



Preparing Surveys for Urban Upgrading Interventions

Prototype Survey Instrument and User Guide

Ana Goicoechea



URBAN
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THE WORLD BANK
Washington, D.C.



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1818 H Street NW
Washington, DC 20433
Telephone 202-473-1000
Internet [www/worldbank.org](http://www.worldbank.org)

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ABSTRACT

Slum upgrading projects are designed to provide a package of basic services aimed at improving the living conditions of residents in low-income communities. These typically involve a range of infrastructure interventions that cover water, sanitation, waste collection, housing, access to roads, footpaths, storm drainage, lighting, public telephones, schools, health posts and community centers. In addition, they usually include social interventions such as better provision of health and education services, childcare, training, social protection programs, or regularization of areas with insecure tenure.

The purpose of the prototype survey instrument is to support project teams and researchers in designing and implementing surveys for analysis of slum conditions, and as the basis for carrying out rigorous impact evaluations (IE) of slum upgrading projects. This user guide describes the survey instrument and its attributes in section I and provides some practical guidance on incorporating IEs in slum upgrading projects in section II.

PREPARING SURVEYS FOR URBAN UPGRADING INTERVENTIONS:

Prototype Survey Instrument and User Guide

I. GUIDE TO THE SURVEY INSTRUMENT

The prototype survey instrument has been designed to include comprehensive household and community questionnaires. The idea is to facilitate its adaptation to specific country circumstances, as it is often easier to delete irrelevant questions than to design questions from scratch. The household questionnaire ([link to Excel spreadsheets](#)) contains the following nine modules:

- Module 1: Household Roster
- Module 2: Education (long and short version)
- Module 3: Health (long and short version)
- Module 4: Economic Activity
- Module 5: Crime and Violence
- Module 6: Housing and Tenure
- Module 7: Utilities and Services
- Module 8: Social Capital and Community Participation
- Module 9: Upgrading Intervention

The community questionnaire ([link to Excel spreadsheets](#)) contains the following three parts:

- Part I: Respondent Characteristics
- Part II: Core Questionnaire
- Part III: Upgrading Intervention

These questionnaires are especially designed for urban slum areas with a high proportion of low-income housing and thus the options presented under each question reflect this situation. To illustrate, consider the options for household waste disposal. In medium or high-income households, waste is usually collected by a company (either public or private) and then disposed. Thus, household members may not know about the precise disposal mechanism (burned, buried, etc.). In contrast, some low-income households may not be able to afford collection or may live in a zone without access to the public service. In this case, the options in the questionnaire should allow for responses such as: household waste dumped in backyard, taken to a municipal site, burned by a household member, etc.

Questions were taken from a number of sources. Many came from Grosh and Glewwe (2000), who developed a comprehensive survey instrument to facilitate the design household questionnaires in developing countries. Other questions were selected from surveys designed for urban upgrading impact evaluations in Tanzania, Iran, Jamaica, and Swaziland. World Bank urban development experts provided additional inputs.

In general, survey questionnaires should be user friendly. The following attributes, included in the prototype, aim at facilitating the process for the interviewer, the respondent, and the data analyst:

- **Capitalization.** Capitalized words provide information to the interviewer and are not meant to be read to the respondent; while lower cased words are meant to be read aloud.

as: cannot read or write=1, read only=2, read or write=3 (so that the higher the value the higher the literacy level).

- **Question flow.** Once a specific topic is started in a module, all related questions should be clustered in order to minimize implementation time. This way the respondent would refer to or remember a situation the least amount of times.
- **Skip patterns.** It is important to test the questionnaires and identify the logical sequence of questions. Skip patterns should be clear to the interviewer and their nomenclature should be consistent throughout the questionnaire.
- **Numbering.** To facilitate referencing to specific questions and modules when experts adapt the survey instrument to specific country circumstances, questions were numbered at two levels. The first digit represents the module and the rest of the digits the question number within the module. For example, 3.6 refers to the 6th question of module 3. However, after adapting the survey to specific circumstances, it is recommended to follow only one sequence (one level) of numbers in the questionnaire, independently of the modules (Larossi (2006)).
- **Currency.** Household members would more accurately report income and expenditure in local currency. To minimize error, monetary questions should explicitly specify the unit in which the answer is needed. Also, only one currency should be used through the questionnaire.
- **GIS data.** GIS positioning of the household should be captured during the interview. The specific location of households and other variables (such as roads, schools, etc.) might reveal spatial data patterns; help define samples of future surveys; and help locate the same house in a follow-up survey.
- **Template for data of household members.** The entry sheet for data at the household member level should maintain exactly the same size so that the household roster can be put side by side other pages for easy reference.
- **Harmonization.** When applicable, questions should comply with international standards. For example, the survey instrument uses questions on access to improved water and sanitation sources according to UNICEF-WHO guidelines, making these data comparable to MDG indicators.
- **Panel data.** It is useful to collect information that would facilitate locating the same respondent in the future even if they move to another location. For example, by requesting contact information of people that would know about the respondent's whereabouts in the future.

In beginning with survey design, it is important to highlight that the questionnaires are intended as a base and need to be adapted to specific country circumstances, specific interventions, and logistical considerations such as budget constraints. In an attempt to suggest some prioritization, shortened modules were produced for education and health.

It is also important to note that the questionnaire is just one part of the data collection strategy. In addition to the survey questionnaire, the data collection strategy deals with sample design and selection, staffing and training fieldwork personnel, pilot testing, data collection, and data management and access. Among these topics, sample design and selection might determine specific survey questions. For example, the team might decide to drop a question or a set of questions about a specific topic after concluding that in order to observe a sizeable change, the sample size needs to be too large. Providing detailed guidance about these topics is beyond the scope of this note. However, two valuable references to facilitate the other parts of the data collection strategy are Larossi (2006) and Wassenich (2007).

II. INCORPORATING IMPACT EVALUATIONS IN SLUM UPGRADING PROJECTS

If the survey is to be used for an impact evaluation (IE), there are a number of special considerations. Impact Evaluations can be extremely powerful in assessing the appropriateness and effectiveness of projects and should be generally considered in the project preparation cycle. Sometimes, however, they are not feasible because of budget constraints or in cases where it may be technically impossible to apply appropriate methods. For project teams that would want to carry out an impact evaluation, guidance on design is discussed in detail in Baker (2000). Ten key steps are outlined as follows:

Phase I. During project identification and preparation:

- (1) Determining whether or not to carry out an IE;
- (2) Clarifying the objectives of the evaluation;
- (3) Exploring data availability;
- (4) Designing the evaluation;
- (5) Forming the IE team; and
- (6) Defining the data collection strategy.

Phase II. During project implementation:

- (7) Collecting the data;
- (8) Analyzing the data;
- (9) Preparing relevant documents and disseminate the findings; and
- (10) Incorporating findings in the design of new projects.

When following these steps it is important to have in mind that some of them may occur simultaneously and that the IE cycle overlaps with the project cycle. In general, the timing of the project determines the timing of IE-related activities. For example, the baseline data collection for the IE should take place before the roll out of the intervention.

Below are a few key questions that arise in preparing for an impact evaluation, with specific application to impact evaluations of slum upgrading. These are related to the challenges of IE for upgrading, the responsibilities of the IE team members, the different types of effects that the IE might measure, and sources of data.

Which challenges are particular to evaluations of slum upgrading interventions?

According to Field and Kremer (2005), mobility, urban-rural ties, the informal sector, population heterogeneity, crime and multiple simultaneous interventions are potential challenges that need to be taken into account when designing and implementing IEs in slum upgrading interventions.

Mobility refers to the fact that the rate of residential mobility in urban areas is relatively high which can make it difficult to track populations over time. This can be addressed by including questions that allow future household tracking, or by giving incentives to respondents to participate in the follow up survey. In terms of impacts, high mobility might affect the sustainability of maintenance companies.

The population living in slums usually has **rural ties**, which can result in urban residents sending remittances to rural residents. If so, benefits of some types of interventions (e.g. welfare gains) may be larger than the direct benefits as rural residents may be benefiting indirectly. Such impacts need to be taken into account in the evaluation.

A majority of slum residents earn a living in the **informal sector**. These needs to be taken into account when measuring the economic effects or market effects of the intervention. Properly accounting for the informal sector requires careful survey design.

The **heterogeneity of the population** in slums might affect the outcomes of the intervention. For example, ethnic tensions might affect program implementation. Sometimes is pertinent to disaggregate impacts by gender or ethnicity.

