PAT India User Guide

This document is intended to guide users on the proper use of the USAID Poverty Assessment Tool (PAT) for India. 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 India 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 1997-98 UP-Bihar Survey of Living Conditions was used to develop the PAT, which closely replicates the results of the 1997-8 survey using 17 carefully chosen, statistically derived questions and household roster information.

For more information on, or to download, the PAT Surveys, Data Entry Templates, or other implementation materials, see www.povertytools.org.
**Interviewer Instructions**
These are throughout the survey, indicated by “Interviewer:”

**Client Information**
Includes “Survey Number” at top right

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

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### Client Assessment Survey - India

<table>
<thead>
<tr>
<th>Client Information</th>
<th>Executive Summary</th>
<th>Quality Control Checks Box</th>
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**Interviewer:-this information is confidential and will not be shared with the organization.**

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### Quality Control Checks

**Box:**

- **Interviewer:**
  - These instructions are indicated by “Interviewer:” throughout the survey.
  - Include “Survey Number” at top right.
  - The questionnaire consists of all the remaining questions on the survey.

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### Household Roster

<table>
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<th>Household Roster</th>
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### Black Box

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**USASI India Tool Version 1.0**

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**PAT India User Guide – 2010**

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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) 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.
“Location/Region” – Indicate the region of the country in which the respondent lives. If the 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. For the India PAT, there are 5 pre-coded response options, including Bihar North, Bihar Central, Uttar Pradesh East, and Uttar Pradesh South. If the respondent lives in any other region of the country, then use code “5” for Other Regions.

“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**

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 to the respondent. 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 make 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 (which they should not), 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. A “household” is a group of people who normally live and eat their meals together. For the purposes of this survey, “normally” is taken to mean that the person concerned has lived in the household for at least 3 of the past 12 months. People who live in the same dwelling, but do not share food expenses or eat meals together, are not members of the same household. For example, if two brothers, each having his own family, live in the same house but maintain separate food budgets and cooking facilities, they would constitute two separate households. Likewise, people who eat together but do not sleep in the same dwelling are not members of the same household. However, exception to this rule may be made in the case of those persons who normally take their meals together and for all purposes live together, but may sometimes sleep in other places for security reasons (e.g., with livestock, or in shop or other place of business).

2. Ordinarily, people who have lived away from the household for more than nine months of the past twelve months are not considered members of the household for our purposes. This is true even if such people are considered members of the household by the household itself. The only exceptions to be made to this rule should be for (i) persons who are the main provider for the household (head of household), (ii) infants who are less than 3 months old, (iii) newlyweds who have been living together for less than 3 months, and (iv) servants, lodgers, farm-workers, and other such individuals who live and take meals with the household are to be counted as household members, even though they may have no blood relation to the household head. 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.

**Household Roster**

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. Probing questions to ensure that all household members are recorded may include: “Please give me the names of any persons related to you or your spouse, who often live and eat meals here.” and “Are there any other people not related to you or your spouse, but who normally live and eat meals here?” After making sure the list is complete, 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. “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. “What is [NAME]’s relation to the head of household?” – 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. “How old is [NAME]?” – 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. If the respondent does not know his/her age or the age of other family members, try to estimate the person’s age by using events in his/her life or community as benchmarks to help with recall.

E. “What is [NAME]’s marital status?” – The first answer option of “Currently married” is defined as “Male or female who live as husband and wife and fulfill their legal and religious obligations.” “Widowed” should only be used for those whose spouse is dead and who did not marry again. Those who are legally married but separated should be included under response option 4: “Divorced/Separated”.

F. “What level of educational attainment has [NAME] completed?” For those too young to begin attending school, mark a “1” for “illiterate”. If someone is literate (can read and write) but has not attended formal schooling, mark response “2”, and if someone has attended primary but not completed it, mark response “3”. The other response options (4-11) should only be marked if the person has completed that level.

