one in household matrix under 18 or answered 0 to questions Y or Z’, may not be possible and it may be possible instead to implement via validation rules.

All validation rules are specified in the **RTP3 Household Survey Questions and Definitions** document in blue text. Please notify Alasdair where it is not possible to add rules specified in the document via routing and validation rules so he can include this in the post-fieldwork data validation script.

Please notify Alasdair if you spot any potential errors or think there are any missing validation rules.

## 11.11 Question groups

Most CAPI software allows questions that share the same values (such as Strongly Agree – Strongly Disagree) to be grouped. This allows you to specify the values once for all the sub-questions. All question groups in the **RTP3 Household Survey Questions and Definitions** document are identified as sharing the same variable code number with a-z appended. Such as **ed11a\_agree\_private\_better** and **ed11b\_agree\_moved\_schools**.

## 11.12 Values Labels

It is common in survey software to separate ‘values’ and ‘value labels’. Values are numbers representing each of the possible answers for a question and labels the actual text. So, for example, for **hmo2\_gender** the first option “1 – Female” the value is “1” and the label “Female”. The values and labels for each question are listed in the **RTP3 Household Survey Questions and Definitions** document. Please ensure you keep these the same when setting up the survey.

The preference for datasets to upload to the SHLC Teams site is the number values. This will make merging and validating the final dataset much easier. Where it is not possible to add to do this, please export the dataset using English versions of the labels.

However, some software does not support multiple translations or exporting number values. Where possible this software *should be avoided*. Where this is unavoidable, please prepend each label with its value – for example literally type in “1 – Female” as the question option. Doing so will make it easier to write a script that can grep the numbers at the start of each label to homogenise and merge the data. Additionally, the question **hh18\_race\_ethnicity** “Firstly how do you describe your race/ethnicity?” will require country teams to provide values relevant to their country. Confirm the value numbers for these with Alasdair.

## 11.13 Shared Values

It is standard practice in surveys to use consistent codes for specific forms of data such as missing values, where a question was not applicable for the respondent, where a respondent refused to answer a question or didn't know the answer, or an 'other' option was selected. This aids in analysis where such values can then be easily excluded.

For our survey the shared codes are -

-9 – Missing

-8 – Not Applicable

-2 – Declined to answer

-1 – Don't know

97 – Other

The first four are negative numbers given we have questions where an integer is entered (age, number of children in state schools, household income, etc) where we want to make sure we do not confuse actual answers with one of these codes. 'Other' retains a positive value as it is only a valid option for questions with specified options.

Some software may enforce numbering and not allow the use of the above shared codes. Again such software *should be* avoided. Where that is the case please flag it with Alasdair so he can account for it in the dataset merging script.

## 11.14 Unique identifier / Main primary identifier

A unique identifier / main primary identifier is a variable (or, less commonly, a combination of variables) that uniquely identifies each survey response. In its most minimal implementation survey software will automatically sequentially number each completed survey response. No two records can have the same unique identifier – and fieldworkers will be warned a record already exists when trying to sync a completed survey that has a value for the unique id already used by an existing survey response.

Where software allows, please setup the unique identifier as a user-generated identifier. Where the software does not allow changing an automated unique identifier, please add a new variable **unique\_id** at the start of the survey instead.

Fieldworkers should use the following format to generate their identifier for each survey response: [fieldworker's initials]-[survey number collected by that fieldworker]. So, if I was conducting my first survey the unique id would be "as-01" and it was Prof Ya Ping Wang's 25<sup>th</sup> survey the id would be "yw-25". Where two or more fieldworkers share the same initials add a-z in the middle. Such as for Alan Smith's 123<sup>rd</sup> interview it would be as-a-123.

## 11.15 Help/Hints

Some questions as well as providing definitions of key terms include details for how fieldworkers should code some answers. For example, “Enter ‘o’ as value where respondent says there is no head of household”. Where the feature exists you can add these as hints for fieldworkers – sometimes also referred to as details, help, or similar phrases. The text will then either display below the question or on pressing an icon (usually a ‘?’ in a blue circle). Depending how comfortable your fieldworkers are with English you may want to translate these.