High **crime rates** might affect the accuracy of income and employment information. In addition, crime might be a barrier to project implementation. Since crime is usually a problem in slums and sometimes the reduction of crime is conceived as an outcome of the slum upgrading intervention, the survey questionnaire should include questions on perception of security or incidence of crime.

The typical slum-upgrading project includes **multiple simultaneous interventions**. The evaluation should take into account both the effects of the intervention as a whole and the relative effects of each program. Different techniques would allow for capturing both effects including assigning different package to different neighborhoods or phasing-in programs differently.

Field and Kremer (2005) also identify two challenges inherent to public goods provision interventions: spillovers and contamination effects. *Spillovers* occur when the intervention affects non-participants (people who do not participate in the program or those outside the treatment group). Possible strategies to tackle this issue include randomizing across units and within units, or simply choosing two levels of control groups. *Contamination* occurs when members of the control group participate in other programs, which makes it difficult to isolate the effects of each intervention. Interventions in urban areas are more prone spillovers and contamination due to high population densities and higher access to information

What are the responsibilities of the IE team members?

The more basic IE team includes an IE manager, a lead researcher and a research assistant. The **IE manager** is responsible for clarifying the objectives of the IE taking into account the client's needs, drafting the terms of reference for IE team members, reaching agreement among the IE team, the project team, and the client about implications of the IE implementation (e.g. specific characteristics of the roll out of the intervention such as phasing in different interventions, to properly apply evaluation methods), and coordinating the field work. The **lead researcher**, usually an economist, is responsible for selecting the evaluation methodology, defining and supervising the data collection strategy including survey and sampling design, supervising the field work, doing the quantitative analysis, and writing the evaluation report. The **research assistant** is responsible for giving support to the lead researcher, especially when it comes to designing the data entry programs, processing data producing basic results for the qualitative analysis.

As suggested in Baker (2000), some interventions might also require a *sociologist* and an *anthropologist* to ensure community participation, and perform the qualitative analysis. Some others might require a *fieldwork manager* to supervise the data collection plans including scheduling the work of field supervisors and interviewers.

Since most slum upgrading projects include multiple interventions, the team should communicate with relevant sector experts throughout the IE. For example, in an intervention that includes water and sanitation (WSS) and waste management components,

it is recommended to consult WSS and waste management experts at different stages of the IE to get feedback on evaluation issues, survey questionnaire, and possible explanations of the IE results, among others.

What are the different types of effects that the IE can measure?

As early as in step 2 “clarifying the objectives of the IE”, the IE team should identify the likely effects of the intervention as a whole and its individual components. In order to do this it is important to distinguish among four types of data: longer-term impacts of interest, medium-term outcomes of interest, outputs, and external factors that might influence the outcomes. Indicators for these types of data need to be included in the survey questionnaire. In addition, the IE team should think about the magnitude of the expected impacts or outcomes, which is an essential piece of information when defining the sample size (Wassenich (2007)).

IE of slum upgrading projects might measure the effects of the project on outcomes and impacts such as completion rates, equity of benefits, socio-economic variables, real estate market, provision of community public goods, or local participation, fertility rates, residential segregation by race, class, or ethnicity, formal sector integration, political enfranchisement, local governance, intra-household bargaining, gender disparities, health, informal taxes, time use, crime and violence, safety perception, and/or credit market demand and access (Field and Kremer (2005)).

What are the sources of data?

One of the basic steps consists on exploring existing data. There are multiple data sources that might help reduce data collection costs such as administrative data, household survey data, census data, facility survey data, industry data, specialized survey data, participatory assessments, and GIS/GPS data (Baker and Schuler (2004) and Wassenich (2007)).

The International Household Survey Network offers a [Central Survey Catalog](#) that consists on a list of existing and planned surveys by country. Another source is the [microdata section of DDP](#), the World Bank Development Data Platform, which offers a list of existing household surveys along with questionnaires, other documentation and datasets by country. Other sources, such as the Africa Household Survey Databank can be found in [PREM's impact evaluation](#) website of the World Bank.

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ANNEX 1. HOUSEHOLD SURVEYS



SurveyInstrument_HH_03.06.2008.xls

Module 1: Household Roster

	1.1 Please provide the names of all the members of your immediate family, who have been living and eating meals together in this dwelling for at least 9 months over the past year.		1.2 GENDER MALE 1 FEMALE 2	1.3 How old is [NAME]?	1.4 What is [NAME] relationship to the head of the household? HEAD 1 WIFE/ HUSBAND 2 CHILD/ ADOPTED CHILD 3 GRANDCHILD 4 NIECE/NEPHEW 5 FATHER/ MOTHER 6 SISTER/BROTHER 7 SON/ DAUGHTER IN LAW 8 BROTHER/ SISTER IN LAW 9 GRANDFATHER/ MOTHER 10 FATHER/ MOTHER IN LAW 11 OTHER RELATIVE 12 OTHER (SPECIFY _____) 13	1.5 What is the present marital status of [NAME]? MARRIED 1 DIVORCED 2 SEPARATED 3 WIDOW/WIDOWER 4 NEVER MARRIED 5	1.6 What is the highest diploma [NAME] has attained? NONE (ILLITERATE) 1 PRIMARY 2 SECONDARY 3 BACHELORS 4 MASTERS 5 PHD 6
	LAST NAME	FIRST NAME	SECOND NAME	YEARS	CODE	CODE	CODE
01							
02				1			
03				2			
04							
05							
06							
07							
08							
09							
10							
11							
12							
13							
14							
15							

Module 2: Education

2.1		2.2		2.3		2.4					
Can [NAME] read and write? Illiterate 1 Sign only 2 Read only 3 Read and write 4		Have [NAME] ever repeated a grade of school? YES 1 NO 2		How many times has [NAME] repeated a grade in primary, secondary and tertiary school?		How much has your household spent on [NAME] education in the past 12 months? [LOCAL CURRENCY]					
CODE	CODE	PRIMARY	SECONDARY	TERTIARY	Tuition	Clothing	Books and materials	Transport	Tutors	Other fees	
01											
02											
03											
04											
05											
06											
07											
08											
09											
10											
11											
12											
13											
14											
15											

Module 2: Education

2.5		2.6		2.7		2.8		2.9		2.10		2.11	
Is [NAME] currently enrolled in school?		Main reason why [NAME] is not attending school		In what school is [NAME] currently enrolled?		In general, how would you rate school infrastructure and school quality?		How many days has [NAME] attended school in the past 7 days?		How many days has [NAME] school been open in the past 7 days?		Is the school [NAME] is currently enrolled in public or private?	
YES (>> 2.7) 1 NO 2		1 Not keen to attend 1 2 Could not get into school 2 3 To help with homework 3 4 Suspended 4 5 Cost of tuition, books, and materials 5 6 Long distance to school 6 7 Dangerous route to school 7 8 Cost of transport 8 9 Sick 9 10 Graduated 10 11 Other (specify _____) 11		PRE-SCHOOL 1 PRIMARY 2 SECONDARY 3 POST SECONDARY 4		Good 1 Fair 2 Bad 3		INFRASTRUCTURE CODE		SCHOOL QUALITY CODE		PUBLIC 1 PRIVATE 2 NOT SURE 3	
CODE		CODE		CODE		CODE		DAYS		DAYS		CODE	
01													
02													
03													
04													
05													
06													
07													
08													
09													
10													
11													
12													
13													
14													
15													

Module 2: Education

I D C O D E	2.12	2.13		2.14	2.15
	What is the distance in kilometers from your home to the school [NAME] has been attending in the past 12 months?	How long does it take [NAME] to travel to school? (time one way)	HOURS	MIN	How does [NAME] usually go to school? Walk 1 Bicycle 2 Private vehicle 3 Bus/minibus 4 Train 5 Taxi 6 Boat 7 Animal/Car 8 Other (specify _____) 9
	KMS			CODE	CODE
01					
02					
03					
04					
05					
06					
07					
08					
09					
10					
11					
12					
13					
14					
15					

Module 2: Education (short version)

	2.1	2.2	2.3	2.4
	Can [NAME] read and write? Illiterate 1 Sign only 2 Read only 3 Read and write 4	Have [NAME] ever repeated a grade of school? YES 1 NO 2	Is [NAME] currently enrolled in school? YES 1 NO 2	Main reason why [NAME] is not attending school Not keen to attend 1 Could not get into school 2 To help with household 3 Suspended 4 Cost of tuition, books, and materials 5 Long distance to school 6 Dangerous route to school 7 Cost of transport 8 Sick 9 Graduated 10 Other (specify _____) 11 AFTER ANSWERING >>> MODULE 3
	CODE	CODE	CODE	CODE
01				
02				
03				
04				
05				
06				
07				
08				
09				
10				
11				
12				
13				
14				
15				

