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# USER GUIDE: USAID POVERTY ASSESSMENT TOOL FOR ETHIOPIA

## **AUGUST 2010**

This publication was produced for review by the United States Agency for International Development. It was prepared by the IRIS Center at the University of Maryland.

## **DISCLAIMER**

The author's views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government.

This document is intended to guide users on the proper use of the USAID Poverty Assessment Tool (PAT) for Ethiopia. A copy should be given to each interviewer during the training, and it should be reviewed thoroughly by all those involved in the interviewing process, including those who will be doing the quality control and data processing.

This PAT survey is divided into 5 sections with *Interviewer Instructions* spread throughout. The sections are:

- *Client Information* (page 3)
- *Quality Control Checks Box* (page 4)
- *Household Roster* (page 6)
- *Black Box* (page 7)
- *Household Questionnaire* (page 8)

The next page outlines where each of these sections are located on the Ethiopia PAT. The remainder of the guide contains detailed information on each section including information on asking questions, recording answers, beginning and concluding the interview, and general interviewing procedures and techniques.

Data from the Ethiopia 2004/2005 Welfare Monitoring Survey (WMS) and the Household Income and Consumption Expenditure Survey (HICES) were used to develop the Ethiopia PAT, which closely replicates the poverty results of the WMS and HICES surveys using a smaller number of carefully chosen, statistically derived indicators.

For more information on, or to download, the PAT Surveys, Data Entry Templates, or other implementation materials, see [www.povertytools.org](http://www.povertytools.org).

**Interviewer Instructions**  
These are throughout the survey, indicated by "Interviewer:"

**Client Information**  
Includes "Survey Number" at top right

**Client Assessment Survey - Ethiopia**

**Interviewer:** Fill out the information below before the survey begins. Do not ask the respondent for this information.

Date of Interview : \_\_\_\_\_  
Interviewer (code) : \_\_\_\_\_  
Branch (code) : \_\_\_\_\_  
Region : \_\_\_\_\_  
1-Addis Ababa 5-Dire Dawa 9-Boramo  
2-Afar 6-Gambella 10-Southern Nations  
3-Amhara 7-Harari 11-Tigray  
4-Benishangul-Gumuz 8-Oromia  
Client Location : \_\_\_\_\_ Urban-0 Rural-1  
Time in Program : \_\_\_\_\_ Months  
Client or ID # : \_\_\_\_\_

**Quality Control Checks**  
Field Supervisor  
Date: \_\_\_\_\_ Initials: \_\_\_\_\_  
Headquarters  
Date: \_\_\_\_\_ Initials: \_\_\_\_\_  
Data Processor  
Date: \_\_\_\_\_ Initials: \_\_\_\_\_

**Quality Control Checks Box**

**Interviewer:** Introduce the survey to the respondent. Say: "Hello. My name is \_\_\_\_\_. I work for the organization \_\_\_\_\_. We are trying to learn a little bit more about the clients we work with, and so I have a few questions I would like to ask today. It should only take us about 20 minutes, and the answers you provide will be put together with answers from other households. All of your answers are completely confidential and your name will not be given with your answers. Are you willing to take some time to answer these questions today?" After he/she agrees, proceed with the dialogue below.

**Interviewer:** "I would like to ask you some questions about the people in your household. Let me tell you a little bit about what we mean by 'household.' For our purposes today, members of a household are those that live together and eat from the 'same pot.' Each person contributes to and benefits from the household. It should include anyone who has lived in your house for 6 of the last 12 months, but it does not include anyone who lives here but eats separately. Do you have any questions about that?" Answer any questions the respondent has before proceeding.

**Interviewer:** Ask the respondent to list all members of the household, using the definition above. After completing Column A, then ask for the information in Columns B-F, filling out each row completely before moving to the next household member. Write the information down in the chart as he/she relays it to you. Say to the respondent: "Now I would like you to identify each person in your household and then answer some basic questions about each person."

