

*Local Level Institutions*  
*Working Paper No. 2*

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# **THE LOCAL LEVEL INSTITUTIONS STUDY:**

## **PROGRAM DESCRIPTION AND PROTOTYPE QUESTIONNAIRES**

The World Bank  
Social Development Family  
Environmentally and Socially  
Sustainable Development Network  
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# THE LOCAL LEVEL INSTITUTIONS STUDY: PROGRAM DESCRIPTION AND PROTOTYPE QUESTIONNAIRES

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# **PROGRAM DESCRIPTION**

## INTRODUCTION

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Social institutions are the building blocks of development. These institutions — traditional and modern; at the community, local, regional and national levels; and in the public, private and “civil” sectors — are the vehicles through which social change and social action occur. Social capital, as discussed by Putnam and others, is the network of horizontal connections which leads to mutual commitment and trust and enables people and their institutions to function effectively. To be successful, development needs to both strengthen institutions and enhance the social capital on which they depend.

The Social Development Department of the World Bank is undertaking a program of comparative research on local level institutions and social capital. With financial support from the Government of Norway, resources have been used to develop and pilot a core set of questionnaires that collect data on the institutions that function at the local level in the provision of various services, including health, education, agricultural extension, and credit.

This initiative represents a significant effort to increase our understanding of the role of local level institutions in the sustainable development process. It is the first attempt by the Bank to develop a framework for data collection and analysis on local level institutions and social capital, to determine how they are patterned within and between countries, and to evaluate the implications of this information for development.

## RATIONALE AND JUSTIFICATION

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There is a growing interest in local level institutions and social capital. This interest is the result, in part, of converging work on a number of topics of interest to development institutions and the countries they support. For example,

- (a) *Decentralization*: the decentralization of decision making and resources is widely advocated in development circles on the assumption that decentralization helps increase effective resource use and accountability. Relatively little has been done, however, to understand the variety of institutions at the local level to which resources might be devolved, or to understand the circumstances under which one type of institution (public, private, NGO) might be more effective and accountable than others.
- (b) *Community Based Development*: to foster poverty alleviation and improve local level resource management, many programs have supported and encouraged collective action at the local level. However, the context for collective action, the nature of existing institutions which can facilitate it, and the social capital which might be expected to underpin it, are poorly understood.
- (c) *Civil Society*: non-government institutions and the private sector (formal or informal) often provide development goods and services and play a major role in promoting accountability in government, yet the incidence and effectiveness of such institutions in sectors such as health, education, and credit has not been systematically described on a country-by-country basis; and it has not, to our knowledge, ever been looked at comparatively.
- (d) *Social Capital*: case studies such as Putnam's study of Italian communities suggest that social capital is an important facilitator of economic development. Social capital generated through past social and economic activities has been found to accumulate and if properly used, to enhance development effectiveness. What is not clear is how this concept can be expressed in operational terms and fostered in a development context.

## DATA COLLECTION

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The Local Level Institutions (LLI) Study is designed as a comparative study across three countries: Bolivia, Burkina Faso and Indonesia. Data have been collected at three levels: communities, districts and households.

At the level of the *community*, interviews with focus groups of households and with community leaders establish a map of functioning institutions in the community. Three instruments are used:

- Information on community services (health, education, water supply, road maintenance) is obtained through interviews with key informants such as village chief, teacher, health provider, etc. This is supplemented with information on the local economy (principal sources of income), local society (ethnic/religious composition) and local institutions. Recent experience with selected development projects is also discussed.
- The community services are also discussed with groups of households, with as objective to learn the community's perspective on the quality of services, its experience with collective action, and its views on local institutions and development projects.
- For the most important local institutions, interviews are held with leaders, members, and non-members to understand the role of the institutions in the village, their development over time, their main activities, leadership and membership, relations with other institutions and government, and their main strengths and weaknesses.

At the *district* level (defined as the administrative level above the village or community), data are collected about the institutional arrangements for the provision of services and the extent of service coverage. A section also collects information on the general functioning of the district administration and its relation with civic organizations, through interviews with general and sectoral managers at the district level.

The third and critical part of the data collection is a *household survey* which aims to capture households' actual participation in local institutions, their use of the services in question, and information that identifies the welfare level of households and their coping strategies. The questionnaire consists of six sections:

- demographic information on household members
- participation in local institutions
- characteristics of the most important groups
- service provision profiles

- perceptions of community trust and collaboration
- household economy and coping strategies

The limited resources available did not make possible a *sampling framework* such that the studies would be representative of the countries at the national level. Instead, three or four areas were selected in each country (municipios in Bolivia, departments in Burkina Faso, and provinces in Indonesia), which represent different economic, social and institutional environments.

Within each area, 10-12 villages were selected which cover a socioeconomic spectrum in terms of sources of income, level of wealth, level of association, etc. Lastly, within each village, 20-25 households were selected randomly. This leads to a sample size of 1000-1200 households for each country, which is adequate to derive empirical conclusions about the patterns of local institutions and the relation with household living conditions and access to services.

## ANALYTIC THEMES

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The proposed analysis is focused around five analytic themes.

- *The landscape of institutions involved in service delivery: what institutions are out there, what do they do, and what are they good for?* The analysis will provide an inventory of local institutions for each area covered by the study. Institutions can be classified by affiliation and function, origin (community or state initiated), type of organization (formal/informal), and degree of importance to the household. Each of these dimensions can be cross-tabulated with the type of services provided. This will show the relative importance of government, NGO and local organizations in delivering a range of services. For the three most important groups of which a household is a member, further analysis is possible on the extent of active involvement in decision making and internal homogeneity (by kin, age, gender, religion, etc.) of the group, and the relationship to access to services.
- *The relationships between the nature of the state and the form and importance of local institutions.* This analytic theme will rely primarily on the comparative nature of the study. The basic hypothesis is that the form of the state and its role in local development influence the nature of local institutions and their significance for local development. The relationship between state and local institutions can be one of substitution, in which case a greater capacity and role of the state in local service delivery tends to reduce the role local institutions play in delivering services. However, a complementary relationship is also possible, whereby an administratively competent state increases the effectiveness of local institutions by transferring resources to them and encouraging their development.
- *The relationships between social capital and poverty: do poor households have more or less social capital than others? What is the direction of causality between poverty and social capital?* The objective of this analysis is to demonstrate empirically that participation in local associations constitutes social “capital”, which like other forms of capital, contributes to household welfare and to access to services, and reduces poverty. Different aspects of this participation will be examined separately as well as jointly: density of associational life, degree of active participation in decision making, internal homogeneity, membership fees and attendance to meetings. The effects from households’ direct participation in associations will be distinguished from effects occurring at the village level. Since it is likely that there is two-way causality, whereby income level determines in part the likelihood to participate in certain types of associations, econometric methods such as instrumental variables

estimation, will be used in an effort to disentangle different directions of interaction between variables.

- *How do local institutions enhance the effectiveness of development projects in the areas of education, health, credit, and extension service?* This aspect of the research is most strongly developed in the Indonesia case study where a record is available of development projects which have taken place in the study areas over the past ten years. Information on the extent of community involvement in the most recent projects (from the key informant interviews) will be combined with this historical record in an effort to assess, at least qualitatively, the relationship between effectiveness of development projects and participation of local institutions. It might be possible to establish a social capital index for each village and to relate this to indicators of project effectiveness. However, since many factors other than social capital determine project outcomes, a more in-depth case study approach will be combined with the analysis of correlations across indicators.
- *Donor relations with local institutions: how can one work with local institutions most effectively?* This last theme aims to extract the operational lessons from the previous analyses and to illuminate whether and how donor organizations can invest in social capital by supporting local institutions. A first lesson will relate to the range of local institutions relevant for a specific type of service delivery. There might well be spillover effects between, e.g., community organizations for education and effective delivery of health services. A second lesson has to do with interaction between district government and community-level organizations. What is the importance of this interaction relative to the internal organization of a community group? A third lesson will be derived from the pattern of organizations which people find most important and in which they are most active. This will suggest focal points for supporting organizations in the context of specific programs of service delivery.

These five analytic themes provide a starting point for exploiting a potentially very rich data base. Subsequent themes and issues will no doubt emerge as the analysis proceeds.

As a by-product of the analytic work, two issues relevant for future data collection will also be addressed:

- What are suitable indices for social capital, both at the household and the community level? Some of the variables collected in the study will prove more useful than others for measuring social capital and explaining access to services and poverty outcomes. On the basis of this, a limited number of indicators will be identified by which social capital can be monitored.

- What are the lessons learned regarding data collection on social capital? The instruments of this study cover three levels (community, district, household) and a variety of interview methods (focus groups, key informants, household respondents). The lessons learned from the relative usefulness of each approach will be used to design an improved data collection instrument.

# QUESTIONNAIRES



IDENTIFICATION: \_\_/\_\_/\_\_/\_\_/\_  
(HOUSEHOLD ID)

DISTRICT: \_\_/\_\_/\_\_/\_\_/\_  
SUB-DISTRICT: \_\_/\_\_/\_\_/\_\_/\_  
COMMUNITY: \_\_/\_\_/\_\_/\_\_/

### **LOCAL LEVEL INSTITUTIONS HOUSEHOLD INTERVIEW**

This questionnaire has the following sections:

0. General information
1. Information on household members
2. Inventory of local level institutions
3. Characteristics of the most important groups
4. Service provision profiles
5. Collective action and trust
6. Household economy

In any one community, this questionnaire is to be administered to households, defined as a group of people, related or unrelated, who normally live in the same dwelling and eat together.