Module 3: Health

3.1		3.2		3.3		3.4		3.5						3.6	
Has [NAME] suffered from an illness during the past 4 weeks? YES 1 NO 2		What was the main symptom of this illness? Fever 1 Chills 2 Cough 3 Diarrhea 4 Nausea/vomiting 5 Headache 6 Shortness of breath 7 Other (specify _____) 8		In the past 4 weeks, how many days of primary daily activities did [NAME] miss due to poor health?		Compared with [NAME'S] health one year ago, how is his/her health now? Much better 1 Somewhat better 2 About the same 3 Somewhat worse 4 Much worse 5		How many times did [NAME] visit a [...] during the past 4 weeks? [PUT ZERO IF NONE]						What was the purpose of the latest visit? CHECK-UP 1 CONSULTATION 2 INJECTION 3 LABORATORY TEST 4 SURGERY 5 X-RAY 6 BIRTH CONTROL 7 MEDICATIONS 8 PRENATAL CARE 9 OTHER (SPECIFY _____) 10	
CODE	CODE	DAYS	CODE	CODE	Public hospital	Public health clinic	Private hospital	Private health clinic	Private doctor	Private nurse	Other (specify _____)	CODE	CODE		
01															
02															
03															
04															
05															
06															
07															
08															
09															
10															
11															
12															
13															
14															
15															

Module 3: Health

3.7	3.8	3.9	3.10	3.11	3.12
How much did [NAME] pay for all costs associated with these visits in the past 4 weeks?	Are [NAME] health care costs covered by any kind of insurance? YES 1 NO 2	Is [NAME] taking medicine? YES 1 NO 2	What kind of exercise or sports does [NAME] do more often? SOCCER, VOLLEYBALL, OR BASKETBALL 1 RUNNING, WALKING, CYCLING 2 AEROBICS, WEIGHT LIFTING, OR MARTIAL ARTS 3 SWIMMING 4 NONE 5 OTHER (SPECIFY _____) 6	How often has [NAME] experience fatigue or exhaustion in the past 4 weeks? OFTEN 1 SOMETIMES 2 NEVER 3	How often has [NAME] been short-tempered or hyper-sensitive in the past 4 weeks? OFTEN 1 SOMETIMES 2 NEVER 3
LOCAL CURRENCY	CODE	CODE	CODE	CODE	CODE
01					
02					
03					
04					
05					
06					
07					
08					
09					
10					
11					
12					
13					
14					
15					

Module 3: Health

3.13 What is the distance in kilometers from your home to the nearest [...]?

Public hospital	KMS
Public health clinic	
Private health hospital	
Private health clinic	

3.14 What mode of transportation would you use to travel to the nearest health facility from your home?

CODE

- Walking 1 Train 5
- Bicycle 2 Boat 6
- Car 3 Animal 7
- Bus 4 Other (specify _____) . 8

3.15 How much money does it cost for one person to travel to the closest health facility from your home using this mode of transportation?

LOCAL CURRENCY

3.16 How long does it take you to travel from your home to the closest health facility using this mode of transportation? (time one way)

HOURS MINUTES

Module 3: Health (short version)

3.1		3.2		3.3		3.4		3.5						3.6	
Has [NAME] suffered from an illness during the past 4 weeks? YES 1 NO 2		What was the main symptom of this illness? Fever 1 Chills 2 Cough 3 Diarrhea 4 Nausea/vomiting 5 Headache 6 Shortness of breath 7 Other (specify _____) 8		In the past 4 weeks, how many days of primary daily activities did [NAME] miss due to poor health?		Compared with [NAME'S] health one year ago, how is his/her health now? Much better 1 Somewhat better 2 About the same 3 Somewhat worse 4 Much worse 5		How many times did [NAME] visit a [...] during the past 4 weeks? [PUT ZERO IF NONE]						What was the purpose of the latest visit? CHECK-UP 1 CONSULTATION 2 INJECTION 3 LABORATORY TEST 4 SURGERY 5 X-RAY 6 BIRTH CONTROL 7 MEDICATIONS 8 PRENATAL CARE 9 OTHER (SPECIFY _____) 10	
CODE		CODE		DAYS		CODE		Public hospital	Public health clinic	Private hospital	Private health clinic	Private doctor	Private nurse	Other (specify _____)	CODE
01															
02															
03															
04															
05															
06															
07															
08															
09															
10															
11															
12															
13															
14															
15															

Module 3: Health (short version)

3.7 What is the distance in kilometers from your home to the nearest [...]?

	KMS
Public hospital	
Public health clinic	
Private health hospital	
Private health clinic	

Module 4: Economic Activity

4.1	4.2	4.3	4.4	4.5	4.6
How many months has [NAME] worked over the past 12 months?	What is [NAME's] current employment status?	What is the main reason why [NAME] is not working?	Would [NAME] like to expand his/her business?	How many hours did [NAME] work last week?	What form of transport does his/her work place?
	1 Self-employed (formal) (>> 4.4) 2 Self-employed (informal) (>> 4.4) 3 Employed, private (formal) (>> 4.5) 4 Employed, private (informal) (>> 4.5) 5 Employed, public sector (>> 4.5) 6 Daily worker (>> 4.5) 7 Unpaid family worker (>> 4.5) 8 Unemployed (active, looking for work) 9 Not working 10 Other (specify _____)	1 No job opportunity 2 Student 3 Pensioner 4 Old age 5 Disabled/illness 6 Other (specify _____) AFTER ANSWERING >> 4.8	YES 1 NO 2		1 Walk 2 Bicycle 3 Private vehicle 4 Bus/minibus 5 Train 6 Taxi 7 Boat 8 Animal/cart 9 Other (specify _____)
	CODE	CODE	CODE	HOURS	CODE
01					
02					
03					
04					
05					
06					
07					
08					
09					
10					
11					
12					
13					
14					
15					

Module 4: Economic Activity

	4.7		4.8		4.9		4.10		4.11		4.12		4.13		
	How much money and time did [NAME] spend on transport to his/her workplace? ONE WAY TRIP	MINUTES	Does any household member have an outstanding loan? Yes, with interest 1 Yes, interest free 2 No (>> 4.12) 3	Who is the borrower? ENTER HOUSEHOLD ID	What is the purpose of this loan? Marriage 1 House repair 2 House purchase 3 Business 4 Vehicle purchase 5 Consumer goods 6 Other (specify _____) 7	Who is the lender? Credit union 1 Commercial bank 2 Micro-financing agency 3 Partner draw 4 Another person 5 Other (specify _____) 6	Are you looking for new income earning opportunities? YES 1 NO 2	What support does [NAME] need to get such opportunity? None 1 Skill training 2 Technology/ equipment 3 Marketing 4 Raw materials 5 Loan 6 Other (specify _____) 8	LOCAL CURRENCY	MINUTES	CODE	CODE	CODE	CODE	CODE
I															
D															
C															
O															
D															
E															
01															
02															
03															
04															
05															
06															
07															
08															
09															
10															
11															
12															
13															
14															
15															

Module 4: Economic Activity

	4.14 Does your household own any of the following items? YES...1 NO...2	4.15 How many do you own? NUMBER OF ITEMS	4.16 How much would you say it cost to replace each of these items? LOCAL CURRENCY
Radio			
Television			
Iron (electric or coal)			
Stove			
Oven (electric or gas)			
Microwave			
Refrigerator			
Telephone, fixed line			
Mobile phone			
Computer			
Washing machine			
Water heater			
Water tank			
Power generator			
Fan			
Furniture			
Bicycle			
Motorcycle/ scooter			
Car/ truck			
Cart			
Pack animals (donkey, horse)			
Sewing or knitting machine			
Tools			
Urban land (Hectares)			
Rural land (Hectares)			
Other (specify)			

4.17 Have you tried to open a Bank account?

- Yes, but was rejected 1
- Yes, have a Bank account 2
- No 3

CODE

4.18 Could you use your house as collateral of a loan?

- YES 1
- NO 2

CODE

4.19 What is the minimum amount of money the household need to survive per month?

CODE

4.20 Would anyone in the household like to start a small business/another business?

- YES 1
- NO 2

LOCAL CURRENCY

4.21 What assistance would be useful for this business?

- Obtaining raw materials 1
- Selling/marketing 2
- Micro-credit 3
- Training or advice 4
- Other (specify _____) 5

