USER GUIDE: USAID POVERTY ASSESSMENT TOOL FOR **GUATEMALA**

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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.

This document is intended to guide users on the proper use of the USAID Poverty Assessment Tool (PAT) for Guatemala. 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:

The next page outlines each of these sections on the Guatemala 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.

For more information on, or to download, the PAT Surveys, Data Entry Templates, or other implementation materials, see **www.povertytools.org**. For questions, email **pathelp@iris.umd.edu**.

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

Quality Control Checks Box

Client Information
Includes "Survey Number" at top right

Survey Number____________

Client Assessment Survey - Guatemala

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)	
Location/Region *1=Capital; 2=North; 3=Northeast; 4=Southeast* *5=Central; 6=Southwest; 7=Northwest; 8=Peten*	
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* ________

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 for the information in Columns A-H, as it pertains to each person in his/her household. 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 answer some basic questions about each person."*

Household Roster

1.

A. Household Member	B. Sex	C. Relation to household head	D. Age	Education - For persons 7 years of age and older: What was the highest grade and level of education reached by (…)? Enter level in column E; enter grade in column F.		G. In the past month, did this person suffer from any illness or accident (burns, fractures, falls), or health problems (toothache, headache, etc.), even if not serious?	H. If yes in the past month, for how many days did he/she have to stop going to work, to school, or stop doing normal activities?
	0= Female; 1=Male	1=head; 2=spouse; 3=child; 4=parent; 5=grandchild; 6=grandparent; 7=other	(complete years)	None .... 1 Preparatory........ 2 Primary ....3 Secondary Ed..... 4 Higher Education..5 Post-graduate......6 Adult education... 7	..0 ..1- ..1-7 ..1-9 ..1- ..1- ..1-	0=No 1=Yes If No, skip to the next household member	Number of days
				E. LEVEL	F. GRADE		
1) Respondent							
2)							
3)							
4)							
5)							
6)							
7)							
8)							
9)							
10)							
11)							
12)							
13)							
14)							
15)							

Black Box

Interviewer: *Skip the following 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 table above.*

2. Number of people living in household (*record number of members from column A above):*
3. Age of household head *(record age of person from Column D, who is household head in Column C):*
4. Does the head of household have complete primary education as the highest level achieved? *(does the household head have a level of 3 in Column E and also a grade of 6 or 7 in Column F?)* *0=no, 1=yes*
5. Number of household members (not including head) who have incomplete primary as their highest education level *(add up those with a 3 in Column E AND less than 6 in Column F):*
6. Number of household members (not including the household head) who completed primary as their highest education level *(add up those with a 3 in Column E AND a 6 or 7 in Column F):*
7. Number of household members (not including head) who have incomplete secondary as their highest education level *(add up those with a 4 in Column E AND less than 6 in Column F):*
8. Total number of days of work lost by household members due to illness or accident: *(add up all days in Column H)*

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

Interviewer*: "Now I would like to ask you a few questions about your home."*

9. During the last month, did the household use electricity? *0=no, 1=yes*

Interviewer: *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.*

10. What is the predominant material in the roof of the dwelling that this household occupies?
    1. Concrete 2. Metal Sheets 3. Cement asbestos 4. Tiles 5. Palm leaves or similar 6. Shingles 7. Other
11. The exterior walls of the dwelling in which the household lives consist of mostly what material?
    1. Bricks 2. Block 3. Concrete 4. Adobe 5. Wood 6. Metal sheets 7. Wattle and daub 8. Cane or sticks 9. Other
12. What type of sanitary system does your household have?
    1. Toilet/drainage system 2. Toilet/septic tank 3. Washable toilet 4. Latrine or covered well 5. Don't have
13. Does the head of household know how to read and write in Spanish? *0=no, 1=yes*

Interviewer: *"Now I would like to ask you about a few household and agricultural items that members of your household may own."*