A.	B.	C.	D.	E.	F.
Household Member	Sex	Relation to household head	Age	Marital status (Write 0 for members younger than 10 years)	Can [NAME] read and write? (Write 0 for members younger than 5 years)
	Female - 0 Male - 1	Head - 1 Spouse - 2 Child - 3 Parent - 4 Grandchild - 5 Grandparent - 6 Other - 7	(omit age/sex)	Never married - 1 Currently married - 2 Divorced - 3 Separated - 4 Widowed - 5	No - 0 Yes - 1
1) Respondent					
2)					
3)					
4)					
5)					
6)					
7)					
8)					
9)					
10)					
11)					
12)					
13)					

**Household Roster**

**Household Questionnaire**  
This consists of all of the remaining questions on the survey

**Interviewer:** Skip this section and return to fill in the answers after the interview. Do not ask the respondent these questions. Fill in the answers from the information in the preceding table.  
2. Number of people living in household (record number of members from column A above) : \_\_\_\_\_  
3. Sex of household head (record sex from Column B for person who is identified as household head in Column C): \_\_\_\_\_  
4. Age of household head (record age from Column D for person who is identified as household head in Column C): \_\_\_\_\_  
5. Marital status of household head (record marital status from column E for person identified as head in Column C): \_\_\_\_\_  
6. Number of household members age 18 and older (excluding head) who can read and write (record total number who answer '1' in Column F, excluding household head, who are also identified as 18 years or older in Column D): \_\_\_\_\_

**Interviewer:** Say: "Now, I would like to ask you some questions about your housing conditions. By housing I mean all the rooms and all the separate buildings in which you and your household members live."  
7. How many rooms does your household's dwelling unit have, excluding kitchens and toilets? \_\_\_\_\_ number  
**Interviewer:** For questions with multiple choice answers, do not read the answers. Ask respondent the question and match the answer to the option.  
8. What is the main construction material of your dwelling's roof?  
Comparted iron sheet ..... 1    Reed and bamboo ..... 4  
Thatch and grass ..... 2    Clay ..... 5  
Wood and mud ..... 3    Other ..... 6  
9. What is the main source of lighting for your dwelling?  
Kerosene ..... 1    Firewood ..... 4  
Electricity (private) ..... 2    Candles ..... 5  
Electricity (shared) ..... 3    Other ..... 6  
10. What is the main source of cooking fuel for your dwelling?  
Mainly collected firewood ..... 1    Electricity ..... 6  
Mainly purchased firewood ..... 2    Crop residue ..... 7  
Charcoal ..... 3    Don't use cooking fuel ..... 8  
Kerosene ..... 4    Other ..... 9  
Butane gas ..... 5  
11. What is your household's main source of drinking water in the rainy season?  
Tap inside the house ..... 1    Protected wellspring ..... 5  
Tap in compound (private) ..... 2    Unprotected wellspring ..... 6  
Tap in compound (shared) ..... 3    Rain water ..... 7  
Tap outside the compound (shared) ..... 4    River, lake, pond, etc. .... 8

**Black Box**

**Interviewer:** Say: "Now I would like to ask you a few questions about some items that your household may own."  
12. Does your household currently own cattle? (**Interviewer:** if answer is "no", write 0 for question 13 and move to question 14)  Yes  No  
13. How many cattle does your household own?   
14. Does your household currently own an axe/gajera? (**Interviewer:** if answer is "no", write 0 for question 15 and move to question 16)  Yes  No  
15. How many axes/gajera does your household own?   
16. Does your household currently own a blanket/gabi? (**Interviewer:** if answer is "no", write 0 for question 17 and move to question 18)  Yes  No  
17. How many blankets/gabi does your household own?   
18. Does your household currently own a radio?  Yes  No  
19. Does your household currently own a television?  Yes  No  
20. Does your household currently own a video deck?  Yes  No

**Interviewer:** Look over the survey to see if you have missed any questions. If you have, please ask those questions of the respondent. If not, it is the end of the interview. Remember to thank the respondent for his/her time in helping you answer these questions!  
Now return to the questions in the box following the roster and fill in the answers.

## General Instructions

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Except where noted, **all** the information on the survey form must be completed and entered into the data processing software, or that record/interview will not be included in the poverty calculation. Thus, it is extremely important that all interviewers are sufficiently trained, have an opportunity to practice applying the questionnaire, and will ensure that each survey is complete and legible before leaving the interview.

**Interviewer Instructions** – In numerous locations throughout the survey, instructions are included for the interviewer. These instructions are in *italics* and are preceded by “Interviewer” in bold letters. The portions of the instructions enclosed in quotation marks are recommended phrases to be read to the respondent. They usually introduce a new section. Other instructions are NOT to be read but are for the interviewer’s information.

For the purpose of this guide, we will provide additional information on Interviewer Instructions as they appear throughout the survey.

## Client Information

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Complete the top section of the questionnaire with the appropriate information before beginning the interview. Most of the information in this section can usually be taken from the program records (MIS), and should be filled out prior to the interview, whenever possible.