CODE

Module 4: Economic Activity

		4.22	4.23							4.24							
		How much did [NAME] earn last month? LOCAL CURRENCY	How much did [NAME] spend last month in the following categories? LOCAL CURRENCY							Approximately how much did [NAME] earn last year? US DOLLARS							
			Employment	Family transfer	Help from friends	Pension	Public assistance	Other (specify _____)	Total income	Food	Transport	Clothes	Housing	Education	Other (specify _____)	Total expenditure	CODE
I	D																1
C	O																2
D	E																3
																	4
01																	
02																	
03																	
04																	
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13																	
14																	
15																	

Module 5: Crime & Violence

5.1 How safe do you feel in terms of your physical security (crime, violence) in this community?

- 1 Not safe 1 CODE
- 2 Fairly safe
- 3 Safe
- 4 Very safe

5.2 What is the main reason why some crimes in this community are not reported?

- 1 No confidence in administration of justice 1 CODE
- 2 Afraid of perpetrator
- 3 Perpetrator was household member/relative/friend
- 4 Not serious enough
- 5 Other (specify _____)

5.3 In your opinion, what is the best way to prevent crime and violence in this community?

- 1 Mediation between opposing groups 1 CODE
- 2 Mediation through community leader/group
- 3 More effective policing
- 4 Parenting classes
- 5 Increasing awareness in school
- 6 More skills training for young people
- 7 More sports, clubs
- 8 Increasing community participation
- 9 Other (specify _____)

5.4 How is the current safety situation in this community compared with the situation one year ago?

- 1 Much better 1 CODE
- 2 Somewhat better
- 3 About the same
- 4 Somewhat worse
- 5 Much worse

5.5 Is it safe for women and children to walk around by themselves in your neighborhood?

- 1 YES 1 CODE
- 2 NO

5.6 In the past 12 months, has anybody in this household been a victim of any of a crime?

- 1 YES 1 CODE
- 2 NO (>-> MODULE 6)

Module 5: Crime & Violence

5.7	5.8	5.9	5.10	5.11	5.12	5.13
What type of crime?	Where did it occur?	Who did it?	To whom was it reported?	What actions were taken against the perpetrator?	After the crime, did the victim receive medical treatment?	Was this crime drug-related?
Severe beating	1 At home	1 Household member (PUT ID CODE)	1 Nobody	1 No action	1 YES	1 Yes
Extortion	2 Within community	2 Neighbor	21 Police	2 Reported/ filed case to police	2 NO	2 No
Theft	3 In neighboring community	3 Gang member, same community	22 Community leader	3 Beat perpetrator	3	Partly/indirectly
Mugging/ robbery	4 Elsewhere (specify _____)	4 Gang member, outside community	23 Community don	4 Community action	4	3
Rape/ attempted rape	5	5 Employer	24 Religious leader	5 Threatened perpetrator	5	
Murder	6	6 Police	25 Other (specify _____)	6 Other (specify _____)	6	
Attempted murder	7	7 Other (specify _____)	26			
Kidnapping/ abduction	8					
Arson	9					
Gun injury	10					
Knife injury	11					
Other (specify _____)	12					
	CODE	CODE	CODE	CODE	CODE	CODE

01						
02						
03						
04						
05						
06						
07						
08						
09						
10						
11						
12						
13						
14						
15						

Module 6: Housing & Tenure

6.1 WHAT IS THE MAIN CONSTRUCTION MATERIAL OF THE EXTERNAL WALLS?

- 1 BRICK CODE
- 2 CONCRETE PLATES
- 3 CONCRETE BLOCKS
- 4 UNBAKED BRICK/ADOBE
- 5 WOOD, LOGS
- 6 TIN, ZINC SHEETING
- 7 FLATTENED TIN CANS
- 8 MUD
- 9 BAMBOO
- 10 CANVAS, FELT
- 11 OTHER (SPECIFY _____)

6.2 WHAT IS THE MAIN MATERIAL OF THE ROOF?

- 1 CONCRETE CODE
- 2 SHINGLES
- 3 ASBESTOS SHEETS
- 4 METAL SHEETS
- 5 TILE
- 6 WOOD
- 7 UNBAKED BRICKS
- 8 THATCH
- 9 OTHER (SPECIFY _____)

6.3 WHAT IS THE MAIN MATERIAL OF THE FLOOR?

- 1 PARQUET CODE
- 2 PAINTED WOOD
- 3 TILE
- 4 LINOLEUM
- 5 CONCRETE
- 6 CLAY/EARTHEN FLOOR
- 7 OTHER (SPECIFY _____)

6.4 WHAT TYPE OF DWELLING IS THIS?

- 1 DETACHED HOUSE CODE
- 2 MULTI-FAMILY HOUSE
- 3 SEPARATE APARTMENT
- 4 COMMUNAL APARTMENT
- 5 ROOM IN A LARGER DWELLING
- 6 SEVERAL BUILDINGS CONNECTED
- 7 SEVERAL SEPARATE BUILDINGS
- 8 IMPROVISED HOUSING UNIT
- 9 OTHER (SPECIFY _____)

6.5 How many years has your household been living in this dwelling?

ENTER ZERO IF LESS THAN 1 YEARS

6.6 Where did this household live before coming to this settlement?

- 1 Another settlement in the city CODE
- 2 Another urban center
- 3 Rural area/ village
- 4 Another country
- 5 Other (specify _____)

6.7 Why did you move to this place?

- 1 Better schools CODE
- 2 Better roads
- 3 Better health facilities
- 4 Availability of potable water
- 5 Better security
- 6 Availability of land
- 7 Closer to work place
- 8 Evicted from previous place
- 9 Other (specify _____)

6.8 In approximately what year was this dwelling built?

ASK THE RESPONDENT TO PROVIDE AN ESTIMATE IF UNSURE OF THE EXACT YEAR

YEAR

Module 6: Housing & Tenure

6.9 How many squared meters does your dwelling have including living and accessory rooms?

SQUARED METERS

6.10 How many rooms does this house have (including bedrooms and living rooms)?

DO NOT COUNT BATHROOMS, KITCHENS, BALCONIES, AND CORRIDORS

ROOMS

6.11 How many rooms do the members of your household occupy, including bedrooms, living rooms, and rooms used for household enterprises?

DO NOT COUNT BATHROOMS, KITCHENS, BALCONIES, AND CORRIDORS

ROOMS

6.12 How many, if any, of these rooms are used primarily for family enterprise or trade?

ENTER ZERO IF ROOMS ARE NOT USED FOR BUSINESS OR TRADE

ROOMS

6.13 What type of toilet facilities do you use?

Private pit 1 CODE
 Private water closet 2
 Shared pit 3
 Shared water closet 4
 Community toilet 5
 None (>> 6.16) 6
 Other (specify _____) 7

6.14 Are the toilet facilities you use inside or outside the house?

INSIDE 1 CODE
 OUTSIDE 2

6.15 Does the bathroom you use have a permanent water connection?

YES 1 CODE
 NO 2

6.16 What type of kitchen do you use?

Within house-separate kitchen 1 CODE
 Within house-as part of other room . . . 2
 Outside the house 3
 No cooking (>> 6.19) 4

6.17 Is the kitchen you use inside or outside the house?

INSIDE 1 CODE
 OUTSIDE 2

6.18 Does the kitchen have a sink permanently connected to a water supply?

YES 1 CODE
 NO 2

6.19 What is the condition of this dwelling?

Very weak 1 CODE
 Weak 2
 Needs repair 3
 Good 4
 Very good 5

6.20 In what condition is the roof of the main dwelling?

Very weak 1 CODE
 Weak 2
 Needs repair 3
 Good 4
 Very good 5

6.21 In what condition are the walls of the main dwelling?

Very weak 1 CODE
 Weak 2
 Needs repair 3
 Good 4
 Very good 5

6.22 Did the household undertake any form of housing improvement/update in the last 12 months?

YES 1 CODE
 NO (>> 6.25) 2

Module 6: Housing & Tenure

6.23 How much did you spend on improvements?

	LOCAL CURRENCY
Upgrading through relocation	
Plot	
Building material	
Maintenance/repair	
Services	
Other (specify _____)	