14. Does any member of your household own a bicycle? *0=no, 1=yes*
15. Does any member of your household own a camera? *0=no, 1=yes*
16. Does any member of your household own a car? *0=no, 1=yes*
17. Does any member of your household own a pickup? *0=no, 1=yes*
18. Does your household own a telephone (a fixed phone or landline)? *0=no, 1=yes*
19. Does any member of your household own a sewing machine? *0=no, 1=yes*
20. Does your household own a stove? *0=no, 1=yes*
21. Does your household own a television? *0=no, 1=yes*
22. Does your household own a mixer? *0=no, 1=yes*
23. Does your household own any agricultural mills? *0=no, 1=yes*
24. How many pigs does your household currently own? Number

Interviewer*: Please make sure that the setting of the interview ensures confidentiality before beginning this section. Say: "I know that the following question may be sensitive. I assure you that the answers will not be shared with anyone else."*

25. In the last 12 months, did any member of the household have or have money deposited in any institution, company, with individuals or in other sites? What type of account was it?
    0. None 1. Term deposits 2. Ordinary savings 3. Monetary deposit 4. Reportos 5. Mortgage bonuses 6. Other

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 below the roster and fill in the answers.

General Instructions

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

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) Record the date of the interview. This is useful for tracking the survey process, including having the option of comparing results from different time periods.

"Interviewer (code)" – (optional) A unique 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.

"Location/Region" – Indicate the major region of the country in which the respondent lives. If the Location/Region response options are not well known by your interviewers, then it is recommended to create a master list of all municipalities or branch offices where your clients are located, along with the regional codes corresponding to each of the municipalities or branches.

"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 <u>months</u>, 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 should be crossed out (made illegible) once the Sampling and Survey Tracking Coordinator has confirmed that the proper respondent was interviewed.

Quality Control Checks Box

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.

Household Roster

The purpose of the roster is to learn about the members of the household and thereby build trust with the respondent.

Interviewer Instructions – Introduce the survey. This is a recommended introduction. Feel free to tailor this to your context and organization.

Note: While introducing and conducting the survey, do NOT mention that you are measuring poverty. This may lead respondents to try to give answers that make them look more or less poor. It is perfectly legitimate to just let respondents know that you are 'trying to learn more about our clients.' It should also be kept in mind 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.

Description of "household" – 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 the head of household is. In general, the head of household is the person who provides the prime source of income and/or makes most decisions for the household.

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 H. 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. “Sex” – When the respondent lists the members of the household, the sex will often be easy to guess. However, you should confirm the proper sex of each household member with the respondent.

C. “Relation to 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 left to 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 decision-making 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. “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/F. “Education” – Record the highest level of education that the respondent member has reached in column E (primary, secondary, etc.). In Column F, record the highest year of education reached within the level listed in Column E. Do not ask for household members younger than 7 years. For example, if someone has attended 3 years of secondary school, then record a “4” in column E to indicate ‘secondary’, and a “3” in column F to indicate that the household member has reached the third year of secondary school.

G. “In the past month, did this person suffer from any illness or accident (burns, fractures, falls), or health problems (toothache, headache, etc.), even if not serious? ” – Determine whether a household member has suffered from an illness, accident, or health problems in the past month. This includes all types of physical and psychological maladies, including burns, animal bites, poisoning, and any other accidents that cause any type of feeling of discomfort. If so, record a “1” for “Yes” in column G. If not, record a “0” for “No” in column G. Keep in mind that the period of reference is “in the past month,” and refers to the previous complete month. For example, if the interview takes place in the middle of June, the “past month” would be May. [Use this is Spanish version: En esta pregunta se incluyen todas las dolencias físicas, psíquicas o mentales; lesiones por accidentes: como quemaduras, mordeduras de animales, fracturas, caídas, golpes, envenenamiento, introducción de objetos en la nariz, oídos, etc., intoxicaciones, así como las molestias dentales. Las lesiones o enfermedades pueden ser graves o leves. Los accidentes pueden haber ocurrido en la casa, en el trabajo, en la calle, en un centro deportivo, etc. Se deben registrar todos los accidentes que provoquen cualquier sensación de malestar aunque sean muy leves.]