## 11.16 Start and end times

Some software supports adding automated variables, including ones that mark the start and end time for each survey response. Use these where they exist as it makes it easier to calculate how long the survey took on average across multiple contexts. Where a time format can be specified use “HH:MM:SS”.

## 11.17 Uploading Survey Schemas

Where country teams use any software within the OpenRosa ecosystem they should upload a copy to **Research > RTP3 > HouseholdSurvey > SurveySchemas**. The filename should be the country’s international code followed by “\_SurveySchema\_[version].xls”. This will allow other country teams using compatible software to add their translations and retain the same survey and database structure.

# 12 Paper copies of the survey

There are a few additional considerations to make when using paper copies of the survey. The most important of which is to check whether the CAPI software your country is using automatically generates a paper copy.

We have a template paper version of the household survey available on the SHLC Teams site at **Research > RTP3 > HouseholdSurvey**. This was designed for compactness to prevent fieldworkers having to lug around heavy bundles of paper. However, this design may prove an issue as its compactness makes it harder to read. Additionally, both the software and paper versions of the survey must be updated to reflect any changes during and post-pilot. Given how fiddly complex formatting can be in Word depending on the scope of the changes this can become a labour-intensive task.

Country teams, therefore, may wish to instead use the paper version of the survey generated by the software. REDCap offers this feature and where teams are using the SHLC REDCap Server we can easily create PDFs of the survey in English and any of the translations that have been added. This removes a lot of the labour involved in updating the survey in two locations – as well as reduces the chance of making mistakes when adding changes.

A further benefit is that the paper copies often replicate the layout and design of the questions as they appear in the app. This makes it much easier for fieldworkers to manually input paper survey responses and reduces the potential for mistakes.

## 12.7 Data entry screens for manual data entry

Whilst manually entering paper surveys using the app is fine for a small number of surveys. It can become tedious when entering a large number. Some CAPI software, therefore, also provide a dedicated data entry screen / form to make it easier to batch enter paper survey responses using a keyboard.

Due to the labour-intensive nature of manual data entry, it is common to use the codes (number values) to represent the values when doing this, such as 1 = Male and 2 = Female. Codes can then be entered for a variable and tab / enter / left or down arrow used to move to the next variable.

This greatly reduces time taken to enter data and removes potential errors arising from spelling mistakes. It also prevents accidentally entering values in the wrong row or accidentally overwriting values for another participant compared to adding the data in a database view. Whilst not available in all survey software, country teams may want to check whether their chosen software has this feature.

## 12.8 Double-checking paper survey input

Where data from paper surveys are manually entered all entries must be double-checked by a team member other than the person who inputted the data. Whilst this is labour intensive it is standard procedure to minimise the risks of data entry errors. Such errors are common with data entry of paper records, especially where they are being inputted in batches.

# 13 Final Dataset

This section outlines our plans for creating the final dataset that will be shared with all team members on the SHLC Teams site. The goal of the RTP3 Household Survey is to create a rich international dataset that is available to all partner countries for doing in- and cross-country analysis. Additionally, we also want to ensure the dataset is interoperable so that team members regardless of their chosen analysis software can readily import and analyse the data.

Additionally, where teams have been unable to use the SHLC REDCap server we need to ensure that we merge the datasets into a single dataset. The previous sections detailed some of the considerations to make to ensure this is as simple a process as possible and this section outlines how merging will be done and checks made to ensure no accidental lost or transformation of the data.

Finally, this section also outlines our plans for archiving. A key secondary goal is ensuring the dataset is well documented for archiving the dataset at the end of the project. This will help orientate secondary analysts as to what the dataset contains and what each variable measures as well as demonstrate the robustness of our approach to data collection. Archiving

is a requirement of our funding, but it is also good research practice to ensure there is open access to data for future reuse.