PLEASE NOTE: The language of this questionnaire is for a rural setting. In urban contexts, the language of “community”, “village” etc. would be changed accordingly to neighborhood and appropriate local terms.

**SECTION 0. GENERAL INFORMATION**

**Codes for Section 0**

<b>Q0.3</b>	<b>Q0.4</b>	<b>Q0.5</b>
List of districts	List of sub-districts	List of communities

<b>Q0.7</b>	<b>Q0.8</b>	<b>Q0.9</b>	<b>Q0.10</b>
1.Head of household 2.Spouse	1. Male 2. Female	List of possible languages	List of possible religions

**SECTION 0. GENERAL INFORMATION ON RESPONDENT**

Household ID: \_\_/\_\_/\_\_/\_\_/

- Q0.0 Date of interview [mm/dd/yy] \_\_\_\_\_
- Q0.1 Name of interviewer (enumerator) \_\_\_\_\_
- Q0.2 Interview identification number [Household ID] \_\_\_\_\_
- Q0.3 District [SEE CODES] \_\_\_\_\_
- Q0.4 Sub-district [SEE CODES] \_\_\_\_\_
- Q0.5 Community [SEE CODES] \_\_\_\_\_
- Q0.6 Name of respondent \_\_\_\_\_
- Q0.7 Position in household: \_\_\_\_\_ [MUST BE EITHER CODE 1 OR 2]
- Q0.8 Gender of respondent: \_\_\_\_\_
- Q0.9 Main language of respondent \_\_\_\_\_
- Q0.10 Religion of respondent: \_\_\_\_\_
- Q0.11 How long have you lived in this community? \_\_\_\_\_ years [ROUNDING UP/DOWN AT 6 MONTHS]

## SECTION 1. INFORMATION ON HOUSEHOLD MEMBERS

### Codes for Section 1

Q1.2	Q1.4	Q1.5
1.Head of household 2.Spouse 3.Child of head of household 4.Parent 5.Other relatives 6.Servants and their household 7.Other non-relatives	1. Male 2. Female	1. Farmer 2. Fisherman 3. Trade 4. Artesanal manufacturing 5. Industrial manufacturing 6. Private sector services - unskilled 7. Private sector services - skilled 8. Public sector services - unskilled 9. Public sector services - skilled 10. Other (specify) _____

Q1.6	Q1.7
1. Wage earner (e.g. landless laborer) 2. Self-employed (less than 5 full time employees) 3. Self employed (5 or more full time employees) 4. Unpaid family worker 5. Homemaker 6. Inactive (e.g. student, retired) 7. Able to work but has not worked over last month	1. None 2. Primary school incomplete 3. Primary school complete 4. Secondary school incomplete (SMP) 5. Secondary school completed (SMA) 6. Vocational college 8. University 9. Other (specify) _____

**SECTION 1. INFORMATION ON HOUSEHOLD MEMBERS**

Household ID: \_\_/\_\_/\_\_/\_\_/

<b>Q1.1*</b> <b>Identification</b>	<b>Name of household member</b>	<b>Q1.2</b> <b>Relationships to head of household</b>	<b>Q1.3</b> <b>Age</b>	<b>Q1.4</b> <b>Gender</b>	<b>Q1.5</b> <b>Main occupation</b>	<b>Q1.6</b> <b>Employment status</b>	<b>Q1.7</b> <b>Level of education</b>
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							
11.							
12.							
13.							
14.							
15.							
16.							
17.							
18.							
19.							
20.							
21.							
22.							
23.							
24.							

[\*NOTE TO INTERVIEWER: FOR ORDERING HOUSEHOLD MEMBERS, RELATIVELY LIST THEM IN THE ORDER OF CODES, LIKE HEAD, SPOUSE, CHILDREN...]

## SECTION 2. INVENTORY OF LOCAL LEVEL INSTITUTIONS

### Codes for Section 2

#### Q2.2

1. Mainly males 25 and over
2. Mainly female 25 and over
3. Mainly males under 25
4. Mainly females under 25
5. All males participated
6. All females participated
7. All household members
8. No

**SECTION 2. INVENTORY OF LOCAL LEVEL INSTITUTIONS**

Household ID: \_\_/\_\_/\_\_/\_\_

This is a survey mainly about the groups and organizations in this community and the reasons why people join them, so we would now like to ask you some questions about the groups in this community.

In the last few days we have talked about these groups in meetings with members of the community, and people have mentioned a number of different groups and organizations that exist here. Can you please tell me which of these groups, or any others (both traditional and more recently created), in which you or other members of your household participate?

Q2.1 Codes for groups  [LIST ORGANIZATIONS PARTICIPATED ONLY]	Q2.2 Do any members of your household participate actively in the group’s activities, and if so, which ones mainly?  IF NO, GO TO THE NEXT LINE.	Q2.3 How important is this group to your household?  Very important (1) Somewhat important (2) Not important (3)	Q2.4 How many times in the last three months did a member of your household attend a meeting of this group or participate in activities	Q2.5 Is this group:  1. State initiated (or initiated by government) 2. Community initiated	Q2.6 Is this group 1. Formally organized 2. Informally organized or centered around activity
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**Community-wide organizations**

010					
011					
012					
013					
014					

**Sub-community gender groups**

020					
021					
022					
023					
024					

**Sub-community generation groups**

030					
031					
032					
033					
034					

## SECTION 2. INVENTORY OF LOCAL LEVEL INSTITUTIONS

### Codes for Section 2 (continued)

#### Q2.2

1. Mainly males 25 and over
2. Mainly females 25 and over
3. Mainly males under 25
4. Mainly females under 25
5. All males participated
6. All females participated
7. All household members
8. No

**SECTION 2. INVENTORY OF LOCAL LEVEL INSTITUTIONS (continued)**

Household ID: \_\_/\_\_/\_\_/\_/

Q2.1 Codes for groups  [LIST ORGANIZATIONS PARTICIPATED ONLY]	Q2.2 Do any members of your household participate actively in the group's activities, and if so, which ones mainly?  IF NO, GO TO THE NEXT LINE.	Q2.3 How important is this group to your household?  Very important (1) Somewhat important (2) Not important (3)	Q2.4 How many times in the last three months did a member of your household attend a meeting of this group or participate in activities	Q2.5 Is this group:  1. State initiated (or initiated by government) 2. Community initiated	Q2.6 Is this group 1. Formally organized 2. Informally organized or centered around activity
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**Religious groups**

040					
041					
042					
043					
044					

**Social service groups**

050					
051					
052					
053					
054					

**Environmental service groups**

060					
061					
062					
063					
064					

**Productive groups**

070					
071					
072					
073					
074					

## SECTION 2. INVENTORY OF LOCAL LEVEL INSTITUTIONS

### Codes for Section 2 (continued)

#### Q2.2

1. Mainly males 25 and over
2. Mainly females 25 and over
3. Mainly males under 25
4. Mainly females under 25
5. All males participated
6. All females participated
7. All household members
8. No

**SECTION 2. INVENTORY OF LOCAL LEVEL INSTITUTIONS (continued)**

Household ID: \_\_/\_\_/\_\_/\_\_

Q2.1 Codes for groups  [LIST ORGANIZATIONS PARTICIPATED ONLY]	Q2.2 Do any members of your household participate actively in the group's activities, and if so, which ones mainly?  IF NO, GO TO THE NEXT LINE.	Q2.3 How important is this group to your household?  Very important (1) Somewhat important (2) Not important (3)	Q2.4 How many times in the last three months did a member of your household attend a meeting of this group or participate in activities	Q2.5 Is this group:  1. State initiated (or initiated by government) 2. Community initiated	Q2.6 Is this group 1. Formally organized 2. Informally organized or centered around activity
--	---	---	--	---	---

**Labor groups**

080					
081					
082					
083					
084					

**Natural resource management groups**

090					
091					
092					
093					
094					

**Credit/Finance groups**

100					
101					
102					
103					
104					

**Marketing groups**

110					
111					
112					
113					
114					

## SECTION 2. INVENTORY OF LOCAL LEVEL INSTITUTIONS

### Codes for Section 2 (continued)

#### Q2.2

1. Mainly males 25 and over
2. Mainly females 25 and over
3. Mainly males under 25
4. Mainly females under 25
5. All males participated
6. All females participated
7. All household members
8. No

**SECTION 2. INVENTORY OF LOCAL LEVEL INSTITUTIONS (continued)**

Household ID: \_\_/\_\_/\_\_/\_/

<p>Q2.1 Codes for groups  [LIST ORGANIZATIONS PARTICIPATED ONLY]</p>	<p>Q2.2 Do any members of your household participate actively in the group's activities, and if so, which ones mainly?  IF NO, GO TO THE NEXT LINE.</p>	<p>Q2.3 How important is this group to your household?  Very important (1) Somewhat important (2) Not important (3)</p>	<p>Q2.4 How many times in the last three months did a member of your household attend a meeting of this group or participate in activities</p>	<p>Q2.5 Is this group:  1. State initiated (or initiated by government) 2. Community initiated</p>	<p>Q2.6 Is this group 1. Formally organized 2. Informally organized or centered around activity</p>
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**Supracommunity level membership organizations**

120					
121					
122					
123					
124					

**Recreational groups**

130					
131					
132					
133					
134					

**Other (Please Specify)**

190					
191					
192					
193					

Q2.7 Compared to 5 years ago, does your household today participate actively in more organizations, or fewer organizations?