H. “If yes, in the past month, for how many days did he/she have to stop going to work, to school, or stop doing normal activities?” – If a “0” (No) was written in Column G, do not ask this question, put a “0” in Column H (since no days were missed due to illness), and move on to the next household member in the roster. If a “1” (Yes) is recorded in column G, then ask the question. Be sure that the respondent is referring to the past month (the previous complete month), and that they are ***only including the number of days actually missed from work, school or other activities*** (if they miss a week, then usually 5 or 6 days would be recorded, depending on how many days they normally work or attend school in a week). If the household member did not miss any days, then a "0" should be recorded.

Note: 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.

Black Box

The 7 questions that are inside the Black Box after the household roster (#2 - #8) 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 the following section and return to fill in the questions after the interview. Do not ask the respondent these questions; fill in the information from the information in the table on the preceding page." 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 - #8) 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)*" – 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. "Age of household head *(record age of person from column D, who is 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 from column D. Be sure to record only the number of full years completed by the head of household.

4. "Has the head of household completed primary school but not attended secondary school, as the highest level achieved? *(Does the household head have a level of 3 in column E, and also a grade of 6 or 7 in column F?)*" – If the household head meets these conditions, then record a "1" for 'Yes'. Please note that for this question and the next 2 questions, the number of levels in local primary schools should be used in determining whether primary school has been completed: either 6 or 7.

5. **"Number of household members (not including head) who have attended but not completed primary school *(add up those with a 3 in Column E AND less than 6 in Column F):"* –** Be sure to include everyone with a 3 in Column E, but who also have not completed primary school, NOT including the head of household.

6. **"Number of household members (not including the household head) who have completed primary as their highest education level *(add up those with a 3 in Column E AND a 6 or 7 in column F)*:" –** The preceding question lists the number who have attended but not completed primary, and this question includes those who have completed primary, but NOT reached any higher levels (not including the head of household). Thus, the total for questions 5 and 6 should be equivalent to the total number of those with a '3' in Column E of the roster (except for the household head, of course).

7. **"Number of household members (not including head) who have attended secondary school but not completed it *(add up those with a 4 in Column E AND less than a 6 in Column F)*:" –** This only includes secondary school, and NOT various types of adult education.

8. **"Total number of days of work lost by household members due to illness or accident *(add up all days in Column H):*"** - If an illness, injury or other health problem causes any members of the household to miss days of work, school or other activity, then the total number of days missed by all household members should be recorded here. If no days were missed, then record a "0".

Household Questionnaire

> **Interviewer Instructions –** "Now I would like to ask you a few questions about your home." These transitional comments are important for letting the respondent know when you are changing to a different topic.

9. **"During the last month, did the household use electricity?" –** This can include electricity installed in the respondent's home, and also electricity used in the home that is "patched in" from a neighbor or other source. The key point is whether the household has "used" any electricity in their residence, regardless of the source. The response should only refer to whether or not any electricity was used during the previous complete month.

> **Interviewer Instructions –** When reading questions that list the possible answers, do NOT read the answer options to the respondent. Instead, read the question as it is written and then, if the respondent does not provide an answer that matches one of the response options, objectively probe to find an answer that most closely matches one of the options, without suggesting any answers. 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 [number] options."

10. **“What is the predominant material in the roof of the dwelling occupied by the household?”** – Predominant means the one used most in the roof, more than any other material. In cases where, after probing, it is determined that two materials are used in equal amounts in the roof construction, then use the material with the higher monetary value.

11. **“What is the primary material used in the construction of the exterior walls of the dwelling occupied by the household?”** – Similar to number 10, indicate which material is used most in the construction of the exterior walls of the dwelling.

