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

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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 Kazakhstan. 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 Kazakhstan 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.

The Kazakhstan PAT was developed from data collected by a large, national survey designed by the IRIS Center in 2004. The PAT closely replicates the poverty results of the larger survey 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.

Client Information

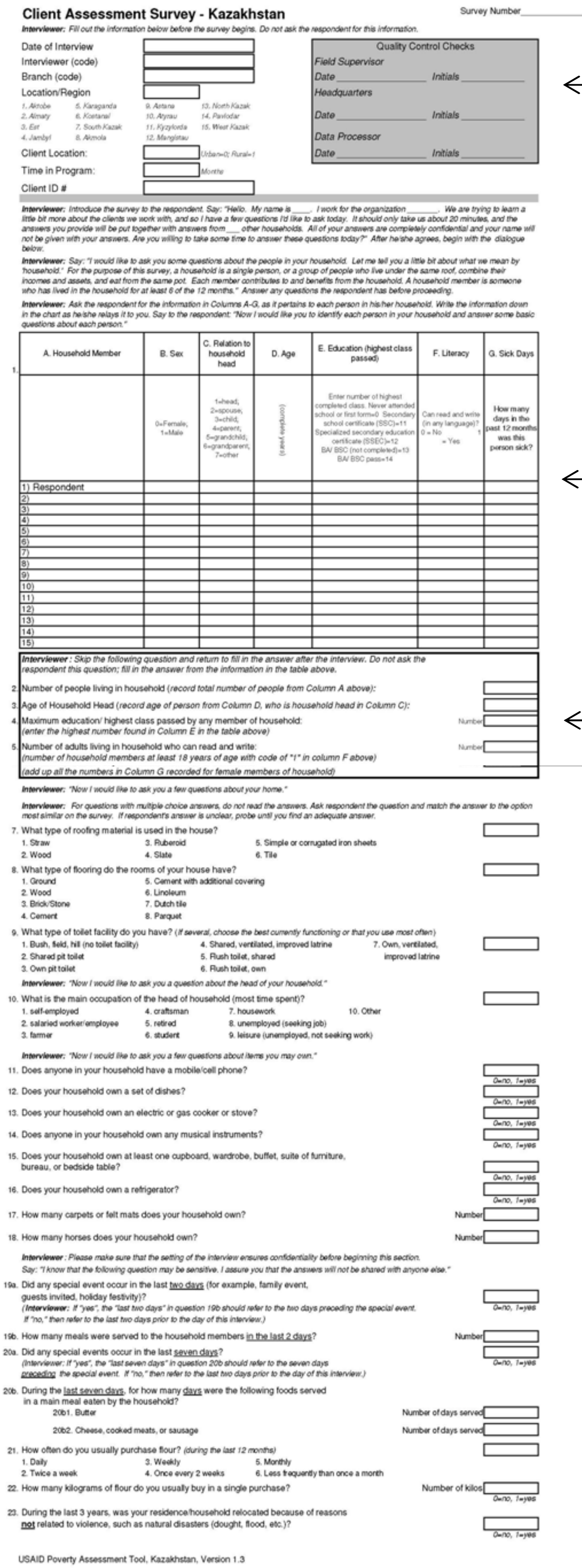
Interviewer Instructions – *These are throughout the survey. Some are to be read to the person being interviewed, others are notes just for the interviewer. All are indicated by "**Interviewer:**"*

Quality Control Check Box

Household Roster

Black Box

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



Client Assessment Survey - Kazakhstan

Survey Number____________

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. Aktobe, 2. Almaty, 3. Est, 4. Jambyl, 5. Karaganda, 6. Kostanai, 7. South Kazak, 8. Akmola, 9. Astana, 10. Atyrau, 11. Kyzylorda, 12. Mangistau, 13. North Kazak, 14. Pavlodar, 15. West Kazak

Client Location: *Urban=0; Rural=1*

Time in Program: *Months*

Client 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'd 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, begin with the dialogue below.*

Interviewer: *Say: "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 the purpose of this survey, a household is a single person, or a group of people who live under the same roof, combine their incomes and assets, and eat from the same pot. Each member contributes to and benefits from the household. A household member is someone who has lived in the household for at least 6 of the 12 months." Answer any questions the respondent has before proceeding.*

Interviewer: *Ask the respondent for the information in Columns A-G, 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."*

1.