6.24 What is the household's valuation before and after improvements?

	LOCAL CURRENCY
Before improvements	
After improvements	

6.25 Is this dwelling owned or rented by a member of your household?

OWNED	1	CODE
RENTED (>= 6.43)	2	
OTHER (SPECIFY _____) (>= 6.48)	3	

6.26 Who is the owner?

ID CODE

6.27 Did you buy or construct this house?

BOUGHT THE HOUSE (>= 6.30)	1	CODE
CONSTRUCTED THE HOUSE	2	
OTHER (SPECIFY _____) (>= 6.34)		

6.28 In which year did you construct this house?

YEAR

6.29 How much was the total cost of construction?

[AFTER ANSWERING >> 6.32]	LOCAL CURRENCY
---------------------------	----------------

6.30 When did you buy this house?

YEAR

6.31 How much did you pay for this house?

LOCAL CURRENCY

6.32 How did you finance the acquisition or construction of this dwelling?

Own sources	1	CODE
Informal borrowing (no interest)	2	
Informal loan / money lender	3	
Loan from voluntary fund	4	
Formal loan (without collateral)	5	
Formal home loan	6	
Rent-to-own	7	
Other (specify _____)	8	

6.33 Specify under what arrangements is this dwelling owned

Owned outright (no mortgage)	1	CODE
Mortgage being paid	2	
Other (specify _____)	3	

6.34 What type of ownership document do you have?

Registered title	1	CODE
Common law title (bill of sale, will, etc.)	2	
Family ownership	3	
Other (specify _____)	4	

6.35 How much did you pay in property taxes last year?

ENTER ZERO IF NONE	LOCAL CURRENCY
--------------------	----------------

6.36 Under what conditions do you occupy the land on which your dwelling is located?

Owned	1	CODE
Leased	2	
Rent free	3	
Squatted	4	
Other (specify _____)	5	

Module 6: Housing & Tenure

6.37 How much did you pay for the land?

LOCAL CURRENCY

6.38 How many paying tenants do you have?

ENTER ZERO IF NONE
IF ZERO >> 6.41
NUMBER

6.39 How much do they pay in rent for each room per month?

LOCAL CURRENCY

6.40 By how much did you increase their rent since last year?

LOCAL CURRENCY

6.41 If you were to sell this property, how much do you think you could sell it for?

LOCAL CURRENCY

6.42 If you were to rent this property, how much do you think you could rent it for?

[AFTER ANSWERING >> 6.48]
LOCAL CURRENCY

6.43 What kind of tenancy do you have with the owner?

Written agreement 1 CODE
Verbal agreement 2
No agreement 3

6.44 What is the total rent per month?

LOCAL CURRENCY

6.45 How much of the total rent per month is subsidized by the government?

LOCAL CURRENCY

6.46 By how much has your rent increased since the last year?

ENTER ZERO IF NO INCREASE LOCAL CURRENCY

6.47 Does the rent include the following utilities?

YES 1
NO 2

	CODE
Electricity	<input type="text"/>
Water	<input type="text"/>
Refuse removal	<input type="text"/>
Levy	<input type="text"/>
Furniture	<input type="text"/>
Other (specify _____)	<input type="text"/>

6.48 Has your household ever been evicted?

No 1 CODE
Yes from this settlement 2
Yes from another settlement 3

4.49 What was the reason for the most recent eviction?

Government's land regularization 1 CODE
Inability to pay the rent 2
Other (specify _____) 3

6.50 Is it easy to buy or sell property in this neighborhood?

YES 1 CODE
NO 2

6.51 Are you planning to move to another unit within the next 24 months?

YES, DEFINITELY 1 CODE
YES, PROBABLY 2
NO 3

6.52 Where would you most probably move?

Area:
Municipality:
State:
Country:

Module 6: Housing & Tenure

6.53 Please provide two contacts that would know where to find you if you move.

	NAME	ADDRESS	TELEPHONE	RELATIONSHIP CODE
1				
2				

- RELATIONSHIP_CODE
 FATHER/MOTHER 1
 SISTER/BROTHER 2
 SON/DAUGHTER 3
 FRIEND 4
 EMPLOYER 5
 OTHER (SPECIFY _____) 6

Module 7: Utilities & Services

WATER

7.1 What is the main source of water for drinking and cooking used by your household?

- 1 CODE
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- 10
- 11
- 12
- 13
- 14

7.7 How many days per week is the water available from this source?

DAYS

7.8 How many hours per day does the water usually flow?

HOURS

7.9 How is the daytime water pressure?

- 1 Good
- 2 Good but occasionally low
- 3 No pressure during part of the day
- 4 No pressure during most of the day

7.10 Do you pay a bill for water?

- 1 YES
- 2 NO

7.11 How much did you pay for water last month?

ENTER ZERO IF DID NOT PAY LOCAL CURRENCY

7.12 Who is collecting the water charges ?

- 1 Public agency
- 2 Private entrepreneur
- 3 Landlord
- 4 Neighbor
- 5 Charitable organization
- 6 Middleman
- 7 Other (specify _____)

7.13 Who is the water service provider?

- 1 Public agency
- 2 Private entrepreneur
- 3 Own production
- 4 Landlord
- 5 Neighbor
- 6 Charitable organization
- 7 Community effort
- 8 Other (specify _____)

7.2 What is the distance in meters from your home to this source?

METERS

7.3 How long does it take to get water from this source

(round trip including waiting time)? MINUTES

7.4 How many times a week do you get water from this source?

TRIPS/WEEK

7.5 Who typically collects water from this source?

PERSON THAT GOES MORE OFTEN ID CODE

7.6 How many household members typically go to collect water on each trip?

No. MEMBERS

Module 7: Utilities & Services

- 7.14** Which system do you use to store water?
- 1 Tank with pump CODE
 - 2 Tank without pump
 - 3 Containers or barrels
 - 4 Shared/communal storage
- 7.15** What method do you use to treat the water you drink?
- 1 Boiling
 - 2 Use cloth
 - 3 Sedimentation
 - 4 Chemical
 - 5 Filtering
 - 6 Electronic
 - 7 Other (specify _____)

- 7.16** How satisfied are you with the following aspects of water supply?
- 1 Dissatisfied
 - 2 Somewhat dissatisfied
 - 3 Neutral
 - 4 Somewhat satisfied
 - 5 Satisfied

	CODE
Frequency of supply (days per week)	<input type="text"/>
Duration of supply (hours per day)	<input type="text"/>
Water pressure	<input type="text"/>
Water charges	<input type="text"/>
Water quality	<input type="text"/>

- 7.17** In the past year, has any upgrading or improvements been made to water supply facilities or services used by your household?
- YES 1 CODE
 - NO 2

- 7.18** How would you classify the improvement?
- 1 Major CODE
 - 2 Fair
 - 3 Minor

SANITATION

- 7.19** What kind of toilet facility does your household use?
- 1 Flush toilet CODE
 - 2 Ventilated improved pit latrine (>> 7.21)
 - 3 Pit latrine with slab (>> 7.21)
 - 4 Pit latrine without slab/ open pit (>> 7.21)
 - 5 Composting toilet (>> 7.21)
 - 6 Bucket (>> 7.22)
 - 7 Hanging toilet/latrine (>> 7.22)
 - 8 No facilities or bush or field (>> 7.22)
 - 9 Other (specify _____) (>> 7.22)

- 7.20** What disposal system is this flush toilet connected to?
- 1 Piped sewer CODE
 - 2 Septic tank
 - 3 Pit latrine
 - 4 Other (specify _____)
 - 5 Don't know

- 7.21** Is the toilet system working properly?
- 1 Yes
 - 2 No, there are backups or smell
 - 3 No, insufficient water supply for flushing
 - 4 No, does not work at all
 - 5 No, other (specify _____)

- 7.22** How many households use or share this toilet?
- ENTER 1 IF TOILET IS USED BY THIS HOUSEHOLD ONLY
- N. HOUSEHOLDS

- 7.23** Are you satisfied or dissatisfied with the wastewater collection/treatment service?
- 1 Dissatisfied CODE
 - 2 Somewhat dissatisfied
 - 3 Neutral
 - 4 Somewhat satisfied
 - 5 Satisfied

- 7.24** How much did you pay for wastewater collection/treatment last month?
- ENTER ZERO IF DID NOT PAY
- LOCAL CURRENCY
- IF HIGHER THAN ZERO >> 7.26

Module 7: Utilities & Services

7.25 Are you willing to pay for wastewater collection/treatment?

YES 1 CODE
 NO 2

7.33 How much garbage is left behind when a collection is made?

A lot 1 CODE
 Little 2
 None (> 7.35) 3

7.26 How does your household disposed of garbage?

It is collected 1 CODE
 Bring it to a collection point (>> 7.29) 2
 Burn it (>> 7.36) 3
 Bury it (>> 7.36) 4
 Dump it in own yard (>> 7.36) 5
 Dump it in river/pond/gully (>> 7.36) 6
 Dump it in other place (>> 7.36) 7
 Other (specify _____) (>> 7.36) 8