### 13.7 Final dataset location

The final dataset will be stored on the SHLC Teams site in **Research > RTP3 > Data > SHLC-HouseholdSurvey**. (Data for the final pilot dataset will be stored in **Research > RTP3 > Data > SHLC-HouseholdSurveyPilot**). This folder will follow the structure of data packages specified by the Frictionless Data standard (detailed below), including copies of the relevant documentation. This dataset should not be directly modified by team members, a copy should instead be moved to a separate analysis folder. Whilst the dataset will not include identifiers please ensure that data is access from secure encrypted devices only.

The data package will include Python and R scripts that will load the dataset, create derived variables, and setup groups for countries, cities, and neighbourhoods. A SPSS file will also be generated and added to the SHLC Microsoft Teams site.

### 13.8 Frictionless Data Standard

The final dataset of RTP3 Household Survey will be stored as a ‘data package’ following the Frictionless Data standard.

The Frictionless Data design philosophy aims towards simplicity and the specifications being both human-editable and machine-usable. Metadata and resources are bundled into a standardised ‘data package’ to increase interoperability and ease of sharing data.

All data and metadata are stored using open standards, with CSV for tabular data and JSON for project-level metadata and table schemas. Relationships between tables can also be specified in the table schema. This will allow the separation of country-specific questions and the household matrix into separate tables that are linked when importing the data package.

A software toolchain is maintained by the Open Knowledge Foundation for creating and validating data packages as well as for working with data packages in R and Python or converting them into SPSS files and SQL tables.

The structure of data packages is extensible for inclusion of additional documentation (such as translated versions of the survey) and scripts used in processing the data.

### 13.9 Uploading country datasets

Where country teams are not using the SHLC REDCap server, we require you to upload copies of your dataset at various stages.

- Before beginning fieldwork country teams should upload a CSV copy of their dataset with 4-5 dummy responses.
- Post-pilot and fieldwork country teams should load a CSV copy of their dataset.



Where country teams have added questions with identifying information the dummy dataset will allow Alasdair to write a script the country team can use to create a version of the dataset that is safe to upload to the SHLC Teams site. Additionally, it will help with writing the script that will be used for homogenising and merging the datasets.

The pilot and full survey versions of the datasets uploaded to the SHLC Teams site must be versions with any identifiers removed. Depending on the software used Alasdair can advise how to export a version without identifiers or provide a script that can remove them from a regular export of the dataset.

CSV is a standard open file format used by most data collection and analysis software, including REDCap and the OpenRosa ecosystem. Please notify Alasdair if your chosen software does not support exporting the dataset as a CSV file.

All these files should be uploaded to **Researcher > RTP3 > Data > CountryDatasets**. The filename should use the country's two-letter international code at the start. Then a designator for whether it is the dummy, snapshot, pilot, or full survey dataset. Snapshots should include the date the snapshot was created at the end.

Dataset	When	Filename
Dataset with dummy data	Before fieldwork	gb_dummy.csv
Snapshot dataset	During fieldwork	gb_snap_150221.csv
Pilot dataset	Post-pilot	gb_pilot.csv
Full survey dataset	Post-field	gb_dataset.csv

Where you are not using the SHLC REDCap server please, where possible, upload copies of the dataset at regular intervals to the SHLC Teams group with filename "gb\_dataset\_[DATE].csv". This will allow us to run additional checks as well as produce automated reports for PIs and Co-Is on the data collected to date for individual countries and the overall project.

## 13.10 Merging, clean-up, and validation

Where teams have not used REDCap for collecting survey responses, a Python script will be used to convert all datasets to CSV, align variable names and labels, and create separate tables for country specific questions so they can be merged. Where a dataset requires several steps to homogenise it with the rest, the script will also be used to select a random 1% sample of data for manual checks. Country teams will then double-check this against the original datasets to ensure no data loss or errors occurred from the conversion and merging.