**“Survey Number”** – Each questionnaire **must** have a **unique** survey number that is written on each page of the survey (in case pages become separated) before the interviewer goes into the field. It is essential for each survey to have its own, unique number, with no repetitions, in order for the data cleaning and analysis to function properly. Sequential numbering (001, 002, 003...) is recommended and additional coding can be included, if desired, to help identify when and where an interview took place. For example, the first 2 digits of a survey number could represent the year in which the interview was done, the second 2 digits could represent the branch number, and the final 3 digits could be the sequential numbering system. With such a design, survey number “0711001” would indicate that it was administered in the year 2007 to a client of Branch 11 and that the respondent was number 1 (001) on the list.

**“Date of Interview”** – (optional) This is useful for tracking the survey process, including having the option of comparing results from different time periods.

**“Interviewer (code)”** – (optional) A unique numerical code should be assigned to each interviewer before the interviewing process begins. During the quality control process, it is helpful to know which interviewers are making mistakes so that it can be brought to their attention, and additional training can be provided, as needed.

**“Branch (code)”** – (optional) This number identifies the branch to which the respondent belongs. This can be useful for tracking the forms and also allows for comparison of branches if one is doing additional data analysis.

**“Region”** – Indicate the region in which the respondent lives, using the pre-coded list of 11 regions on the survey.

**“Client Location”** – The determination of the respondent’s status as either urban or rural should match the definition used by your country’s national statistics office for classifying the population.

**“Time in Program”** – (optional) This is the amount of time in months, not years, the respondent has been involved in the program according to your records. If the information is not available, the respondent may be asked. If the response is given in years, then translate that into months. Do not include periods of time when the respondent was not a client (if they left the program and came back). This field can be used when doing additional analysis, for example, comparing client attributes by amount of time in the program.

**“Client or ID #”** – (optional) Use the same client identification number that you use in your client records (MIS). Some organizations create unique ID numbers, while others use the client’s national ID number. This can be used to help verify that the correct respondent is interviewed. The Client ID number is used instead of the respondent’s name in order to maintain confidentiality. However, to ensure complete confidentiality, the ID number can be crossed out (made illegible) once the Sampling and Survey Tracking Coordinator has confirmed that the proper respondent was interviewed.

### **Quality Control Checks Box**

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This is to be completed as follows:

- The Field Supervisor signs and dates it while still in the field, after he/she has reviewed the survey for missing, illegible or inconsistent answers.
- The Project Manager or Sampling and Survey Tracking Coordinator signs and dates it at headquarters after confirming that the survey is properly completed and that it is consistent with the sampling plan.
- The Data Processor signs and dates it to confirm that he/she was able to enter the data into the database accurately and completely. If doing double data entry to minimize data entry errors, then both data processors should sign and date the survey form once they have finished entering the data.

**Interviewer Instructions** – Introduce the survey. The introduction printed on the original PAT survey is recommended; your team will have customized the introduction for your location and cultural appropriateness. The introduction should include the following components:

1. Introduction of yourself (the interviewer)
2. Request to speak to the client / beneficiary to be interviewed
3. Description of the survey’s purpose and how long it will take
4. Request permission to conduct the interview
5. Ask client / beneficiary if they have any questions
6. Description of the definition of household

*Intro Parts 1-3:* Many PAT implementers have reported that the initial client approach and introduction are the most important parts of the interview, so be sure to be clear and courteous and to respect all appropriate cultural norms.

While introducing the survey, be sure to describe the purpose of the survey as agreed upon by the survey team and supervisors. While it is important to be honest and open with respondents about the purpose of the survey, giving too much detail could bias their responses. If respondents think that their answers will have an impact on their program participation, they may try to give answers that make them look more or less poor. It is usually sufficient to let respondents know that you are ‘trying to learn more about our clients.’

Also understand that the poverty assessment survey uses a limited number of questions to estimate which households are below the extreme poverty line, but it does not try to capture ‘all’ assets or dimensions of poverty. This is why it may seem at times that specific questions are not ‘good’ indicators of poverty, or that other questions that seem as though they would be good indicators of poverty do not appear on the survey. It is the specific *combination* of questions that predicts a household’s wealth status.

*Intro Parts 4 & 5:* Asking permission to proceed with the survey and answering any questions are important for building trust with the respondent.