Code
1. More organizations
2. Same number of organizations
3. Fewer organizations

### SECTION 3. CHARACTERISTICS OF THE MOST IMPORTANT GROUPS

#### Codes to Q3.1 to Q3.16

Q3.1	Q3.2	Q3.3	Q3.4	Q3.7
USE THE CODES FOR THE GROUPS AS IN QUESTION 2.1	1. Effective impact on household livelihood 2. Effective in benefitting the community 3. Everybody belongs 4. Important in times of emergency 5. Enjoyable 6. Mandatory - I have to be member 7. Represents me to the outside world 8. To benefit me or the household in the future 9. Other (specify) _____	1. Born into it 2. Everybody belongs 3. Required to join 4. Volunteered to join 5. Invited to join 6. Family/friends helped me to join 7. Other (specify) _____	1. Entrance fee only 2. Annual fee only 3. Entrance and annual fee 4. Labour contribution 5. Other contribution 6. No contribution 7. Other (specify) _____	1. Very actively 2. Somewhat actively 3. Not at all actively

#### Q3.8 to Q3.16

1. Yes
2. No



### SECTION 3. CHARACTERISTICS OF THE MOST IMPORTANT GROUPS

Codes for Q3.17 to Q3.25

**Q3.17 to Q3.25**

1. Yes (i.e, mostly from same category)
2. No (i.e, mostly from different categories)

**SECTION 3. (continued)**

Household ID: \_\_/\_\_/\_\_/\_/

Please think about the people who are members of the three groups.

In comparison to you, are they from mostly the same ....

[INTERVIEWER: READ ONE CATEGORY - "NEIGHBORHOOD", "KIN GROUP" ETC - THEN THE NEXT, THEN THE THIRD ETC UP TO "LEVEL OF EDUCATION"]

Q3.1 [NOTE TO INTERVIEWER: WRITE IN NAME, AND CODE FROM INVENTORY IN Q3.1]	Q3.17 Neighbor- hood	Q3.18 Kin group	Q3.19 Occupation	Q3.20 Economic status	Q3.21 Religion	Q3.22 Gender	Q3.23 Age	Q3.24 Political party	Q3.25 Level of Education
Name	Code								
G1									
G2									
G3									

Q3.26 Do any members of your household hold an elected position of leadership in any of these three groups?

<b>Q3.26A</b> 1. Yes 2. No IF YES, WHICH ONE(S), GO TO Q3.26B-D

<b>Q3.26B</b> Group ( CODE FROM Q3.1)

<b>Q3.26C</b> Group ( CODE FROM Q3.1)

<b>Q3.26D</b> Group ( CODE FROM Q3.1)

Q3.27 Do any members of your household hold an elected position of leadership in any other groups?

<b>Q3.27A</b> 1. Yes 2. No IF YES, WHICH ONE(S), GO TO Q3.27B-D

<b>Q3.27B</b> Group (CODE FROM Q2.1)

<b>Q3.27C</b> Group (CODE FROM Q2.1)

<b>Q3.27D</b> Group (CODE FROM Q2.1)

## SECTION 4. SERVICE PROVISION PROFILES

### Codes for Part 4A

<b>Q4A.4</b>	<b>Q4A.5</b>
<ol style="list-style-type: none"> <li>1. Pre-School</li> <li>2. Primary</li> <li>3. Secondary</li> <li>4. Religious training</li> <li>5. Vocational college</li> </ol>	<ol style="list-style-type: none"> <li>1. Free/the school pays</li> <li>2. We pay</li> <li>3. Other relatives or friends</li> <li>4. Employer</li> <li>5. Partial or full scholarship</li> <li>6. Government</li> <li>7. Other (specify)</li> </ol>
<b>Q4A.6</b>	<b>Q4A.7</b>
<ol style="list-style-type: none"> <li>1. Mainly members of the community</li> <li>2. Mainly district government</li> <li>3. Mainly central government</li> <li>4. Mainly religious</li> <li>5. Mainly NGO/Charitable group</li> <li>6. Employer</li> <li>7. Private business</li> <li>8. Other (specify)</li> </ol>	<ol style="list-style-type: none"> <li>1. Members of the community</li> <li>2. District government</li> <li>3. Central government</li> <li>4. Religious organization</li> <li>5. Mainly NGO/Charitable group</li> <li>6. Household's employer</li> <li>7. Other private business</li> <li>8. Other (specify)</li> </ol>

<b>Q4A.8</b>
<ol style="list-style-type: none"> <li>1. Cheaper</li> <li>2. Better quality</li> <li>3. Close to house</li> <li>4. Better physical condition</li> <li>5. More in keeping with family and religious values</li> <li>6. Most of the childrens' friends go there</li> <li>7. No choice</li> </ol>

**SECTION 4. SERVICE PROVISION PROFILES**

Household ID: \_\_/\_\_/\_\_/\_/

**PART 4A Educational Services**

Q4A.1 Are there any children in your household aged 5 to 14 (based upon information in Section 1)?

- 1. Yes (GO TO Q4A.2)**
- 2. No (GO TO Q4A.12)**

Could you please give the following information on these children aged 5 to 14?

Q4A.2* Identification of child  [USE IDENTIFI- CATION NUMBER FROM Q1.1]	Q4A.3 Are they in school?  Yes (1) No (2)  [IF NO, GO TO Q4A.9]	Q4A.4 Type of school?	Q4A.5 Who pays for the schooling?  [MOST IMPORTANT SOURCE]	Q4A.6 Who is in charge of the management of the school?	Q4A.7 Who is the owner of school?	Q4A.8 Why do you send your children to these schools?  [MAIN REASON]	Q4A.9 [IF Q4A.3 IS NO]  Are your children being educated by family member or relative?  Yes (1) No (2)  [IF NO, GO TO THE NEXT LINE]
A							
B							
C							
D							
E							
F							

[\* NOTE TO INTERVIEWER: IF THERE ARE MORE THAN 6 CHILDREN, KEEP THE ORDER OF Q1.1 IN SECTION 1. THE 7TH CHILD AND AFTER WILL NOT BE IN THIS TABLE]

## SECTION 4. SERVICE PROVISION PROFILES

### Codes for Part 4A

Q4A.14	Q4A.15
<ul style="list-style-type: none"><li>1. Literacy</li><li>2. Organization</li><li>3. Health care/child care/ domestic</li><li>4. Agricultural</li><li>5. Business management</li><li>6. Labor / job training</li><li>7. About rights and laws</li><li>8. Leadership training</li><li>9 Other (specify)</li></ul> <hr/>	<ul style="list-style-type: none"><li>1. Mainly members of community</li><li>2. Mainly central government</li><li>3. Mainly district government</li><li>4. Mainly religious</li><li>5. Mainly NGO/Charitable group</li><li>6. Employer</li><li>7. Private business</li><li>8. Other (specify)</li></ul> <hr/>

**SECTION 4 - Part 4A (cont'd)**

Household ID: \_\_/\_\_/\_\_/\_/

Q4A.10 What is this household's average monthly expenditure on education (school fees, uniforms, books, etc)?

Q4A.11 How many times in the past year have you attended a parent-teacher meeting in the school?

Q4A.12 Has anyone in your household taken classes, training or instructions outside of school in the last year?

Codes	
1. Yes	
2. No	(GO TO PART 4B)
3. Don't know	(GO TO PART 4B)

Who attended, and what kind of class did they attend?

Q4A.13 Identification of person attending [USE IDENTIFICATION NUMBER FROM Q1.1]	Q4A.14 What was the topic of the training, instruction or class?	Q4A.15 Who provided it?
A		
B		
C		
D		

## SECTION 4. SERVICE PROVISION PROFILES

### Codes for Part 4B

Q4B.1	Q4B.2
<ol style="list-style-type: none"> <li>1. Traditional healer</li> <li>2. Doctor</li> <li>3. Nurse</li> <li>4. Medical assistant</li> <li>5. Store keeper</li> <li>6. Family member</li> <li>7. Midwife</li> <li>8. other (specify) _____</li> </ol>	<ol style="list-style-type: none"> <li>1. House/community</li> <li>2. Health post</li> <li>3. Clinic</li> <li>4. Hospital</li> <li>5. Doctor's private practice</li> <li>6. Other (specify) _____</li> </ol>

Q4B.3	Q4B.4
<ol style="list-style-type: none"> <li>1. Free/the clinic</li> <li>2. We do</li> <li>3. Other relatives or friends</li> <li>4. Employer</li> <li>5. Government</li> <li>6. Never receive this attention</li> <li>7. Other (specify) _____</li> </ol>	<ol style="list-style-type: none"> <li>1. Members of community</li> <li>2. Central government</li> <li>3. District government</li> <li>4. Religious organization</li> <li>5. NGO/Charitable group</li> <li>6. Employer</li> <li>7. Private business</li> <li>8. Don't know</li> <li>9. Other (specify) _____</li> </ol>

Q4B.5	Q4B.6
<ol style="list-style-type: none"> <li>1. Cheaper</li> <li>2. Better quality</li> <li>3. Close to house</li> <li>4. Better physical condition</li> <li>5. More in keeping with family and religious values</li> <li>6. No choice</li> </ol>	<ol style="list-style-type: none"> <li>1. Yes</li> <li>2. No</li> </ol>

**Part 4B. Health Services**

Household ID: \_\_/\_\_/\_\_/\_/

Where do members of your household go for the following pieces of medical attention?