**Black Box**

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 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 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 (add up those listed in Column A)” 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 from Column D of person 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 complete years, and do not round up.

4. “Marital status of household head (record marital status from Column E of person listed 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 marital status from column E.

5. “Number of household members (not including head) whose level of educational attainment is illiterate or literate without formal schooling (add up those marked with a 1 or 2 in Column F, not including household head)” – Record the total number of household members with either a 1 or 2 in Column F, not including the household head.

6. “Number of household members (not including head) whose level of educational attainment is matriculate or intermediate (add up those marked with a 6 or 7 in Column F, not including household head)” – Record the total number of household members with either a 6 or 7 in column F, not including the household head.

Household Questionnaire

**Interviewer Instructions** – “I am now going to ask you a few questions about your housing situation.” 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 separate rooms are in the dwelling your household occupies? Do not include kitchen, bathrooms, balconies, corridors.” – Make sure that the respondent is not including kitchens, bathrooms, balconies or corridors in the room count. “Dwelling” means the building, or group of buildings, in which the household lives. The dwelling may be a hut, a group of huts, a single house, a group of houses, a villa, an apartment, several one-room apartments on a courtyard, or any other type of residential unit. If the household occupies a portion of a house, refer to that portion when answering the question.

**Interviewer Instructions** – “For questions with multiple choice answers, do not read the answers. Ask respondent the question and match the answer to the option most similar on the survey. If respondent’s answer is unclear, probe until you find an adequate answer.”
8. “What type of latrine does your household use?” -
- NO LATRINE means that there is no proper toilet or latrine available for the household.
- FLUSH SYSTEM means the latrine is equipped to flush away waste, either by tank, or manually using a bucket or pitcher. Waste is disposed of through a duct connected to a sewer.
- SEPTIC TANK is the same as above, except that waste is flushed into a septic tank.
- OTHER LATRINE is to be used, for example, for latrines connected to uncovered canals or ditches for waste drainage.

9. “What type of structure do you live in?” – If more than one material is used, then record the predominant material used in the main structure.
- KATCHA/THATCH is a temporary housing structure, often with walls of wattle or mud, that has a thatch roof.
- KATCHA/TILE is a temporary housing structure with a tile roof.
- SEMI-PUCCA is a semi-permanent structure, typically made out of mud, wood, and brick.
- PUCCA, THROUGH WEAKER SECTOR HOUSING SCHEME refers to pucca housing built through a government program.
- PUCCA is a permanent housing structure.

Interviewer Instructions – Transition to a question about the household head’s employment. “Now I have a question about the household head’s employment.”

10. “During the past 12 months, did the household head work as a casual laborer (farm and non-farm)?” – Casual labor includes all casual (e.g., non-permanent) wage work both in the agriculture sector and outside agriculture. Casual laborers are typically paid on a daily basis or by piece rate.

Interviewer Instructions – Transition to questions on household and agricultural assets. “Now I would like to ask you about a few household and agricultural items possibly owned by members of your household.”

11. “Does your household own a radio/cassette player?” – Include any radio/cassette player, regardless of condition

12. “Does your household own a pressure lamp/petromax?” – Include any pressure lamp/petromax, regardless of condition


14. “Does your household own a television?” – Both black and white, and color TVs should be included, regardless of condition.
15. “Does your household own a camera?” – Any camera should be included, regardless of condition.

16. “Does your household own a thresher?” – A thresher is a machine that separates grain from chaff. Any thresher should be included, regardless of condition.

17. “How many buffalo does your household currently own?” – If the household tends animals for others, record only the animals it is entitled to keep, if applicable, such as the baby buffalo that the household keeps in return for tending the herd.

18. “How many cows does your household currently own?” – If the household tends animals for others, record only the animals it is entitled to keep, if applicable, such as the calves that the household keeps in return for tending the herd.

**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, the interview is complete. Remember to thank the respondent for his/her time in helping you to answer these questions!”

”Now return to the questions in the box below the roster and fill in the answers.“ – 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.