7.34 What is the main reason why some garbage is left behind?

People put garbage where they should not .. 1 CODE
 The garbage collection is not efficient 2
 Both of the above 3
 Violence in the community 4
 Other (specify _____) 5

7.35 Are you satisfied or dissatisfied with the collection service?

Dissatisfied 1 CODE
 Somewhat dissatisfied 2
 Neutral 3
 Somewhat satisfied 4
 Satisfied 5

7.27 Who provides the collection service?

City/public collection service 1 CODE
 Private service 2

7.28 How many times was your garbage collected during the last month?

ENTER ZERO IF NONE
 (>> 7.33) NUMBER

7.36 Does your household save or recycle [...]?

YES 1
 NO 2 CODE
 Food waste for animal feed
 Paper, wood, or combustibles for fuel
 Other (specify _____)

7.29 What is the distance in meters from your home to this collection point?

METERS

7.30 How long does it take to go to this collection point, (round trip including waiting time)?

MINUTES

7.37 How much did you pay for garbage collection last month?

ENTER ZERO IF DID NOT PAY LOCAL CURRENCY
 IF HIGHER THAN ZERO >> 7.39

7.31 How many times a week do you go to this collection point?

TRIPS PER WEEK

7.38 Are you willing to pay for garbage collection?

YES 1 CODE
 NO 2

7.32 Who typically brings the garbage to the collection point?

PERSON THAT GOES MORE OFTEN ID CODE

7.39 Do you have electricity?

YES 1 NUMBER
 NO (> 7.45) 2

ELECTRICITY

Module 7: Utilities & Services

7.40 How many hours per day do you get electricity?

HOURS

7.41 How many blackouts do you experience per week?

NUMBER

7.42 How is the electricity connection made?

Metered connection to the house 1 CODE

Connection from neighbor's house 2

Connection from street 3

Other (specify _____) 4

7.43 Are you paying for the use of electricity?

Yes, to electric company 1 CODE

Yes, to another person 2

No (> 7.45) 3

7.44 How much did you pay for electricity last month?

LOCAL CURRENCY

7.45 What is the main source of lighting in your dwelling?

Electricity 1 CODE

Kerosene lamps 2

Firewood 3

Candles, battery flashlight 4

Solar 5

Other (specify _____) 6

7.46 What fuel do you use most often for cooking?

Electricity 1 CODE

Paraffin/ kerosene 2

Gas 3

Firewood 4

Charcoal 5

Solar 6

Other (specify _____) 7

TELEPHONES

7.47 Does your household have access to [...]?

YES 1 CODE

NO (> 7.49) 2 CODE

Fixed line phone

Mobile phone

Public phone within 1 km

7.48 How much did you pay for telephone services last month?

LOCAL CURRENCY

7.49 How long does it take you to go to the closest public phone, (minutes one way)?

MINUTES

TRANSPORT

4.50 What is the condition of the road outside your dwelling?

Paved, in good condition 1 CODE

Paved, in poor condition 2

Dirt, in good condition 3

Dirt, in poor condition 4

7.51 What is the main problem with this road?

Drainage in rain 1 CODE

Bad road surface 2

No sidewalk 3

Narrow/obstructed sidewalk 4

Other (specify _____) 5

7.52 Is there working street lighting in the area near your house?

YES 1 CODE

NO 2

7.53 What is the main problem with the street lighting in this area?

There is no problem 1 CODE

Some lights are not working 2

Lights are not working 3

Lights are too dim 4

Module 7: Utilities & Services

7.54 What is the main transport mode used by your household?

- Walk 1 CODE
- Bicycle 2
- Private vehicle 3
- Bus/minibus 4
- Train 5
- Taxi 6
- Boat 7
- Animal/cart 8
- Other (specify _____) 9

7.55 What is the main obstacle for using a bus?

- Distance to bus stop 1 CODE
- Inrequent service 2
- Cost 3
- Does not go where we need to 4
- None 5
- Other (specify _____) 6

7.56 What is the distance from your home to the nearest bus stop?

- < 500 meters 1 CODE
- 500 meters – 1 kilometer 2
- 1-2 kilometers 3
- >2 kilometers 4

PUBLIC SPACES/RECREATION

7.57 What is the distance from your home to the nearest public park, playground, sports ground, or community center?

- < 1km 1 CODE
- 1-2km 2
- >2km 3

7.58 Is this area used for the following purposes?

- YES 1
- NO 2

	CODE
Community meetings	<input type="text"/>
Basic school	<input type="text"/>
Classes/training for children	<input type="text"/>
Classes/training for adults	<input type="text"/>
Sessions, parties, social events	<input type="text"/>
Sports	<input type="text"/>

7.59 What is the main obstacle for using this area?

- Too far away 1 CODE
- Not adequately maintained 2
- Too dangerous 3
- None 4
- Other (specify _____) 5

Module 8: Social Capital & Community Participation

8.1	8.2	8.3	8.4	8.5	8.6
	Who from this household participates more often?	What is his/her role?	How effective is the leadership?	How is the governance structure?	Have you learned?
YES 1 NO 2	ID CODE	PARTICIPATION CODE	LEADERSHIP CODE	GOVERNANCE CODE	LEARNING CODE
Association conducting periodic meetings					
Neighborhood improvement group					
Health volunteers					
Groups providing social services to poor or elderly					
Interest free loan society					
Sports club					
Neighborhood security/watch organization					
Cooperative organization (for trade or business)					
Local politics					
Religious groups					
Parents-teachers association					
Other (specify _____)					

PARTICIPATION CODE (8.2)

- Leader 1
- Active member 2
- Not active member 3

LEADERSHIP CODE (8.4)

- Very effective 1
- Somewhat effective 2
- Not effective at all 3
- Not sure 4

GOVERNANCE CODE (8.5)

- Leader decides and informs other members 1
- Leader consults with members and decides 2
- Members hold a discussion and decide together 3
- Not sure 4
- Other (specify _____) 5

LEARNING CODE (8.6)

- YES 1
- NO 2
- NOT SURE 3

Module 8: Social Capital & Community Participation

8.7 In the past three years have you or any member of the household done any of the following?

- YES 1
- NO 2
- NOT SURE 3

	CODE
Voted in elections	
Contacted your elected representative	
Contacted newspapers, radio, or TV to generate interest in a problem	
Actively participated in an information campaign (e.g., HIV awareness etc.)	
Made a personal contact with an influential person (not your elected representative) about a community problem	
Talked with other people in your area about a problem	
Reported a problem to the authorities	
Made a donation of money or in-kind	
Volunteered for a charitable organization	

8.8 In the past year, has your participation in organizations or community activities improved your awareness about the following developments?

- YES 1
- NO 2
- NOT SURE 3

	CODE
Plans to improve infrastructure	
Plans to improve utilities and social services	
Job opportunities	
Plans to improve school facilities	
Plans to improve health facilities	
Plans to reduce crime and violence	

8.9 Does your household rely on your neighbors for any of the following?

- YES 1
- NO 2
- NOT SURE 3

	CODE
Child care	
Car pool or motor transport	
Sharing of food	
Medical care or emergency	
Job search	
Other (specify _____)	

8.10 If there were a problem affecting the entire neighborhood, who do you think would immediately deal with the situation?

- Each person individually..... 1
- Neighbors 2
- Local government/ political leaders 3
- Community leaders 4
- Area leader 5
- Other (specify _____) 6

8.11 Has the community formally filed a petition to the government or political representative for more community development?