*Intro Part 6:* Since some people may attribute different meanings to the word “household,” a standardized definition of the term must be used to maintain consistency in the survey. An explanation of this definition will provide the respondent with an understanding of who should and should not be included when listing the members of the household. As the interviewer is recording the names of the household members in the roster list, he or she should remind the respondent of the definition to make sure the list is accurate according to the definition. It is a natural tendency to just list the immediate family members, so it is important to ensure that the respondent is using the definition provided in the survey introduction (and explained below).

In order to be considered part of the household, a person must meet both of the following criteria:

1. Generally speaking, a household member is someone who both contributes to and uses the resources (food, materials, and other household items) of the household. If someone stays in the house but does not both contribute to it and take from it, he or she is not a household member. People with limited capacity to contribute to the household (because they are too old, young, or ill) are still considered part of the household.

2. A household member must live in the house the majority of the time. If someone has lived outside the household for more than six out of the last twelve months, he or she is not a household member. Exceptions to this rule are for those who have joined the family recently, such as a newborn, adopted child, or spouse (newlywed) or student who lives at a boarding school and only comes home during holidays. Another exception is that the head of the household is always considered part of the household, even if he or she lives away for most of the year. It is up to the person who is being interviewed to determine who is the head of household. In general, the head of household is the person who provides the prime source of income and/or makes most decisions for the household.

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## Household Roster

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The purpose of the roster is to learn about each member of the household in such a way so as to build trust with the respondent and minimize any bias. Collecting household information with a roster will facilitate data collection. It is harder for the respondent to remember and answer questions about all the members of the household without listing them and asking specifically about each member. Using a roster helps identify all the members in an organized fashion, making sure nothing is left out, and also provides a rich level of information that can be used for further analysis.

*Filling out the Household Roster* – First, ask the respondent to list all the members of the household. Record this information in column A, and make sure the list of household members is complete before asking for additional information. Then, one member at a time, ask all the remaining questions in columns B through F. Record all the information pertaining to a household member in the same row, and then move on to the next household member (row).

- A. “Household Member” – Notice the word “respondent” appears at the top of the roster list. Always fill out information for the respondent first. If the respondent is not comfortable giving you the first names of the other household members, you can write their relationship to the respondent, instead—such as “brother1”, “sister 1”, sister 2”, etc., to help assure the respondent that the information will be treated confidentially.
- B. “What is [NAME]’s sex?” – When the respondent lists the members of the household, the gender will often be easy to guess. However, you should confirm the proper sex of each household member with the respondent.
- C. “What is [NAME]’s relation to the household head?” – BE CAREFUL. This is NOT the relation to the respondent! You may need to probe to make sure you are capturing the relation of each family member to the “head of household.” It is for the respondent to decide who they consider to be the head of the household. If they are not sure, do not understand the term “head of household” (which may occur in rural areas), or insist that both the husband and wife share the responsibilities and are both heads of the

household, then more specific criteria can be used. These criteria could include who provides the most support or who makes most of the decisions for the family.

- D. “What is [NAME]’s age?” – Record age in complete years only. Do not include decimals or fractions, or round up to the next number. For newborns, put “0” if they have not reached 1 year of age.
- E. “What is [NAME]’s marital status? (Write “0” for members younger than 10 years)” – Indicate the marital status of each member of the household at least 10 years of age.
- F. “Can [NAME] read and write? (Write “0” for members younger than 5 years)” – Only record a “yes” for those household members at least 5 years of age who can both read and write.

## **Black Box**

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The 5 questions that are inside the Black Box after the household roster (#2 - #6) are NOT to be asked of the person being interviewed, but instead filled out by the interviewer *after* the interview has been completed.

**Interviewer Instructions** – “Skip this section and return to fill in the answers after the interview. Do not ask the respondent these questions; fill in the answers from the information in the preceding table.” It is very important that the interviewer does NOT try to complete this section during the interview, as it will not only break the flow of the interview, but will also greatly increase the chance of errors if the interviewer tries to get it all done at the same time.

After the interview is completed, the interviewer will take the information collected in the roster and calculate the answers to the questions in the Black Box beneath the roster. This is an area with a lot of room for human error, so it is very important to review these responses as part of the quality control process. The proper procedures for interpreting the roster responses and filling out the questions in the black box (#2 - #6) should also be reviewed and practiced extensively during the interviewer training.