Python scripts will also be used to validate the final dataset and produce reports. Goodtables, a framework for validating tabular data based on the Frictionless Data standard, will be used to check the overall structure of the data and check its contents are valid against variable metadata. Most of these checks are automatic based on the specified metadata, but further checks will be manually added – especially where complex routing and validation rules were not possible within all survey software used.

Reports for the overall dataset and for each country dataset including the country-specific questions will also be generated. Goodtables will also be used to generate reports from the validation checks and any identified errors. Additionally, the pandas-profiling library will be

used to generate interactive reports of the data including missing values, value counts, histograms, etc. Errors identified by these reports will be passed back to country teams to check.

**Pilot:** A crucial aim of the pilot is to identify any questions that may require tweaking or replacing. Once we have the data this also includes checking whether questions are providing data that can identify differences across the neighbourhoods. Where a question fails to do this we may want to consider tweaking the question or replacing it. In addition to the histograms and summary statistics, the script for the pilot will also include simple analysis of country and neighbourhood differences for variables. Please notify Alasdair if there are any further checks you want to include for any variable or combination of variables.

### 13.11 Documentation for archiving

As noted elsewhere in the document, we need to include the following in the documentation when it comes to archiving the final data -

- All translated versions of the household survey
- Back translations of the WHO-5 questions
- English translations of the country-specific questions, including variable descriptions
- All translated versions of the participant information sheet and consent forms/protocols

Please upload these documents to the specified folders at the earliest opportunity.

## 14 Key Documents / Data for Upload

This section is a short summary of the key documents and data to upload to Microsoft Teams.

### 14.1 Translations

**Before commencing fieldwork**, please upload copies of all translations that will be used in the field to the SHLC Teams site in the relevant folder - **Research > RTP3 >**

**HouseholdSurvey > Translations**. Use a similar formatting to the one used in the **RTP3 Household Survey Questions and Definitions** document providing translations for questions and values.

Please also upload a document with English translations of any in-country questions added to the survey – including the variable code, question, values, interviewer instructions, and any routing and validation rules. Please also provide English translations of any definitions for country specific questions. Finally, please upload back translations of the WHO-5 questions.

The filename should use the country's two-letter international code at the start:

Translation	When	Filename
Pilot survey translation	Before pilot	gb_HouseholdSurveyPilot.doc
Country-specific pilot questions translation	Before pilot	gb_CountryQuestionsPilot.doc
Final survey translation	Before fieldwork for full survey	gb_HouseholdSurvey.doc
Country-specific final questions translation	Before fieldwork for full survey	gb_CountryQuestions.doc
WHO-5 Back Translation	Before fieldwork for full survey	gb_WHO-5.doc

For archiving, we also need to provide translations of the participant information sheet and consent form. Please upload them to the **Research > RTP3 > HouseholdSurvey > Translations** folder with the following filenames:

Translation	When	Filename
Participant information sheet	Before pilot	gb_ParticipantInformationSheet.doc
Consent form	Before pilot	gb_ConsentForm.doc

Where multiple translations are to be used add those to the end of the filename – e.g. gb\_HouseholdSurveyPilot\_English, gb\_HouseholdSurveyPilot\_Polish, etc.

## 14.2 Datasets

**Before commencing fieldwork**, where you are not using the SHLC REDCap server please upload a dummy dataset (a dataset with 3-5 fake responses).

**During fieldwork**, where appropriate – such as once a month - upload a snapshot of data collected to date.

**ASAP after fieldwork**, upload a copy of the full dataset.

All these files should be uploaded to **Researcher > RTP3 > Data > CountryDatasets**. The filename should use the country's two-letter international code at the start. Then a designator for whether it is the dummy, pilot, or full survey dataset. Snapshots should include the date the snapshot was created at the end.