- Never 1
- Once 2
- Multiple times 3
- Don't know 4

8.12 Has the community formally come together to address a common issue?

- Never 1
- Once 2
- Multiple times 3
- Don't know 4

8.13 Were any of the above 2 actions successful?

- All were successful 1
- One was successful 2
- Not at all 3
- Don't know 4

Module 8: Social Capital & Community Participation

8.14	8.15	8.16
Do you think the community can play a role in any of the following? YES 1 NO 2	Would you contribute with time or labor to achieve this goal? Yes, definitely 1 Yes, probably 2 No, probably not 3 No, definitely not 4	Would you contribute with money to achieve this goal? Yes, definitely 1 Yes, probably 2 No, probably not 3 No, definitely not 4
CODE	CODE	CODE
Negotiating with municipality for better public service (e.g., garbage collection or transport)		
Organizing and implementing street cleaning and garbage collection		
Setting up a waste recycling program		
Building public facilities (e.g., community, sports centers)		
Providing care to the elderly		

8.17	8.18	8.19
Has any household member met personally or interacted with any of the following officials? IF MORE THAN ONCE, REFER TO THE LAST INTERACTION ONLY YES 1 NO 2	For what reason? Obtain a permit 1 Seek help in a personal matter 2 Register a complaint 3 Informal meeting 4 Religious/political gatherings 5 Other (specify _____) 6	Was the problem / issue resolved? YES 1 NO 2 NOT SURE 3
CODE	CODE	CODE
Local community leader		
Municipal bureaucrat		
Local official		
Local council		
Member of national assembly		

Module 8: Social Capital & Community Participation

8.20 Do you feel that local community leaders are effective in promoting the interests of this community?

Yes, very effective 1 CODE

Yes, moderately effective 2

No, rarely effective 3

No, not at all effective 4

8.21 Do you feel that the municipality is responsive to the needs of this community?

Very responsive 1

Moderately responsive 2

Rarely responsive 3

Not responsive 4

8.22 How would you rate the community spirit in your neighborhood?

Very good 1 CODE

Good 2

Average 3

Poor 4

Very poor 5

8.23 Do you think the following are major or minor social problems in your community?

Major problem 1

Minor problem 2

No problem 3

	CODE
Unemployment in general	
Youth unemployment	
Conflicts between different groups (ethnic, religious)	
Drug abuse	
Drug dealing	
Eye-teasing	
Wife beating	
Other (specify) _____	

8.24 The government is preparing a program to improve the provision of public services. From the following list, please indicate which would be the 3 more important for your community.

ONLY SELECT 3 OPTIONS AND RANK THEM

First priority - most important 1

Second priority 2

Third priority 3

	CODE
Piped water	
Sewerage	
Storm drainage	
Garbage disposal	
Street lighting	
Improve/ construct local street	
Improve security	
Improve schools services	
Improve health facilities	

Module 9: Upgrading Intervention

9.1	9.2	9.30	9.4
Has a [...] intervention taken place? IF NONE >> 9.6 YES1 NO2	In which year was it completed? CODE YEAR	Is this service/facility working? YES 1 NO 2 DONT KNOW 3	As compared with the situation before intervention, how is the situation today? Improved 1 Deteriorated 2 About the same 3
Water supply, points, connections	CODE YEAR	CODE	CODE
Toilet, exhauster or sewerage	CODE YEAR	CODE	CODE
Garbage receptacles/ collection	CODE YEAR	CODE	CODE
Health clinic or service	CODE YEAR	CODE	CODE
Public school building or service	CODE YEAR	CODE	CODE
Internal roads: quality and length	CODE YEAR	CODE	CODE
Land titling	CODE YEAR	CODE	CODE
Street lights	CODE YEAR	CODE	CODE
Drainage	CODE YEAR	CODE	CODE
Other (specify _____)	CODE YEAR	CODE	CODE

9.5 For you, what were the two most important benefits from these interventions?

- Saved time and energy 1 CODE
- Reduced cost of services 2
- Improved earning prospect 3
- Given access to better services 4
- Improved overall living standard 5

1ST (MOST IMPORTANT BENEFIT)
2ND

9.6 Did you receive benefits from the following interventions? How much?

YES	NO	AMOUNT IN LOCAL CURRENCY
1	2	CODE
Intervention ??		
Intervention ??		
Intervention ??		
Intervention ??		
Intervention ??		

ANNEX 2. COMMUNITY SURVEYS



SurveyInstrument_community_03.06.2008.xls

Part I: Respondents Characteristics

1	2	3	4
What is your full name?	How old are you?	GENDER MALE 1 FEMALE 2	What position do you have in this community? ALLOW UP TO 3 RESPONSES Elected leader 1 Appointed leader 2 Secretary 3 Teacher/ principal 4 External worker 5 Health provider 6 Other (specify _____) 7
NAME	YEARS	CODE	1ST 2ND 3RD
I			
D			
C			
O			
D			
E			
01			
02			
03			
04			
05			
06			
07			
08			
09			
10			
11			
12			
13			
14			
15			

Part II: Core Questionnaire

1 What is the most common use of land in this community?

- Planned housing 1
- Squatter settlement 2
- Farming/ fisheries/ estates 3
- Industry/ mining/ manufacture 4
- Shops/ trade 5
- Other (specify _____) 6

2 In this community can women do the following?

- YES 1
- NO 2

	CODE
Purchase land	<input type="text"/>
Inherit land	<input type="text"/>
Sell land	<input type="text"/>
Leave land as a bequest when they die	<input type="text"/>

3 How is the leader of this community chosen?

- Elected 1
- Appointed by elders 2
- Appointed by admin 3
- Inherited 4
- Other (specify _____) 5

4 What percentage of land in this community is actually owned by the community?

PERCENTAGE

5 Who decides how the community land is to be used?

- Community leader 1
- Community elders 2
- Elected representatives 3
- Tradition 4
- Popular vote 5
- Highest bidders 6
- Other (specify _____) 7

6 Can a 4-wheeled motor vehicle travel on the main road of this community?

- YES 1
- NO 2

7 During the past 12 months, how many months was the main road passable by car?

NUMBER

8 Which activities are the three most important sources of employment in this community?

- Farming, forestry, hunting, fishing 1
- Mining 2
- Industry 3
- Electricity, water, gas 4
- Building construction 5
- Trade, restaurants, hotels 6
- Transportation and communication 7
- Other services (haircutting, tailors, etc) 8
- Crafts, small-scale trade 9
- Other (specify _____) 10

9 Are there any small-scale industries in this village, with few employees and perhaps run out of people's homes?

- YES 1
- NO (> 12) 2

10 Do these enterprises generally employ any laborers?

- YES 1
- NO 2

Part II: Core Questionnaire

- 11 What are the three main products made by these enterprises?
- | | | |
|-----------------------------|---|----------------------|
| Food | 1 | CODE |
| Agricultural | 2 | 1ST (MOST IMPORTANT) |
| Shoes | 3 | 2ND |
| Textiles | 4 | 3RD |
| Furniture | 5 | |
| Electric/ electronic | 6 | |
| Wood products | 7 | |
| Metal products | 8 | |
| Other (specify _____) | 9 | |

- 12 Is electricity available in this community for some households?
- | | | |
|-----------------|---|------|
| YES | 1 | CODE |
| NO (> 16) | 2 | |

- 13 What is the main source of electricity in this community
(SOURCE AVAILABLE TO THE LARGEST NUMBER OF HOUSEHOLDS)
- | | | |
|---------------------------------------|---|------|
| State electricity company | 1 | CODE |
| Local government agency | 2 | |
| Private corporation/cooperative | 3 | |
| Individual generators | 4 | |
| Other (specify _____) | 5 | |

- 14 How much is the one-time hook-up fee for the main source?
- LOCAL CURRENCY
- 15 How much does electricity from the main source cost per kilowatt-hour?
- LOCAL CURRENCY

- 16 In this community, is there a system of sewage channels for the disposal of waste water?
- | | | |
|-----------------|---|------|
| YES | 1 | CODE |
| NO (> 19) | 2 | |

- 17 How much is the one-time charge to hook-up to the sewage system?
- LOCAL CURRENCY

- 18 What is the frequency and fee paid for being connected to the sewage system?
- | | | |
|-----------------------------|---|----------------|
| WEEKLY | 1 | LOCAL CURRENCY |
| MONTHLY | 2 | FREQUENCY |
| ANNUALLY | 3 | |
| OTHER (SPECIFY _____) | 4 | |

- 19 What is the main source of drinking water for the residents of this community?
- (ENTER ZERO IF METHOD IS NOT USED) % OF HOUSEHOLDS
- | | |
|----------------------------------------|--|
| Piped water into dwelling | |
| Piped water to yard/plot | |
| Public tap/ standpipe | |
| Tubewell/borehole | |
| Protected dug well | |
| Unprotected dug well | |
| Protected spring | |
| Unprotected spring | |
| Rainwater | |
| Bottled water | |
| Cart with small tank/drum | |
| Tanker-truck | |
| Surface water (river, lake, dam, etc.) | |
| Other (specify _____) | |

- 20 What is the main source of the piped water that flows in the community ?
- | | | |
|-----------------------------|---|------|
| Spring | 1 | CODE |
| Lake | 2 | |
| Rain | 3 | |
| River | 4 | |
| Ground water | 5 | |
| Other (specify _____) | 6 | |