- 2. “**Number of people living in household** (*record number of members from column A in the roster*)” – Record the total number of people listed in column A of the household roster. When collecting the roster information, be sure to probe to make sure that everyone meeting the definition of “household” is included in the list.
- 3. “**Sex of household head** (*record sex from column B of person who is identified as household head in column C*)” – Identify which household member is listed as the household head in column C (code = ‘1’), and then record that person’s sex from column B.
- 4. “**Age of household head** (*record age from column D of person who is identified as household head in column C*)” – Identify which household member is listed as the household head in column C (code = ‘1’), and then record that person’s age ability from column D.
- 5. “**Marital status of household head** (*record marital status from column E of person identified as head in Column C*)” – Identify which household member is listed as the



household head in column C (code = '1'), then record that person's marital status from column E.

- 6. “Number of household members age 16 and older (excluding head) who can read and write (record total number with a “1” column F, excluding household head, who are also identified as 16 years or older in column D)”** – For everyone aged 16 and older, except for the household head, add up the number of 1's in column F.

## Household Questionnaire

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**Interviewer Instructions** – “Now I would like to ask you some questions about your housing conditions. By housing I mean all the rooms and all the separate buildings in which you and your household members live.” These transitional comments are important for letting the respondent know when you are changing to a different topic. These questions refer to the dwelling in which the household currently resides.

- 7. “How many rooms does your household’s dwelling unit have, excluding kitchen and toilets?”** – Include all of the separate rooms occupied by the household, not including the kitchen and bathrooms.

**Interviewer Instructions** – “For questions with multiple choice answers, do not read the answers. Ask respondent the question and match the answer to the most similar option on the survey. If respondent’s answer is unclear, probe until you find an adequate answer.” Reading out the answer options is a LAST RESORT. If it comes to the point where reading is necessary, say: “I am going to read to you a list of several options. Please do not answer until you have heard all the options.”

- 8. “What is the main construction material of your dwelling’s roof?”** – If more than one material is used in the construction of the roof, then determine which material is predominant. If two materials are used in equal amounts, then use the one with the highest value.
- 9. “What is the main source of lighting for your dwelling?”** – If more than one source of lighting is used in the dwelling, then determine which source is used most often. If two light sources are used in equal amounts, then record the one with the highest value.
- 10. “What is the main source of cooking fuel for your dwelling?”** – If firewood is used, then determine whether the firewood is mainly collected by the household members, or if the majority of the firewood used is purchased, and mark the appropriate response. If more than one source of cooking fuel is used, then determine which source is used most often. If two types of cooking fuel are used in equal amounts, then record the one with the highest value.
- 11. “What is your household’s main source of drinking water in the rainy season?”** – If the respondent states that they obtain drinking water from a tap or faucet, then probe to determine whether the tap is inside the house, in the compound, or outside the compound. If

it is inside the compound, then clarify whether it is used exclusively by the household, or if it is shared with other households, and record the appropriate response.

**Interviewer Instructions** – “Now I would like to ask you a few questions about some items that your household may own.”

12. **“Does your household currently own cattle? (Interviewer: if answer is “no”, write “0” for question 13 and move to question 14)”** – Include all types of cattle—cows, bulls, heifers, etc.
13. **“How many cattle does your household own?”** – Include all types of cattle—cows, bulls, heifers, etc.
14. **“Does your household currently own an axe/”gejera”? (Interviewer: if answer is “no”, write “0” for question 15 and move to question 16)”** – Include all types of axes or machetes used for clearing land or harvesting.
15. **“How many axes/”gejera” does your household own?”** – Include all types of axes or machetes used for clearing land or harvesting.
16. **“Does your household currently own a blanket/”gabi”? (Interviewer: if answer is “no”, write “0” for question 17 and move to question 18)”** – Include any type of blanket or throw made with heavy cloth that is referred to as a “gabi”.
17. **“How many blankets/”gabi” does your household own?”** – Include any type of blanket or throw made with heavy cloth that is referred to as a “gabi”.
18. **“Does your household currently own a radio?”** – Include any radio that is functioning or could be easily repaired.
19. **“Does your household currently own a television?”** – Include any television that is functioning or could be easily repaired.
20. **“Does your household currently own a video deck?”** - Include any type of video deck, VCR or other video player that is functioning or could be easily repaired.

**Interviewer Instructions** – “Look over the survey to see if you have missed any questions. If you have, please ask those questions of the respondent. If not, it is the end of the interview. Remember to thank the respondent for his/her time in helping you answer these questions!”

**Interviewer Instructions** – After ending the interview, go back to the Roster Summary Black Box and fill in the response boxes with the appropriate answers from the roster. Double check to be sure that all the values were calculated correctly.