Dataset	When	Filename
Dataset with dummy data	Before fieldwork	gb_dummy.csv
Snapshot dataset	During fieldwork	gb_snap_150221.csv
Pilot dataset	Post-pilot	gb_pilot.csv
Full survey dataset	Post-field	gb_dataset.csv

## 14.3 Survey Schemas

Where teams are not using the University of Glasgow REDCap server please upload the survey schema (for example, if using Kobo the XLSForm) to the SHLC Microsoft Teams group, and notify Alasdair.

These files should be updated to **Research > RTP3 > HouseholdSurvey > SurveySchemas / CountryName**.

# Appendix 1 - Safety and Debriefing Protocol

## Introduction

This protocol sets out the requirements and procedures that apply for all team members when undertaking fieldwork for the GCRF *Centre for Sustainable, Healthy, Learning Cities and Neighbourhoods*. Country teams are free to modify the protocol to suit their working practices, but should adhere to its overarching principles to ensure fieldworker safety.

Where possible fieldworkers should enter each neighbourhood as a team, with fieldworkers operating in pairs for conducting surveys.

It is important all team members, including line managers who are not going into the field, read and understand this document prior to fieldwork commencing. All team members are also recommended to read and familiarise themselves with the UK Collaborative on Development Research's *Safeguarding Resources*, available at: [ukcdr.org.uk/guidance/safeguarding-resources/](http://ukcdr.org.uk/guidance/safeguarding-resources/).

It is understood that lone working is more culturally appropriate in some cases to ensure participation in the survey. On other occasions, such as conducting additional one-to-one qualitative interviews, fieldworkers may be working alone. In such scenarios please refer to the lone working section below.

Each country team should appoint a Fieldwork Safety Officer with overall responsibility in ensuring the safety protocol is followed, assign leads for household survey teams with responsibility for safety when out in the field, and assign a named contact responsible for the safety of any lone fieldworkers.

## Household survey teams

Where appropriate within the country context, fieldworkers should operate in pairs. Each in-country team should draw up a table that sets out the survey team members and assign each team a Fieldwork Contact. This can be a Principal Investigator (PI), line manager, or another fieldworker who will be easily contactable when fieldworkers are out conducting surveys. The contact should know the starting locations and area each pair is covering each day, as well as the time they should finish. All team members should have the mobile phone number for their contact in case of any issues and notify them when starting and finishing for the day. Where multiple pairs are in the same neighbourhood at the same time, a time and place to regroup at the end of the day should be agreed.

Survey teams should agree a place to regroup at the end of the day and to debrief the Team Leader / Fieldwork Safety Officer of any issues encountered in the field.

Below is an example, using names of team members in Glasgow:

Fieldwork Contact	Fieldwork Pairs
Keith Kintrea	Graeme Young Ramjee Bhandari  Gideon Baffoe Sohail Ahmad
Ya Ping Wang	Yulia Nesterova Alasdair Stewart

## Fieldworker contact

Where any team member will be conducting fieldwork in a neighbourhood on their own, each in-country team should draw up a table that sets out the Fieldwork Contact who will be responsible for ensuring the safety for their assigned fieldworkers. Any PIs and Co-Investigators conducting lone fieldwork should also nominate another senior member of the team to act as their named contact. If the named contact is on annual leave, off ill, or otherwise unavailable, it is the responsibility of the researcher to ensure, *before* they undertake fieldwork, that they have an alternative Fieldwork Contact within their institution that can be contacted instead during that time.

Below is an example, using names of team members in Glasgow:

Fieldwork Contact	Lone Fieldworker
Ya Ping Wang	Graeme Young
	Ramjee Bhandari
Keith Kintrea	Yulia Nesterova
	Sohail Ahmad

## Researcher safety

- For focus groups and qualitative interviews, gatekeeper organisations should be asked to filter out any individuals whom they are aware may pose a safety risk when recommending participants.
- Fieldworkers will carry personal identification, where appropriate, and a mobile phone with them when conducting fieldwork. Contact information for their named fieldwork contact and household survey fieldwork team should be stored in their phone prior to commencing fieldwork.
- For one-to-one qualitative interviews, where possible/appropriate interviews should take place in a prearranged location (pre-assessed for safety) where other members of the public or staff are present nearby.