	Q4B.1 Who gives the attention?	Q4B.2 Where is the attention given?	Q4B.3 Who pays for the treatment? [MAIN SOURCE]	Q4B.4 Who organizes the provision of the service?	Q4B.5 Why do you go to this source of attention? [MAIN REASON]	Q4B.6 Do you have to go outside the village to get medical assistance?
A. Illness						
B. Vaccinations						
C. Health checks						
D. Surgery						
E. Childbirth						
F. Medical emergency						

In the past 3 months, how much did you or your household spend for

- Consultations                    Q4B.7A \_\_\_\_\_ (include the value of payments in-kind)
- Medication                        Q4B.7B \_\_\_\_\_ (include the value of payments in-kind)
- Hospital stay                    Q4B.7C \_\_\_\_\_ (include the value of payments in-kind)
- Other medical expenses        Q4B.7D \_\_\_\_\_ (include the value of payments in-kind)

Q4B.8 When was the last time you spoke with somebody from the health clinic?

Codes
1. In the last 3 months
2. Within the last year
3. More than a year ago
4. Never

**SECTION 4. SERVICE PROVISION PROFILES**

**Codes for Part 4C**

<b>Q4C.4</b>	<b>Q4C.5</b>
1. Nothing 2. Land / other property 3. Cash 4. Membership of group 5. Endorsement by other person 6. Personal documents 7. Other (specify) _____	1. Quicker / less paperwork 2. Only people who would lend to me 3. Less onerous collateral required 4. Cheaper interest 5. Closer 6. Other (specify ) _____

**Part 4C Financial Services**

Household ID: \_\_/\_\_/\_\_/\_\_

Q4C.1 Over the last year, did anyone in this household borrow or obtain credit for purposes other than your own business?  
 [IF LOAN OR CREDIT WAS IN GOODS, CONVERT IT TO REASONABLE EQUIVALENT IN LOCAL CURRENCY]

1. Yes (GO TO Q4C.2)
2. No (GO TO THE NEXT PAGE)

		<b>During the last year</b>				
Financial Sources	Q4C.2 Has anyone in your household borrowed or received credit from the following source?  1. Yes 2. No [GO TO THE NEXT LINE]	Q4C. 3 Amount borrowed/ received on credit	Q4C.4 What guarantee was asked for	Q4C.5 What is the main reason why you or they chose to borrow from this source?	Q4C.6 Is this source inside of the village  1. Yes 2. No	
A	<b>Household member</b>					
B	<b>Friends</b>					
C	<b>Relatives not members of household</b>					
D	<b>Money lender</b>					
E	<b>Trader/store</b>					
F	<b>Community credit society (specify)</b>					
G	<b>Government Bank</b>					
H	<b>Commercial Bank</b>					
I	<b>NGO</b>					
J	<b>Pawnshop</b>					
K	<b>Other (specify)</b>					

**SECTION 4. SERVICE PROVISION PROFILES**

**Codes for Part 4C (continued)**

<b>Q4C.11</b>	<b>Q4C.12</b>
1. Nothing 2. Land / other property 3. Cash 4. Membership of group 5. Endorsement by other person 6. Personal document 7. Other (specify) _____	1. Quicker/less paperwork 2. Only people who would lend to me 3. Less onerous collateral required 4. Cheaper interest 5. Closer 6. Other (specify) _____

**SECTION 4 - Part 4C (continued)**

Household ID: \_\_/\_\_/\_\_/\_\_

Q 4C.7 Do you own your own business?

[NOTE TO INTERVIEWER: THIS MAY BE A FARM, SHOP, SMALL ECONOMIC ACTIVITY ETC].

<p><b>1. Yes (GO TO Q4C.8)</b>  <b>2. No (GO TO SECTION 4D)</b></p>
---

Q4C.8 Over the last 10 years, have you borrowed money or received credit to help you establish or maintain this business activity\* from any of the following? [\* NOTE TO INTERVIEWER - SPECIFY THE BUSINESS AS ANSWERED IN SECTION 1]

<p><b>1. Yes (GO TO Q4C.9)</b>  <b>2. No (GO TO SECTION 4D)</b></p>
---

Over the last 10 years					
Financial Sources	Q4C. 9 Have you borrowed or received credit from the following source?  1. Yes 2. No (GO TO THE NEXT LINE)	Q4C. 10 Amount Borrowed/ Received on credit	Q4C.11 What guarantee was asked for?	Q4C.12 What is the main reason why you chose to borrow from this source?	Q4C.13 Is this source inside of the village  1. Yes 2. No
A	<b>Household member</b>				
B	<b>Friends</b>				
C	<b>Relatives not members of household</b>				
D	<b>Money lender</b>				
E	<b>Trader/store</b>				
F	<b>Community credit society (specify)</b>				
G	<b>Government Bank</b>				
H	<b>Commercial Bank</b>				
I	<b>NGO</b>				
J	<b>Pawnshop</b>				
K	<b>Other (specify)</b>				

## SECTION 4. SERVICE PROVISION PROFILES

### Codes to Part 4D

#### Q4D.2

1. Inheritance
2. Through cultivation/  
occupation
3. Provided by community
4. Provided by government
5. Purchased
6. Temporary lease

#### Q4D.5

1. Village officials
2. Other village organization
3. Government/government official
4. NGO
5. Church/mosque
6. Family members
7. Friends
8. Nobody - I did it myself
9. Other \_\_\_\_\_

**Part 4D Land and housing tenure services**

Household ID: \_/\_/\_/\_/\_/

(RURAL AREA ONLY)

Q4D.1 Do you own land?

<b>1. Yes</b> <b>2. No (GO TO Q4D.6)</b>

Q4D.2 How did you acquire your land?

--

Q4D.3 Do you have any documents as evidence of your claim to the land?

<b>1. Yes</b> <b>2. No (GO TO Q4D.6)</b>

Q4D.4 Are your land documents registered at a government office outside the village?

<b>1. Yes</b> <b>2. No (GO TO Q4D.6)</b>

Q4D.5 Who assisted you in getting your land title registered?

--

Q4D.6 Do you ever go to meetings to discuss what to do with the village lands?

<b>1. Yes</b> <b>2. No</b>

## SECTION 4. SERVICE PROVISION PROFILES

### Codes to Part 4D

#### Q4D.8

1. Inheritance
2. Through cultivation/  
occupation
3. Provided by community
4. Provided by government
5. Purchased
6. Temporary lease

#### Q4D.11

1. Village officials
2. Other village organization
3. Government/government official
4. NGO
5. Church/mosque
6. Family members
7. Friends
8. Nobody - I did it myself
9. Other \_\_\_\_\_

**Part 4D Land and housing tenure services**

Household ID: \_\_/\_\_/\_\_/\_/

(URBAN AREA ONLY)

Q4D.7 Do you own a house?

<b>1. Yes</b> <b>2. No (GO TO Q4D.12)</b>

Q4D.8 How did you acquire your house?

--

Q4D.9 Do you have any documents as evidence of your claim to the house?

<b>1. Yes</b> <b>2. No (GO TO Q4D.12)</b>

Q4D.10 Are your house documents registered at a government office?

<b>1. Yes</b> <b>2. No (GO TO Q4D.12)</b>

Q4D.11 Who assisted you in getting your house title registered?

--

Q4D.12 Do you ever go to meetings to discuss what to do with neighborhood houses?

<b>1. Yes</b> <b>2. No</b>

**SECTION 5. COLLECTIVE ACTION AND TRUST**

Household ID: \_\_/\_\_/\_\_/\_/

Q5.1 How many times last year did you participate in collective action?

A In your neighborhood	B In your village

Q5.2 If you do not participate in community work activities,  
Do you think it is likely that you will be criticized or fined for this?

A In your neighborhood	B In your village

**Codes**  
1. Yes  
2. No

Q5.3 Does the possibility of being criticized or fined encourage you to participate in community work activities?

1. Yes  
2. No

Q5.4 Do you think other people make a fair contribution to collective action at a village level?

A In your neighborhood	B In your village

**Codes**  
1. Yes  
2. No

**SECTION 5 (cont'd)**

Household ID:   /  /  /  

Q5.5 If your household was very short of money and food, or if members of the household were ill, are there people beyond your household and relatives from whom it could get assistance?

--

Codes
1. Definitely
2. Probably
3. Probably not
4. Definitely not
5. Difficult to answer

Which two types of organization are most likely to help either when your household is short of money or suffering illness (IN ORDER OF IMPORTANCE)?

Q5.6A Most likely	Q5.6B Second most likely

Codes
1. Community organization
2. District government
3. Central government
4. Religious organization
5. NGO
6. Businessman/trader
7. Other (specify)
_____

**SECTION 6. HOUSEHOLD ECONOMY**Household ID:   /  /  /  /  **Part 6A**

What is your normal monthly expenditure for:

Item	Monthly amount
Q6A.1	
Q6A.2	
Q6A.3	
Q6A.4	
Q6A.5 Sugar	
Q6A.6 Fish	
Q6A.7 Meat	
Q6A.8 Other foods	
Q6A.9 Alcoholic beverages	
Q6A.10 Non-alcoholic beverages	
Q6A.11 Tobacco products	
Q6A.12 Public transportation (bus, train, taxi)	
Q6A.13 Private transportation (fuel, maintenance for car, bike)	
Q6A.14 Communication (postage, paper, phone, telegram)	
Q6A.15 Personal care (hairdresser, soap, etc.)	
Q6A.16 Products for use in house (cleaners, etc.)	
Q6A.17 Entertainment (movies, cassettes, newspapers)	
Q6A.18 Payments for servants and maids	

**SECTION 6 - Part 6A (cont'd)**

Household ID: \_\_/\_\_/\_\_/\_/

In the past year, how much did your household spend on

<b>Item</b>	<b>Annual amount</b>
Q6A.19 Clothing	
Q6A.20 Footwear	
Q6A.21 Linens	
Q6A.22 Cooking and eating utensils	

Over the last year, did your household receive any cash income from these different sources of income?