- 21 How much is the one-time hook-up fee for piped water?
- CODE

- 22 How much does piped water cost per liter?
- CODE

Part II: Core Questionnaire

23 Please indicate the percentage of households in this community using the following wastewater collection methods.

	ENTER ZERO IF METHOD IS NOT USED	% OF HOUSEHOLDS
Connection to sewage system		
Septage system		
Latrine		
Other (specify _____)		

24 Is there a fee for having one's wastewater collected/treated?

YES 1 CODE

NO (> 26) 2

25 What is the frequency and fee paid for having wastewater collected/treated?

WEEKLY 1 LOCAL CURRENCY

MONTHLY 1 FREQUENCY

ANNUALLY 2

OTHER (SPECIFY _____) 3

26 Please indicate the percentage of households in this community which wastewater is disposed in [...]. (ENTER ZERO IF METHOD IS NOT USED)

	% OF HOUSEHOLDS
Treatment plant	
Flowing drainage ditch	
Stagnant drainage ditch	
Ponds	
Rivers	
Thrown by house	
Other (specify _____)	

27 How do households disposed of their garbage in this community?

	ENTER ZERO IF METHOD IS NOT USED	% OF HOUSEHOLDS
Private collection service		
City collection service		
Bring it to a collection point		
Burn it		
Bury it		
Dump it in own yard		
Dump it in river/pond/gully		
Dump it in other place		
Other (specify _____)		

28 Is there a fee for having one's garbage collected?

YES 1 CODE

NO (> 30) 2

29 What is the frequency and fee paid for having the garbage collected?

WEEKLY 1 LOCAL CURRENCY

MONTHLY 2 FREQUENCY

ANNUALLY 3

OTHER (SPECIFY _____) 4

30 Do you think that the life of the people in this community is better or worse than it was five years ago?

BETTER 1 CODE

WORSE 2

ABOUT THE SAME 3

31 Why? Please select up to three options.

Change in government 1 CODE

Employment options 2

Weather 3

Inflation 4

Conditions for improving skills 5

Accessibility of medical care 6

Accessibility of social services 7

Accessibility to safe water source 8

Road infrastructure 9

Other (specify _____) 10

32 What are the main three reasons why children are not attending primary school?

Too far 1 CODE

Cannot afford fees 2

Children are ill/handicapped 3

Curriculum is too difficult 4

Children not interested 5

Parents no interested 6

Schools are full/no places 7

Children needed to work 8

Other (specify _____) 9

Part II: Core Questionnaire

33 What are the main three problems with primary education in this community?

- School supplies are insufficient 1

CODE

- Teachers are poorly paid 2

1ST (MOST IMPORTANT)

- School budget is too small 3

2ND

- Schools are over crowded 4

3RD

- Not enough textbooks 5
- Not enough desks 6
- Poor quality teachers 7
- Curriculum is not relevant 8
- Other (specify _____) 9

34 Are the following areas/facilities available in this community?

Playgrounds	CODE
Community centers	
Sports facilities	
Public parks	
Cafes/restaurants	
Movie theatres	
Video Club	
Internet Cafe	
Religious facilities	
Informal place for gathering	

35 Are there sufficient or insufficient recreational options for [...] available in or near the community?

- SUFFICIENT 1
- INSUFFICIENT 2

Small children	CODE
Older children	
Young adults	
Adults	
Elderly	
Women	

36 In past two years the number of people in this community has [...]

- Increased 1

CODE

- Decreased 2
- Remained the same 3

OBSERVATION

37 ARE THERE PILES OF EXPOSED GARBAGE VISIBLE ALONG THE ROADS?

- YES 1

CODE

- NO 2

38 ARE THERE OBSTRUCTED SEWERS, GUTTERS, OR CANALS IN THIS VILLAGE?

- YES 1

CODE

- NO 2

39 WHAT PAVEMENT MATERIAL IS USED MOST FREQUENTLY FOR THE ROADS IN THIS COMMUNITY?

- ASPHALT 1

CODE

- ROCKS 2
- DIRT 3
- OTHER (SPECIFY _____) 4

40 WHAT MATERIAL IS MOST COMMONLY USED FOR THE OUTSIDE WALLS OF THE HOUSES IN THIS COMMUNITY?

- CEMENT 1

CODE

- BOARDS 2
- BAMBOO 3
- MUD 4
- OTHER (SPECIFY _____) 5

41 WHAT MATERIAL IS MOST COMMONLY USED FOR THE ROOFS OF THE HOUSES IN THIS COMMUNITY?

- CONCRETE 1

CODE

- LUMBER 2
- TIN 3
- ASBESTOS 4
- TILE 5
- LEAVES 6
- THATCH 7
- OTHER (SPECIFY _____) 8

Part II: Core Questionnaire

42	43	44	45	46	47
Is the nearest [...] located inside or outside the boundaries of the community?	How far is the nearest [...] from the community center, in kilometers?	Is it possible to travel from the community center to the nearest [...] using public transportation?	What is the most common mode of transportation to travel from the community center to the nearest [...]?	How much does it cost to travel to the nearest [...] from the community center using this mode of transportation?	How long does it take to travel from the community center to the nearest [...] using this mode of transportation? (ONE WAY TRIP)
PLEASE ASK THIS QUESTION FOR EACH LINE, THEN ASK QUESTIONS 6 TO 10 FOR EACH LINE BEFORE GOING TO THE NEXT LINE WITHIN 1 OUTSIDE 2	YES 1 NO 2	Walk 1 Bicycle 2 Private vehicle 3 Bus/ minibus 4 Train 5 Taxi 6 Boat 7 Animal/ cart 8 Other (specify _____) 9	CODE KMS	LOCAL CURRENCY	HOURS MINUTES
Bus terminal					
Bus stop					
Market					
Bank					
Public phone					
Post office					
Health center					
Private hospital/clinic					
Public hospital/ clinic					
Pharmacy					
Police station					
Day care facility					
Pre-school					
Primary school					
Secondary school					

Part III: Upgrading Intervention

ASK PROJECT ADMINISTRATOR:

MM/DD/YYYY

- When did the upgrading project start?
- When was it expected to start?
- When was it completed?
- When was it expected to be completed?
IF THERE ARE NO DELAYS >>6

- 5 Did the following reasons cause any delays in start or completion?
YES 1
NO 2

	Start		Completion	
	CODE	CODE	CODE	CODE
Institutional problems				
Total cost exceeded the budget				
Shortage of resource availability				
Shortage of time to coordinate it in time				
Other (specify _____)				

- 6 What was the estimated cost of the project at the beginning?

LOCAL CURRENCY

- 7 What was the actual project cost after completion?

IF ACTUAL COSTS LOWER OR EQUAL THAN ESTIMATED >> 9
LOCAL CURRENCY

- 8 What was the main reason for cost over-run?

- Sudden price hike of materials 1
Increase in demand for labor 2
Increase in wages 3
Understaffing of skilled personnel increased number of work days needed 4

IF SCHOOL UPGRADING INTERVENTION TOOK PLACE

ASK SCHOOL ADMINISTRATOR:

9	What was the number of [...] before and after this intervention?		10
	NUMBER BEFORE	NUMBER AFTER	
Classrooms			CODE
Desks per classroom			
Chairs per classroom			
Modern equipments			
Text books			
Latrine or toilet			
Classrooms with electricity			
Drinking water taps			
Outdoor class due to insufficient class rooms			
Teachers			
Non-teaching staffs			
Students			
Days per week that students receive classes			

- 11 Are there sources of funds for operation and maintenance?

YES 1
NO 2
CODE

- 12 Do community members participate in raising funds?

YES 1
NO 2
CODE

- 13 Is there any teachers' training program?

YES 1
NO 2
CODE

Part III: Upgrading Intervention

IF HEALTH INTERVENTION TOOK PLACE

ASK HEALTH ADMINISTRATOR:

14			15
	What was the number of [...] before and after this intervention?		Is this number sufficient? YES 1 NO 2
	NUMBER BEFORE	NUMBER AFTER	CODE
Doctors			
Nurses			
Patients/month			
Unserviced patients due to lack of facilities			
Modern equipments			
Ambulance			
Examination rooms			
Patient wards			
Delivery rooms			
Dispensaries			

16 Are the following infrastructure services available in the health center?

YES 1
NO 2

	CODE
Safe water	
Electricity	
Latrine or toilet	
Sanitation	
Medicine	