## Lone working

Where household surveys and qualitative interviews are taking place in a participant's home by a lone fieldworker the additional following steps should be taken so that the location of the fieldworker is known to a responsible third party:

- Details of their itinerary and appointment times (including names, addresses, any telephone numbers, numbers of people being interviewed, as well as any overnight accommodation details) must be forwarded by each fieldworker to their named contact prior to undertaking any fieldwork.
- The fieldworker should telephone their Fieldwork Contact on arrival at the fieldwork location, and at regular agreed intervals thereafter.
- Report to their Fieldwork Contact on leaving the location – and, if conducting multiple interviews, confirming when fieldwork has ended for the day. The Fieldwork Contact should call the fieldworker if they have not received a call by the expected time.
- It is the responsibility of the fieldworker to inform their Fieldwork Contact of any changes to their daily itinerary that may occur.

## Fieldwork contact responsibilities

- The Fieldwork Contact will keep telephone numbers for the fieldworker(s) and their next of kin in case they do not report in at the end of the day. If by the agreed time the fieldworker(s) has not called in, it is the responsibility of the Fieldwork Contact to take action by calling the fieldworker(s) and, if necessary, their next of kin.
- Must be available to take calls from their designated fieldworkers during the time they are in the field. They should notify fieldworkers when they are not available so the fieldworkers can arrange an alternative contact.

## Safety concerns

Where a fieldworker is made to feel threatened or uncomfortable by the behaviour of a participant, or feels that the participant is unable to provide informed consent within the interview, then they should terminate the survey/interview at an appropriate point, exit the location, and – where felt threatened – contact their Fieldwork Contact as soon as possible.

**In cases of emergency:** If a fieldworker feels that their safety or well-being is in any doubt, they must remove themselves from the survey/interview as soon as possible. If they cannot exit then they should call their Fieldwork Contact, or another colleague, as soon as possible and use a code word, such as **red file** – for example, “Hi Keith. Please can you have a look in the red file for me?”. The contact receiving this call should ask for the following information and respond appropriately.

- Check the location of the person ‘Are you at ... ?’
- Do you need assistance e.g. another team member, the police?
- Do you want me to arrange someone to come and collect you?

## De-briefing arrangements for researchers involved in safety incidents in the field

- Where incidents occur in the field, initial debriefing will be carried out by the Fieldwork Safety Officer or the fieldworker’s Fieldwork Contact.
- It will be the Fieldwork Safety Officer and the Fieldwork Contact’s responsibility to work with the fieldworker to ascertain if any further actions and any support required by the fieldworker.
- All serious incidents that occur relating to fieldworker safety in the field must be reported by the Fieldwork Contact, as soon as possible, to the Fieldwork Safety Officer and in-country PI. They will record details in a register and bring them to the attention of Prof Ya Ping Wang who will, in consultation with the in-country team decide on changes to the guidance and safety protocols on the project. Prof Ya Ping Wang will then circulate any changes relevant for other countries.
- If violent incidents have occurred which may have some impact on the well-being of the fieldworker, these should be reported to the appropriate university/research institute’s health and safety officer and to the local police force.
- Where the trauma of violence or the threat of violence may require structured support, such as counselling, this should be made available to the fieldworker via their university/research institute.

## Appendix 2 - Standard Consent Form

### Sustainable, Healthy and Learning Cities and Neighbourhoods (SHLC)

#### Neighbourhood Survey: Consent Form

I confirm that I have read and understood the Information Sheet for this study and have had the opportunity to ask questions.

I acknowledge that my participation is voluntary and that I am free to stop taking part in the survey at any point, without giving a reason.

I acknowledge that my name and address will not be retained or entered into any data base, and that I will not be recognisable in any reports that are written about the survey, and that my participation in the survey will be kept confidential.