<b>Received any income from the following sources</b>	<b>Some cash income earned</b>	
	<b>Yes (1)</b>	<b>No (2)</b>
Q6A.23 Sale of crops and livestock		
Q6A.24 Sale of fish and fish products		
Q6A.25 Wages (all types)		
Q6A.26 Income from other non-farm activities		
Q6A.27 Money sent by members of the household living elsewhere		
Q6A.28 Pensions		
Q6A.29 Unemployment benefits		
Q6A.30 Social assistance		
Q6A.31 Any other sources		

**Part 6B**

Over the last year, did your household consume any products that it produced or gathered itself? If so, can you estimate the value of these?

<b>Product</b>	<b>A</b>		<b>B</b>
	<b>Consumed</b>		<b>Annual value of items consumed</b>
	<b>Yes (1)</b>	<b>No (2)</b>	
Q6B.1 Crops			
Q6B.2 Processed crop products			
Q6B.3 Livestock			
Q6B.4 Livestock products			
Q6B.5 Forest products			
Q6B.6 Fish			
Q6B.7 Other			

**SECTION 6 - Part 6B (cont'd)**

Household ID: \_\_/\_\_/\_\_/\_\_/

Q6B.8 Does the household send regularly money or goods to relatives or friends?

<b>Codes</b> 1. Yes 2. No (GO TO Q6C.1)

Q6B.9 If yes, how much on average each month?  
(INCLUDE VALUE OF GOODS SENT)

<b>Monthly value</b>

**Part 6C**

Q6C.1 If working for people outside your household, were you or other members of the household paid by other means than cash, e.g. food, clothing, free transport, housing, etc.?

<b>Codes</b> 1. Yes 2. No [GO TO Q6C3]

Q6C.2 At how much would you estimate the value of those items received over the past year

<b>Annual value</b>

Q6C.3. Would you say that your family  
[NOTE TO INTERVIEWER: READ CODES]

--

<b>Codes</b>
1. Often goes hungry
2. Has enough but simple food
3. Has a variety of foods
4. Also eats luxury foods

**SECTION 6 - Part 6C (cont'd)**

Household ID: \_\_/\_\_/\_\_/\_/

Q6C.4 In the past year, did your household have to sell any land, livestock or equipment, in order to have money to buy enough food, clothing, or to pay for health care?

Codes
1. Yes
2. No

Q6C.5 Does your household now have more or less savings than a year ago?

Codes
1. More savings
2. Less savings
3. About the same savings
4. Household has no savings

Q6C.6 Do all of the children aged 5-14 in this household regularly attend school?

Codes
1. All regularly attend (GO TO Q6C.8)
2. One does not attend (some attend)
3. Two do not attend (some attend)
4. Three or more do not attend (some attend)
5. None attend
6. No children aged 5-14 (GO TO Q6C.8)

Q6C.7 If some do not attend, why do they not regularly go to school?  
[MOST IMPORTANT REASON]

Codes
1. School too expensive
2. School too far
3. Quality of school or teaching not good
4. Children need to work on HH farm or business
5. Other

**SECTION 6 - Part 6C (cont'd)**

Household ID: \_\_/\_\_/\_\_/\_/

Q6C.8 What type of dwelling does the household have ?

[NOTE TO INTERVIEWER: JUDGE YOURSELF AND FILL ANSWER ACCORDINGLY]

Codes
1. Homeless or transient
2. House of mainly traditional materials
3. Upgraded traditional unit (i.e. uses some concrete, glass, zinc roofing ...)
4. Modern (mainly purchased material)

Q6C.9 On what basis does the household occupy this dwelling?

Codes
1. Owns outright
2. Owns but owes money
3. Rents entire house
4. Rents part of house
5. Rental apartment
6. Homeless
7. Free or subsidized home
8. Lives with others

Q6C.10 If you own the dwelling, how much do you pay for the mortgage each month?

Monthly value
<input type="text"/>

Q6C.11 If you rent, how much is your monthly rent?

[NOTE TO INTERVIEWER: IF RENT INCLUDES UTILITIES, TRY TO SEPARATE THOSE UTILITY EXPENSES FROM THE RENT. IF IT IS NOT POSSIBLE TO SEPARATE THEM, PUT RENT AMOUNT HERE AND THOSE UTILITY EXPENSES SHOULD BE ZERO AT Q6C14, Q6C16, OR Q6C18]

Monthly value
<input type="text"/>

**SECTION 6 - Part 6C (continued)**

Household ID: \_\_/\_\_/\_\_/\_/

Q6C.12 Over the past year, how much did you spend on repair and maintenance of your home?

Annual value

Q6C.13 What drinking water facilities does the household have?

--

Codes
1. Indoor tap
2. Outdoor tap
3. Public standpipe
4. Purchases water from vendor
5. Well
6. Spring
7. River, lake
8. Other _____

Q6C.14 How much does this household normally spend on water each month?

Monthly value

Q6C.15 What lighting facilities does this household have?

--

Codes
1. Own electricity connection
2. Neighbors' electricity connection
3. Solar panel
4. Kerosene lighting
5. Candles

**SECTION 6 - Part 6C (continued)**

Household ID: \_\_/\_\_/\_\_/\_/

Q6C.16 How much does this household normally spend each month on electricity/kerosene/candles

[NOTE TO INTERVIEWER: SAY THE ANSWER GIVEN IN Q6C.15]

Monthly value

Q6C.17 What toilet facilities does this house have?

--

Codes
1. Outside latrine
2. Inside flush
3. No WC/latrine at all

Q6C.18 What cooking fuel does this household use most often?

--

Codes
1. Gas
2. Electricity
3. Firewood
4. Kerosene
5. Coal
6. Charcoal
7. Grass/Shrubs

Q6C.19 How much does this household normally spend each month on gas, wood, coal and charcoal?

[NOTE TO INTERVIEWER: DO NOT INCLUDE ELECTRICITY AS THIS HAS ALREADY BEEN NOTED IN THE QUESTION ON EXPENDITURE FOR LIGHTING]

Monthly value

**SECTION 6 - Part 6D**

Household ID: \_\_/\_\_/\_\_/\_/

Does the household own any of the following?

<b>Asset</b>	<b>Yes (1) No (2)</b>
Q6D.1 Car/van/truck	
Q6D.2 Boat	
Q6D.3 Outboard motor	
Q6D.4 Motorcycle/moped	
Q6D.5 Bicycle	
Q6D.6 Color TV	
Q6D.7 Black and white TV	
Q6D.8 Audio system	
Q6D.9 Telephone	
Q6D.10 Radio	
Q6D.11 Refrigerator/freezer	
Q6D.12 Sewing machine	
Q6D.13 Washing machine/dryer	
Q6D.14 Pressure lamp	
Q6D.15 Other major asset -----	

Does this household own any livestock, and if so, how many animals?

<b>Animal</b>	<b>How many</b>
Q6D.16 Oxen	
Q6D.17 Cattle	
Q6D.18 Horses	
Q6D.19 Mules	
Q6D.20 Goats	
Q6D.21 Sheep	
Q6D.22 Pigs	
Q6D.23 Poultry	
Q6D.24 Fish pond	

**SECTION 6 - Part 6D (continued)**

Household ID:   /  /  /  

Q6D.25 Does the household own any farmland?

<b>Codes</b>
<b>1. Yes</b>
<b>2.No</b>

If yes, how many hectares?

	Hectares
Q6D.26 Irrigated land	
Q6D.27 Unirrigated annual crop land	
Q6D.28 Unirrigated permanent crop	
Q6D.29 Wasteland/Grazing land	

Q6D.30 Does the household rent or sharecrop any farmland which does not belong to it?  
[IF NO, GO TO QUESTION 6D.35]

<b>Codes</b>
<b>1. Yes</b>
<b>2. No</b>

If yes, how many hectares?

	Hectares
Q6D.31 Irrigated land	
Q6D.32 Unirrigated land	
Q6D.33 Unirrigated permanent crop	
Q6D.34 Wasteland/Grazing land	

Does the household own any farming equipment?

Equipment	Yes (1) No (2)
Q6D.35 Tractor	
Q6D.36 Cultivator	
Q6D.37 Animal drawn plough	
Q6D.38 Planter	

**SECTION 6 - Part 6D (continued)**

Household ID: \_\_/\_\_/\_\_/\_/

In the past year, did the household have to pull any children out of school to help at home or on the farm?