12. **“What type of sanitary system does your household have?”** – This includes toilets, latrines, open pits, or any other facility/device used for disposing of human waste. If a respondent does not seem to understand “sanitary system”, the question can be repeated, using “toilet” or “latrine”.

13. **“Does the head of the household know how to read and write in Spanish?”** – Be sure to verify that the HOH can both read AND write in Spanish. If there is doubt about the level of ability, the interviewer can ask if the head of household can read and write a letter.

> **Interviewer Instructions** – Transition to questions on household assets. All of the questions should be asked, even if the respondent appears very unlikely to own such an asset. For all of the questions on household assets, the item should only be included if it is in working order, or if it could be used with only minor adjustments. If the item/asset would need to be repaired before it could be used, do not include it in the response.
>
> *Note:* Make sure the respondent is speaking for the *entire* household. If you suspect that the respondent is answering only based on what assets he or she has, be sure to emphasize “any member of your household” when reading the question to the respondent.

14. **“Does any member of your household own a bicycle?”** – This should only include functioning bicycles, and not ones that are broken. If the bicycle can be ridden right now, or only needs very minor repair or adjustment, then it should be included. If the bicycle is not functional and needs significant repair to become use-able, then do not include it in the response.

15. **“Does any member of your household own a camera?”** -- Include all types of cameras in working order, except do NOT include a camera built into a cell phone.

16. **“Does any member of your household own a car?”** – It is important for the sake of consistency in a quantitative survey to make sure all questions are asked of each respondent, even if it might be sensitive to ask an obviously poor person if they own a luxury item such as a car or truck. The interviewer should be aware of this potential sensitivity and try to avoid or minimize it by maintaining a good rapport with the respondent, while still asking the question, as written.

17. **"Does any member of your household own a pickup?" –** Include all types of pickup trucks, but do not include vans or other types of trucks.

18. **"Does your household own a telephone (a fixed phone or landline)?" –** This only applies to fixed phones or landlines—a phone based at the home, even if the receiver is cordless. It does NOT include cell phones or other types of mobile phones.

19. **"Does any member of your household own a sewing machine?" –** This includes any type of sewing machine.

20. **"Does your household own a stove?" –** This includes any stoves used for cooking, regardless of the fuel (gas, electricity, propane, wood, etc.) or style (with or without oven, tabletop, 4 or 3-burner, etc.).

21. **"Does your household own a television?" –** As stated in the introduction to this section, all of the assets have to be in working order to be included. If the household owns a broken television, then do not include it in the response.

22. **"Does your household own a mixer?" –** Include any kind of kitchen mixer or blender used in food and drink preparation.

23. **"Does your household own any agricultural mills?" –** Be sure to include ONLY motorized mills that are used in agricultural production (or for processing meat), and do NOT include manual mills/grinders used in many rural households for grinding corn for tortillas.

24. **"How many pigs does your household currently own?" –** Include all pigs owned at the time of the interview, including young piglets.

> **Interviewer Instructions –** Make sure that the setting of the interview ensures confidentiality before beginning this section. Say: "I know that the following question is sensitive. I assure you that your answer will not be shared with anybody else."

25. **"In the last 12 months, did any member of the household have money deposited or saved, either in an institution, company, with individuals, or in other sites? What type of account was it?" –** It is very important for the interviewer to probe, without suggesting any answers, in order to make sure the respondent is including any type of cash savings, whether in a bank, with another individual, or in another location or arrangement. If the household uses more than one type of savings mechanism, then use the most predominant one (with the most money). A checking account should be included with response option 3 (monetary deposit).

Interviewer Instructions – Look over the questionnaire to make sure that all answer boxes have been filled in correctly. If a question was skipped, ask the respondent for clarification.

Ending the Interview – After reviewing the questionnaire while the respondent is still sitting there, be sure to thank him or her for their time, then end the interview.

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. Then, give the survey to your field supervisor as soon as possible so that they can review your work the same day.