I understand that confidentiality will be maintained as far as it is possible, unless during the conversation the interviewer becomes worried that someone might be in danger of harm, so that he or she might have to inform relevant agencies.

I acknowledge that the answers I give will be put into a database which will be kept securely until 2032. I understand that the database will also be used by other accredited researchers who will preserve the confidentiality of the information.

I understand that the data will be used to write reports and other publications which will appear in print and on the internet.

I agree to take part in this research study ☐

I do not agree to take part in this research study ☐

Name of Participant .....

Signature .....

Date .....

Name of Researcher .....

Signature .....

Date .....



## Appendix 3 - Participant Information Sheet

### **Sustainable, Healthy and Learning Cities and Neighbourhoods (SHLC)**

#### **Neighbourhood Survey: Information Sheet**

You are being invited to take part in a research study. Before you decide it is important for you to understand why the research is being done and what it will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask us if there is anything that is not clear or if you would like more information. Take time to decide whether or not you wish to take part.

You have been invited to take part because you live in (name of neighbourhood) which is one of around 200 neighbourhoods in 14 cities across seven countries that are covered by the research project.

If you agree to take part, we would ask you to answer some survey questions, which will last up to 45 minutes. The survey is designed to better understand people's living conditions and everyday lives and their use of and satisfaction with services in their local neighbourhood. It will include questions about your household and cover topics concerned with housing, health, education and your neighbourhood.

Your participation is voluntary and you are free to stop taking part at any point without giving a reason.

Your name and address will not be retained and your participation in the survey will not be divulged to anyone outside the research team. You will not be identifiable in the data or in anything we write. We will destroy all records of your name and address when we have put the answers you give us in our data base.

Please note that confidentiality will be maintained as far as it possible, unless during our conversation I hear anything which makes me worried that someone might be in danger of harm, so that I might have to inform relevant agencies.

We will record your answers on a paper form (or on a tablet (wording depending on local approach) and use them, together with the answers that other people give us, to create a data base about this neighbourhood.

The data will be held securely on computer and used by our team of researchers here in (name of country) to write reports and other publications that will appear in print and on the internet.

We will also let other researchers who are part of the same international project use the data. The data will be kept until 2032 and from 2024 it will be available to other interested researchers.

If you wish to see findings from the study, these will be available in 2021 from [contact details of in-country research manager or PI]

[Where there is an ethics authority that has approved the work in the country where the survey is being carried out it will be mentioned here that the work has been approved and who by, with a contact name and email.

In all cases a name and email address for the research participant to contact if they require further details (typically this will be the in-country PI or project manager), and a more senior name plus email will be provided in the event that the participant wishes to complain.]

## Appendix 4 - Participant Information Sheet – China

### Sustainable, Healthy and Learning Cities and Neighbourhoods (SHLC)

#### Neighbourhood Survey: Information Sheet

You are being invited to take part in a research study. Before you decide it is important for you to understand why the research is being done and what it will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask us if there is anything that is not clear or if you would like more information. Take time to decide whether or not you wish to take part.

You have been invited to take part because you live in (*name of neighbourhood*) which is one of 30 neighbourhoods in Datong and Chongqing that are covered by the research project.

If you agree to take part, we would ask you to answer some survey questions, which will last up to 45 minutes. The survey is designed to better understand people's living conditions and everyday lives and their use of and satisfaction with services in their local neighbourhood. It will include questions about your household and cover topics concerned with housing, health, education and your neighbourhood.

Your participation is voluntary and you are free to stop taking part at any point.

Your name will not be retained and your participation in the survey will not be divulged to anyone outside the research team. You will not be identifiable in the data or in anything we write. We will destroy all records of your address when we have put the answers you give us into our data base.

Please note that confidentiality will be maintained as far as it possible, unless during our conversation I hear anything which makes me worried that someone might be in danger of harm, so that I might have to inform relevant agencies.