<b>Q6D.39</b>	<b>Q6D.40</b>
<b>Boys</b> <b>1. Yes</b> <b>2. No</b>	<b>Girls</b> <b>1. Yes</b> <b>2. No</b>

**LOCAL LEVEL INSTITUTIONS**  
**INTERVIEW GUIDES FOR DISTRICT LEVEL KEY INFORMANTS**

These are guides for interviews with managers in the following sectors:

- Health
- Primary education
- Water supply
- Agricultural technical assistance
- Banking
- District government administration

and also for

- leaders of district level civic associations

**INTRODUCTION:** This module is part of a larger cross-national study of local institutional landscapes. Communities everywhere contain a variety of organizations, formed for different purposes, supported in various ways, and capable to different degrees of providing their members with a variety of benefits. The overall study is trying to determine what makes some communities stronger than others in playing a positive role in their own development. The study is not just academic: we want to learn how we can strengthen communities to be able to achieve the goals that this region has for its development efforts.

To carry out this study, information is being gathered in a number of different communities in your district. We are here for two main reasons. Firstly we would like to find out from you some key information at the level of the whole of this district ([NAME]\_\_\_\_\_). This information will help us see how our information from the local communities fits into the larger picture in this region. Secondly, we would like to ask you your opinions about the roles that these community organizations play in local development programs.

Thank you for spending a little time with us to answer the questions that follow.



## Primary Education

Respondent: \_\_\_\_\_ Position: \_\_\_\_\_

1. Please describe the relative roles of central and district government in:
  - a) financing primary education activities in the district
  - b) hiring staff in the district
  - c) planning activities
  
2. Number of outside government\NGOs providing primary education services in the district
  
3. Primary Education Services in district

Number of	DISTRICT CAPITAL				RURAL			
	Gov't	NGO	Religious	Private/ Proprietary	Gov't	NGO	Religious	Private/ Proprietary
Primary schools								
Primary school pupils								
of which, % female								
Primary school leavers (last graduation)								
of which, % female								
Primary school leavers (second last graduation)								
Teachers								
Expenditure								

4. Literacy rate: \_\_\_\_\_ Urban \_\_\_\_\_ Rural \_\_\_\_\_ Male \_\_\_\_\_ Female
  
5. Discussion of role of local level institutions in primary education, and the relationships between them and the agency of the interviewee (see guide to interviewer for themes to address).

## Domestic Water Supply

Respondent: \_\_\_\_\_ Position: \_\_\_\_\_

1. Please describe the relative roles of central and district government in:
  - a) financing domestic water supply services activities in the district
  - b) hiring staff in the district
  - c) planning activities
  
2. How many outside government\NGOs have supported, or are supporting, water projects in the district over last 5 years
  
3. Domestic Water Supply Data for district

Number of	DISTRICT CAPITAL			RURAL		
	Supplied by Government	Funded by NGOs	Supplied/funded by private vendors	Supplied and funded by Government	Funded by NGOs	Supplied/funded by private vendors
Number of household hookups to piped supplies						
Number of standpipes						
Number of boreholes						
Number of improved wells (pumps)						
% households drawing from rivers/standing pools						
Total budget, current year						
Construction budget, current year						
Maintenance budget, current year						

4. Proportion of settlements drawing water only from streams, ponds, etc.
  
5. Discussion of role of local level institutions in water supply programs, and the relationships between them and the agency of the interviewee (see guide to interviewer for themes to address).

## Agricultural Extension

Respondent: \_\_\_\_\_ Position: \_\_\_\_\_

1. Please describe the relative roles of central and district government in:
  - a) financing agricultural extension services activities in the district
  - b) hiring staff in the district
  - c) planning activities
  
2. How many NGO provide technical assistance in agriculture in the district
  
3. Agricultural extension services in district

	Government	NGO	Religious/ Church	Farmers' organization	Private sector
Communities					
Farmers					
of which, % female					
Technical staff					
of which , percent degree level					
of which, percent work in district capital					
Overall expenditure					

4. Discussion of role of local level institutions in providing technical services in agriculture, and the relationships between them and the agency of the interviewee (see guide to interviewer for themes to address).

## Banking and Credit

Respondent: \_\_\_\_\_ Position: \_\_\_\_\_

1. How many institutions offering credit and savings facilities are currently working in the district?
 

Private Commercial \_\_\_\_\_

NGO \_\_\_\_\_

Government \_\_\_\_\_

2. Savings Institutions Data for district

[Note: we want to know how many banks operate in each zone, even if they are the same institution]

Number of	DISTRICT CAPITAL				RURAL			
	Commercial institutions	State institutions	NGO-founded Credit unions/ Peoples Banks	Registered savings societies	Commercial institutions	State institutions	NGO-founded Credit unions/ Peoples Banks	Registered Savings societies
Number of branches								
Number of accounts								
Total savings assets								
Total loans outstanding								
Rate of default on loans								
Average loan size								

1. Percentage of population using credit : urban \_\_\_\_\_ rural \_\_\_\_\_

Percentage of population using savings services: urban \_\_\_\_\_ rural \_\_\_\_\_

2. Discussion of role of local level institutions in financial service programs, and the relationships between them and the agency of the interviewee (see guide to interviewer for themes to address).

**District Administration**

Respondent A: \_\_\_\_\_ Position : \_\_\_\_\_

1. Can you please explain the structure of the district government. What powers and responsibilities does it have?

2. How do elections work; how are urban and rural areas represented in the government; are there oversight committees, and who participates in them?

3. In last election [DATE: 19 \_\_\_\_] how many people voted in urban areas? \_\_\_\_\_ in rural areas \_\_\_\_\_

4. What are the sources of revenue for the district administration, in order of importance.

1. Rural land taxes
2. Urban land taxes
3. Sales taxes
4. Allocations from central government
5. Allocations from state/provincial level government
6. Foreign donations

5. Administrative organization of district

Number of	IN DISTRICT HQ OFFICES				IN RURAL AREAS OF DISTRICT			
	National gov't	Provincial/State gov't	District gov't	Largest NGO office	National gov't	State/Provincial gov't	District gov't	Largest NGO office
Current employees								
of which, senior								
other permanent								
other (daily, temp, contract)								
Expenditure Last year								
Salaries								
Operations								
Investments								

6. Can you please explain the process through which the district administration draws up its annual budget and its annual plans, particularly explaining the roles that other government authorities and local civic institutions play in this process.

7. What is your perception of the roles that government, NGOs and local civic organizations should play in the district development process. Have they been able to play these roles? Why? How would you organize relationships among them more effectively?

## Leaders of District Level Civic Organizations

1. General information
  - 1.1 Name of organization
  - 1.2 Date of founding
  - 1.3 Number of member base organizations
  - 1.4 Number of member families
  - 1.5 How does one become a member
2. Can you please explain the history of your organization. How did it emerge, and what are its objectives?
3. What is the role of your organization in local development, and how does this compare with the roles of community level organizations.
4. Can we talk about your relationships with the government, both the local and the central government. Do you work together - under what sorts of conditions can this occur, and what conditions frustrate this?.
5. Have you ever tried to influence government decisions and activities? If so can you give examples, explaining what happened and what factors determined whether you were successful or failed?
6. How would you describe your relationships with non-membership NGOs: do you collaborate, or are there conflicts?
7. What do you think should be the respective roles of membership organizations such as yours and non-membership NGOs in this district?
8. How would you describe your relationships with other district level civic organizations? Can you explain your answer?
9. Do you have relationships with associations in other districts or at provincial and national levels? Can you describe these relationships? What is the benefit of these relationships for you?

## **GUIDE TO VILLAGE INSTRUMENTS**

### **Village Data Sheet**

A summary of select information about the village; to be filled out by researchers; designed to help in the data analysis stage

### **Instrument A: Key Informant Interview**

A group interview with village elites; focussed on basic information about community services, local economy, institutions and development projects

### **Instrument B: Group Discussions**

A discussion with representatives of the community; with group of men and women separately; focussed on views on quality of services, important institutions, useful development projects, and experiences with collective action.

### **Instrument C: Institutional Profile**

A series of 3 group interviews with leaders, members and non-members of a village institution; will be carried out for 3-6 local institutions viewed significant by villagers.

## VILLAGE DATA SHEET

Village: \_\_\_\_\_

District/Province: \_\_\_\_\_

Village chief in office: \_\_\_\_\_ months/years

No.	Name of neighborhood	Total number of households	Female-headed HH	Population (persons)
Total for village				

Religion (s)	Proportions
	100%

Ethnicity(s)	Proportions
	100%

### List of Government Programs Reviewed

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_
7. \_\_\_\_\_
8. \_\_\_\_\_
9. \_\_\_\_\_
10. \_\_\_\_\_

### List of Institutions Profiled

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_
6. \_\_\_\_\_

Total Number of Local Institutions: \_\_\_\_\_

**VILLAGE INSTRUMENT A:  
KEY INFORMANT INTERVIEW**

*This will be a group interview carried out with the following key informants: village chief, village secretary, teacher, health provider, and other relevant informants.*

The objective of this instrument is to obtain basic information on community services, the local economy, cultural diversity, local institutions and experience with development projects.

Village: \_\_\_\_\_  
 District/Province: \_\_\_\_\_  
 Date of interview: \_\_\_\_\_  
 Interviewer(s): \_\_\_\_\_  
 Key informants: village chief \_\_\_\_\_ village secretary \_\_\_\_\_  
 teacher \_\_\_\_\_ health provider \_\_\_\_\_  
 Others \_\_\_\_\_  
 \_\_\_\_\_

**A. Community Services**

Health

1. Does this community have a health post?  
 Yes \_\_\_\_\_ No \_\_\_\_\_ How many \_\_\_\_\_
  
2. If there is no health post in the village, where is the nearest one? How do people get there and how long does it take? Would one have to take public transportation? How much would it cost?
  
3. On the health post that this community uses:

	Health Ministry	District Government	Village Government	Community sub-group	Individual families	Religious group	NGO	Other (describe)
Who built it?								
Who pays the staff?								
Who pays for medicine?								
Who recruits health workers?								

1. What quality of service is the health post able to provide? Please explain.
2. Are there groups in the community that work closely/interact with the health post? Please identify them

Education

1. Does this community have a primary school?  
Yes\_\_\_\_\_ No\_\_\_\_\_ How many?\_\_\_\_\_
2. If there is no school in the village, where is the nearest one? How doe people get there and how long does it take? Would one have to take public transportation? How much would it cost?
3. One the school in the village:

	Education Ministry	District Government	Village Government	Community sub-group	Individual families	Religious group	NGO	Other (describe)
Who built it?								
Who pays the teachers?								
Who pays for books?								
Who selects teachers?								
Who selects the director?								

1. What quality of education is the school able to provide? Explain.
2. Are there groups in the community that works closely/interact with the school? Please identify them.

Clean Water

1. How do people in the community get access to clean water?

	Public Works Ministry	District Government	Village Government	Community sub-group	Individual families	Religious group	NGO	Other (describe)
Who built the water supply?								
Who pays for operation, maintenance, repair, etc.?								
Who actually maintains the system?								

1. What is the quality of the water supply system here? Explain.

2. Are there groups in the community that play an active role in maintaining the water supply system? Please identify them.

Roads

1. Does this community have a local road passable by cars/trucks all year round?

Yes \_\_\_\_\_ No \_\_\_\_\_

	Public Works Ministry	District Government	Village Government	Community sub-group	Individual families	Religious group	NGO	Other (describe)
Who built the road?								
Who pays for maintenance?								
Who does the maintenance								

1. What is the quality of the road year-round? Explain

2. Are there groups in the community that play an active role in maintaining the road? Please identify them.

Irrigation

1. How do people in the community irrigate their fields?

	Public Works Ministry	District Government	Village Government	Community sub-group	Individual families	Religious group	NGO	Other (describe)
Who built the water supply?								
Who pays for operation, maintenance, repair, etc.?								
Who actually maintains the system?								

1. What is the quality of the irrigation system here? Explain.
2. Are there groups in the community that play an active role in maintaining the irrigation system? Please identify them.
3. Over the past 3 years what have been the most important improvements made in the life/living standards in this community? Please tell the story of how each came to be.
4. In the next year, what one improvement would you most like to see? How can the community most effectively obtain it?

**B. Local Economy**

1. What are the principal ways in which people make a living here? For example, if they farm, what do they grow? If they fish, what kind of fishing? How do people market their products?
2. What kinds of housing materials do people use to build their houses? Which types are most common? Which types are rare? Why?
3. Does this village have electricity? Approximately what proportion of the community have electricity in their houses and what proportion doesn't?
4. Do some families have piped water in their homes? Approximately what proportion of the community does?
5. Do people have time to participate in organization activities and meetings? Who comes? Why do you think some don't come?

### **C. Local Society**

1. What ethnic groups do members of the community belong? What religions (*include indigenous belief systems*)? What are the proportions for each?
2. Has the ethnic/religious composition of the community changed in recent years? In what ways?
3. Do the various ethnic/religious groups have their own organizations? If so, which organizations belong to which group?
4. What is the relationship between different ethnic/religious groups? Do they work together? What kinds of tensions exist between them? Is it hard to organize collective action involving the different groups?

### **D. Local Institutions**

Questions for tabulation on the following page.

1. Could you mention all the groups which presently exist in the community?(*Column 1*)  
(*Examples: religious groups, credit groups, water users groups, women's groups, etc.*)
2. Which group plays the most active role in helping improve the people's well-being?  
(*Column 2*)
3. Some groups may share the same members, others may have different members. Please identify the groups which have the same membership? (*Column 3*)
4. Some groups have connections with the government, some don't. Which groups are formally linked with the government, set up because of a government program, and maybe even receive money from them? (*Columns 4,5,6*)
5. Government employees are often very active in the community. Which groups have leaders who are civil servants? (*Column 7*)
6. Do you know which of the groups have elections to choose their leaders? (*Column 8*)
7. If you look at the three largest groups in the community, has their leadership been stable or have there been leaders who have been changed because of their behavior? (*Column 9*)
8. What are the major accomplishments of these groups in the past 3 years? (*Column 10*)



## **E. Development Projects**

1. In the last 3 years, what have been the most important development projects in this village? *(For example, for agriculture, roads, water supply, sanitation, health, education, credit, income generation.)* Please describe who were the organizers, what was done, how the village was involved, what were the results. *(Probe for participation mechanisms used.)*
  
2. Have there been activities from non-governmental agencies in this village? Please describe who they were, what was done, how the village was involved, what were the results. *(Probe for participation mechanisms used.)*
  
3. Have there been government or non-government activities which you thought were not very successful in the community? What were they? Why do you think they failed? *(Probe for approach used, community participation.)*
  
4. Did groups in the community participate in these projects? Which ones? Do you think any of these groups had any influence on how the projects were carried out? Why were they able to do so?
  
5. Do you think it is better to have local groups participate in these projects or not? Why?
  
6. Do you have any suggestions about how local groups can help improve the design on projects so they can have a more positive impact on your community?
  
7. To what extent does the village plan and implement projects? How does it work? How well does it work? How do these groups participate in government development planning?

**VILLAGE INSTRUMENT B:  
GROUP DISCUSSIONS**

*Group discussions will be carried out with women and men in two separate sessions. We should try to make sure that in each session there are people who represent the various neighborhoods and the village poor. We can find the village poor by inviting members of households without electricity/piped water in their homes, or those who do not own land. Use locally significant indicators of poverty to find these people.*

*The objective of this instrument is to obtain the community's perspective on the quality of services available, their experience with collective action, their views on local institutions and development projects.*

*Our role is primarily as facilitators of the discussion. However, we will also be asking specific questions to the group. Make sure that everyone has the chance to speak up and no one person dominates the discussion.*

Village: \_\_\_\_\_  
District: \_\_\_\_\_  
Province: \_\_\_\_\_

Interviewer(s): \_\_\_\_\_  
Date: \_\_\_\_\_

Discussion group: \_\_\_\_\_ women      \_\_\_\_\_ men  
Participants: \_\_\_\_\_ people

Description of group:

Description of process:

## **A. Village Map**

*After introducing ourselves and the study, we can begin by asking the group to draw a map of the village showing the settlement pattern (including neighborhood divisions), sites for productive activities and locations of various services available in the community, including that for irrigation. The second group could be asked to improve the map made by the first group or, if they prefer, draw their own.*

*Use the map creatively throughout the discussion, as a starting point for discussion, as a means to identify/ask about problems, as a reference point to obtain clarifications, etc.*

## **B. Community Services**

### Education

1. Where is the school located? (*Refer to map*) When was it built? By whom?
2. What's good about the school? (*Have them make a list that everyone can see. Continue to probe until list is exhaustive. Copy list here.*)
3. What's bad about the school? (*Also list.*)
4. Do you think everyone in the community has equal access to the school? How about the poorest members of the community?
5. *Based on the two lists above, have the group identify all the things which are important to make a school good.*
6. Have there been any efforts by the community to improve the quality of the school or overcome a problem? Can you describe one? Were there community groups which played a particularly helpful role then? What kinds of response did you get from the government and from the rest of the community? What kinds of obstacles did you have to deal with? What was the outcome of the effort? (*Probe for locus of leadership, resources tapped, sources of resistance, who benefits from the outcome.*)
7. Have you ever attempted to make improvements but failed? Why do you think it failed? (*Probe for constraints to collective action, identify the roles of government and local institutions in influencing outcome.*)

## Health

1. Who provides health services for the community? Where do they carry out their practice? (*Refer to map.*)
2. Of all those who provide health services for you, which/who are you most comfortable with? Why? (*Make a list of the services and reasons.*)
3. Of all those who provide health services for you, which/who are you least comfortable with? Why? (*Also list reasons.*)
4. Do you think everyone in this community has equal access to services at the health clinic? How about the poorer members of the community?
5. *Based on the two lists above, have the group identify all the things which are important to make health service satisfactory to them.*
6. Have there been efforts by the community to improve the quality of the health clinic or to overcome a problem? Can you describe one? Were there community groups which played a particularly helpful role then? What kinds of response did you get from the government and the rest of the community? What kinds of obstacles did you have to deal with? What was the outcome of the effort? (*Probe for locus of leadership, resources tapped, sources of resistance, who benefit from the outcome.*)

## Clean Water

1. What are your sources of clean water? Where are they located? (*Refer to map.*)
2. Of the different sources, which ones serve your needs best? Why? (*List sources and reasons.*)
3. Which one serves your needs least? Why? (*Also list.*)
4. Do you think everyone in this community has equal access to clean water? How about the poorer members of the community?
5. Have there been any efforts by the community to improve access to clean water or to overcome a problem? Can you describe one? Were there community groups which played a particularly helpful role then? What kinds of response did you get from the government and the rest of the community? What kinds of obstacles did you have to deal with? What was the outcome of the effort? (*Probe for locus of leadership, resources tapped, sources of resistance, who benefit from the outcome.*)

6. Have you ever attempted to make improvements but failed? Why do you think it failed? (*Probe for constraints to collective action, identify the roles of government and local institutions in influencing outcome.*)