We will record your answers on a paper form (or on a tablet (*wording depending on local approach*)) and use them, together with the answers that other people give us, to create a data base about this neighbourhood.

The data will be held securely on computer and used by our team of researchers here in China to write reports and other publications that will appear in print and on the internet.

We will also let other researchers who are part of the same project use the data. The data will be kept until 2032 and from 2024 it will be available to other interested researchers.

If you wish to see findings from the study, these will be available in 2021 from [*contact details of in-country research manager or PI*].

[In all cases a name and email address for the research participant to contact if they require further details (typically this will be the in-country PI or project manager), and a more senior name plus email will be provided in the event that the participant wishes to complain.]

## Appendix 5 - Calling Card Template

### **Sorry we missed you.**

I am [NAME] from [NAME OF INSTITUTION], [DESCRIPTION OF INSTITUTION]. We are conducting a household survey in [NAME OF NEIGHBOURHOOD], which is one of around 200 neighbourhoods in 14 cities across seven countries where the research is taking place.

We dropped by your home to see if you / a member of your household would be interested in taking part in our survey. If you take part we would ask you to answer some survey questions, lasting around 45 minutes. The survey will help to develop sustainability, health, and education policy for people living in neighbourhoods like yours. We would like to arrange to come by your home on a day and time convenient for you.

Taking part in the survey is completely voluntary. All information collected in the survey will be kept strictly confidential.

We hope you are interested in taking part. If so, please contact [NAME OF FIELDWORKER] on [TELEPHONE], [E-MAIL], [ADDRESS].

[OPTIONAL] Alternatively, please notify [NAME OF PERSON] at [LOCAL ORGANISATION] at [WHERE TO FIND ORGANISATION].

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## Appendix 6 - Support and Advice Template

If you have been affected by any of the issues raised in the research or feel you require further support or advice the following organisations can help:



### Citizens Advice Service

A network of independent charities in the UK providing free, confidential information on money, legal, consumer, and other problems.

**0808 800 9060**

Available Monday – Friday 9am-6pm



### Money Advice Service

Provides free and impartial advice on money and financial decisions.

**0800 731 4722**



### Samaritans

Offers a safe place to talk at any time about whatever's getting to you.

**116 123**



### Shelter Scotland

Providing housing advice whether you are experiencing homelessness, a tenant, or homeowner.

**0808 800 4444**

## Appendix 7 – Pilot Monitoring / Feedback Sheets

Dwelling allocation number: \_\_\_\_\_

### Recruitment

Was the allocated dwelling actually a dwelling?

☐ - Yes   ☐ - No

Were you able to arrange an interview with someone from the dwelling?

☐ - Yes   ☐ - No

If **yes**, how many visits did it take to arrange the interview?

☐ - 1   ☐ - 2   ☐ - 3

If **no**, were you able to reach anyone at the dwelling on any visit?

☐ - Yes   ☐ - No

What issues, if any, did you have in following the selection protocol to select a household and adult member to interview from the dwelling:

### Where an interview did not take place -

Where someone did answer the door, but you were unable to arrange an interview with the selected respondent, was there any reason why the selected respondent was unavailable to interview?

\_\_\_\_\_

Where the selected respondent was reached but declined to participate in the survey, what reason, if any, did they give for doing so?

\_\_\_\_\_

Where known, what was the selected respondent's age and sex?

☐ - 18-24   ☐ - 25-34   ☐ - 35-44   ☐ - 45-54   ☐ - 55-64   ☐ - 65+

☐ - Male   ☐ - Female

Any other relevant details, for example if unable to arrange due to the respondent's working hours:

### Where an interview took place -

#### Survey Comprehension

What issues, if any, was there in understanding the questions or choosing how to code any of the participants' responses:

(Please include question code numbers)

### Safety / Security

Did you have any concerns for your safety / security at any point in arranging or conducting the interview:

**Reminder:** Please notify your Fieldwork Contact ASAP on any safety issues you encounter.