### Credit

1. If someone in the village needs to borrow money, where could he/she go?
2. What is the best source for borrowing money? Why? (*List sources and reasons.*)
3. What is the worst source for borrowing money? Why? (*List reasons.*)
4. Do you think everyone in this community has equal access to affordable credit? How about the poorest members of the community?
5. Have there been any efforts by the community to improve access to credit or to overcome a problem? Can you describe one? Were there community groups which played a particularly helpful role then? What kinds of response did you get from the government and the rest of the community? What kinds of obstacles did you have to deal with? What was the outcome of the effort? (*Probe for locus of leadership, resources tapped, sources of resistance, who benefit from the outcome.*)
6. Have you ever attempted to make improvements but failed? Why do you think it failed? (*Probe for constraints to collective action, identify the roles of government and local institutions in influencing outcome.*)

### Road

*Locate the village's main access road in the map.*

1. What is good about the road? (*Make a list. Probe about condition during wet season, accessibility from agricultural fields and homes.*)
2. What is bad about the road? (*List.*)
3. Have there been any efforts by the community to improve the quality of the road or to overcome a problem? Can you describe one? Were there community groups which played a particularly helpful role then? What kinds of response did you get from the government and the rest of the community? What kinds of obstacles did you have to deal with? What was the outcome of the effort? (*Probe for locus of leadership, resources tapped, sources of resistance, who benefit from the outcome.*)

4. Have you ever attempted to make improvements but failed? Why do you think it failed? (*Probe for constraints to collective action, identify the roles of government and local institutions in influencing outcome.*)

### Irrigation

1. Is there irrigation of your agricultural field? What kind of system is it?
2. What's good about the current system? (*Make a list.*)
3. What's bad about it? (*Also list.*)
4. Do all farmers have equal access to the irrigation system? Who doesn't?
5. Have there been attempts to improve the system in the past three years? If so, how and by whom? What was the role of the farmers? What kinds of obstacles did you have to deal with? What was the outcome of the effort? (*Probe for locus of leadership, resources tapped, role of government, sources of resistance, who benefit from the outcome.*)
6. Have there been attempts for improvements which failed? Why do think it failed? (*Probe for constraints to collective action, identify the roles of government and local institutions in influencing outcome.*)

### Agricultural Services

1. What kinds of agricultural services have you received from the government? What about from non-governmental agencies? (*For example, technical assistance, research, inputs, access to credit, training, etc.*)
2. Among all the agricultural services your community has received, which one best met your needs? Please explain.
3. Which one met your needs least? Please explain.
4. Do you think everyone in this community has equal access to agricultural services? How about the poorer members of the community?
5. *Have the group conclude about what is important for delivery of agricultural services which meet the community's needs.*

6. Have there been any efforts by the community to obtain certain agricultural services from outside the village? Can you describe one? Were there community groups which played a particularly helpful role then? What kinds of response did you get from the government and the rest of the community? What kinds of obstacles did you have to deal with? What was the outcome of the effort? (*Probe for locus of leadership, resources tapped, role of government, sources of resistance, who benefit from the outcome.*)
7. Have you ever attempted to make improvements but failed? Why do you think it failed? (*Probe for constraints to collective action, identify the roles of government and local institutions in influencing outcome.*)

### **C. Institutions**

*Bring: lots of paper circles of three different sizes, markers, cellotape, flipchart-sized paper.*

1. *Have the group list all the groups which exist in the community, both formal and non-formal ones. Make sure all the different types of groups are included, example: agricultural, credit, religious, women's groups, etc.*
2. *Have the group go through the list and identify which institutions are most important in meeting the community's needs. Make sure their list is written with plenty of space between each item.*
3. *Cut out (ahead of time) paper circles of three different sizes and lay them out. Ask the group to place the largest circles next to the most important groups, the middle-sized circles next to the less important groups, and the smallest circles next to the least important groups. Write the names of the groups in each circle. We list them below and note the reasoning used to make distinctions.*
4. *Make a relatively big circle at the center of the board paper. Tell the group that this represents them. Have the group place the circles in or around the big circle at the center. The closer they are to the center circle, the more accessible the particular group is to the community. Let the group discuss and argue among themselves. We facilitate when necessary. Copy the diagram below. Take notes on the group's discussion about each institution/group.*
5. What are the main organizations in the village that contribute to solving the community's problems? How have they helped?
6. Are there organizations/groups from outside the village which contribute to solving the community's problems? What groups are they? How have they helped the community?

#### **D. Development Programs**

1. What kinds of development programs/projects are you familiar with? Who were the organizers? What were their activities?
2. Which one(s) brought the most benefit to the community? What was good about it? *(Probe if there was community participation in the project planning and implementation and what form it took; probe for the role of government officials.)*
3. Which one(s) were you not particularly happy with? Why? *(Probe for the role of government officials.)*
4. Do you think it's better to have community groups participate in these projects, or not? Why?
5. Do you think the government is responsive to your community's needs? Please explain.
6. What are your views about the attitude and behavior of district and sub-district officials?
7. Do you feel sufficiently informed about government programs and activities? What are your sources of information?

#### **E. Village Needs**

1. Over the past three years what have been the most important improvements in the life/living standards in this community? Please tell the story of how each came to be.
2. In the next year what one improvement would you most like to see? How can the community most effectively obtain it?

Code No.

**VILLAGE INSTRUMENT C:  
INSTITUTIONAL PROFILE**

*Between three and six institutions per village will be profiled. The choice of which institutions will depend on the results of the group discussion (Village Instrument B) on village institutions. Choose the ones that villagers seem to consider most important to them.*

*The objective of this instrument is to understand the nature of local institutions in the village, their development over time, activities, leadership and membership, and relations with other institutions and the government.*

*For each institution profiled, interviews will be carried out with its leadership, members and non-members.*

Institution: \_\_\_\_\_  
Village: \_\_\_\_\_  
District/Province: \_\_\_\_\_  
  
Interviewer: \_\_\_\_\_  
Dates: \_\_\_\_\_

**DISCUSSION WITH LEADERSHIP**

**A. Origins and Development**

1. How was your organization created? Who was most responsible in its creation (e.g., government mandate, community decision, suggestion of outside NGO)?
2. What kinds of activities has it been involved in?
3. In what ways has the organization changed its structures and purpose? What is the main purpose of your organization today?

4. As the organization developed, what sort of help has it received from outside? Has it received advice and/or funding, etc. from government? What about from non-government sources? How did you get this support? Who initiated it? How was the support given? Has it been good for the organization, or not?

## **B. Membership**

1. Can you tell us about the people involved in your organization? How do they become involved? Are all people in the community involved? If not, why are some members of the community not involved?
2. Why do people join or are willing to serve (as officers) in the organization? What kind of contribution do they have to make to the organization? Is it hard to convince people to continue being active in the organization? What kinds of requests/demands do they make on the leadership and organization?
3. Those who are active (members) in this organization, are they also members of other organizations in the community/region? Do people tend to be members of just one organization or join many simultaneously? Can you explain why?

## **D. Institutional Linkages**

1. What is your organization's relationship like with other community organizations? When do you feel the need to establish collaborations/links with them?
2. Do you have links with organizations outside the village? Please identify them. What is the nature of those links?
3. Do you feel sufficiently informed about government programs and activities? What are your sources of information?
4. Could you describe your relationship with the government? Have you had experience in trying to get government assistance? Who in government does your organization go to in order to get assistance? What was your experience? Which level of government do you find most cooperative? Have the government made particular requests on your organization?
5. Is your organization linked to any government program? Which government program(s) is your organization involved with? Why those particular programs? What sort of role does your organization play in the program? Are there certain characteristics of these programs which make it easier for your organization to work with?

6. Have you attempted to give inputs to the government? What were the circumstances? What have been the results? What kinds of challenges did you have to deal with? (*Probe for any role in the planning, operation and maintenance of government-sponsored services.*)
7. Has your organization been invited to participate in any of the various government development planning processes? What do you think about these planning mechanisms?
8. In general, how do you assess your organization's actual influence on government decision making at the district level?
9. Are you aware that the central government wants to give more power to district level government? What do you know of this? What do you think about this idea and its chances for success?
10. Have your dealings with government agencies experiences changes over time? If so, how? Why do you think they have changed in this way? Have you experienced any tension with the government? What were the circumstances and outcome?

#### **E. Strengths and Weaknesses**

1. What do you consider the greatest strength of this organization?
2. What would be necessary for this organization to be stronger and more effective in achieving its goals?
3. What can other agencies do to help in this?
4. What are the biggest obstacles to getting people organized here?

## DISCUSSION WITH MEMBERS

1. How did you decide to join this group? What kinds of benefits do you get by being a member of this group?
2. How are the leaders of this organization selected? How are decisions made? To what extent do you feel the organization represents your concerns to the outside world and to the government?
3. Why are some people not members of this organization?
4. How do you feel this organization complements, replaces or competes with other local groups in the community?
5. How do you feel this organization complements, replaces or competes with government and non-government institutions' activities in the community?
6. What would you do to make this organization more effective?

## DISCUSSION WITH NON-MEMBERS

1. In your opinion, do the benefits of this particular organization spread beyond its members?
2. Why are some people not members of this organization?
3. How far do you think this organization complements or competes with other community organizations?
4. What is your view about how the organization deals with government? (*For example, does kinship, party affiliation play a role in determining the relationship?*)