A. Household Member	B. Sex	C. Relation to household head	D. Age	E. Education (highest class passed)	F. Literacy	G. Sick Days
	0=Female; 1=Male	1=head; 2=spouse; 3=child; 4=parent; 5=grandchild; 6=grandparent; 7=other	(complete years)	Enter number of highest completed class. Never attended school or first form=0 Secondary school certificate (SSC)=11 Specialized secondary education certificate (SSEC)=12 BA/ BSC (not completed)=13 BA/ BSC pass=14	Can read and write (in any language)? 0 = No 1 = Yes	How many days in the past 12 months was this person sick?
1) Respondent						
2)						
3)						
4)						
5)						
6)						
7)						
8)						
9)						
10)						
11)						
12)						
13)						
14)						
15)						

Interviewer *: Skip the following question and return to fill in the answer after the interview. Do not ask the respondent this question; fill in the answer from the information in the table above.*

2. Number of people living in household (*record total number of people from Column A above*):

3. Age of Household Head (*record age of person from Column D, who is household head in Column C*):

4. Maximum education/ highest class passed by any member of household: Number
(enter the highest number found in Column E in the table above)

5. Number of adults living in household who can read and write: Number
(number of household members at least 18 years of age with code of "1" in column F above)
(add up all the numbers in Column G recorded for female members of household)

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

Interviewer: *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.*

7. What type of roofing material is used in the house?
1. Straw 2. Wood 3. Ruberoid 4. Slate 5. Simple or corrugated iron sheets 6. Tile

8. What type of flooring do the rooms of your house have?
1. Ground 2. Wood 3. Brick/Stone 4. Cement 5. Cement with additional covering 6. Linoleum 7. Dutch tile 8. Parquet

9. What type of toilet facility do you have? (*If several, choose the best currently functioning or that you use most often*)
1. Bush, field, hill (no toilet facility) 2. Shared pit toilet 3. Own pit toilet 4. Shared, ventilated, improved latrine 5. Flush toilet, shared 6. Flush toilet, own 7. Own, ventilated, improved latrine

Interviewer: *"Now I would like to ask you a question about the head of your household."*

10. What is the main occupation of the head of household (most time spent)?
1. self-employed 2. salaried worker/employee 3. farmer 4. craftsman 5. retired 6. student 7. housework 8. unemployed (seeking job) 9. leisure (unemployed, not seeking work) 10. Other

Interviewer: *"Now I would like to ask you a few questions about items you may own."*

11. Does anyone in your household have a mobile/cell phone? *0=no, 1=yes*

12. Does your household own a set of dishes? *0=no, 1=yes*

13. Does your household own an electric or gas cooker or stove? *0=no, 1=yes*

14. Does anyone in your household own any musical instruments? *0=no, 1=yes*

15. Does your household own at least one cupboard, wardrobe, buffet, suite of furniture, bureau, or bedside table? *0=no, 1=yes*

16. Does your household own a refrigerator? *0=no, 1=yes*

17. How many carpets or felt mats does your household own? Number

18. How many horses does your household 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."

19a. Did any special event occur in the last two days (for example, family event, guests invited, holiday festivity)? *0=no, 1=yes*
*(**Interviewer:** If "yes", the "last two days" in question 19b should refer to the two days preceding the special event. If "no," then refer to the last two days prior to the day of this interview.)*

19b. How many meals were served to the household members in the last 2 days? Number

20a. Did any special events occur in the last seven days? *0=no, 1=yes*
(Interviewer: If "yes", the "last seven days" in question 20b should refer to the seven days preceding the special event. If "no," then refer to the last two days prior to the day of this interview.)

20b. During the last seven days, for how many days were the following foods served in a main meal eaten by the household?
20b1. Butter — Number of days served
20b2. Cheese, cooked meats, or sausage — Number of days served

21. How often do you usually purchase flour? *(during the last 12 months)*
1. Daily 2. Twice a week 3. Weekly 4. Once every 2 weeks 5. Monthly 6. Less frequently than once a month

22. How many kilograms of flour do you usually buy in a single purchase? Number of kilos *0=no, 1=yes*

23. During the last 3 years, was your residence/household relocated because of reasons **not** related to violence, such as natural disasters (dought, flood, etc.)? *0=no, 1=yes*

USAID Poverty Assessment Tool, Kazakhstan, Version 1.3

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 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. As with the Region variable, if your interviewers will have difficulty in determining whether some respondents are rural or urban, then a master list of all municipalities or branch offices should indicate which ones are urban and which are rural.

"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.

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.

Interviewer Instructions – 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

Parts 1-3: Many PAT implementers have reported that the initial client approach and introduction are the most important parts of the interview so it is very important 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 seem as though they would be good indicators of poverty, but do not appear on the survey. It is the specific *combination* of questions that predicts a household's wealth status.

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

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.

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 G. 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 relationship 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.

E. "What is the highest class [NAME] has passed?" – Note that codes 0, 11, 12, 13 and 14 are used for this question and that option zero ("0") includes people who have either never attended or completed school OR have completed the first form.
F. "Can [NAME] read and write in any language?" – Note that the person must be able to both read and write in order for response 1 ("yes") to be valid.
G. "How many days in the past 12 months was [NAME] sick?"

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 questions 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." 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. **"Age of household head *(record age 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 complete years, and do not round up.

4. **"Maximum education / highest class passed by any member of household *(enter the highest number found in Column E in the table above)*"**

5. **"Number of adults living in household who can read and write *(number of household members at least 18 years of age with code of "1" in Column F above)*"**

6. **“Total number of sick days for female members of household *(add up all the numbers in Column G recorded for female members of household)”*** - For each female household member, indicated by a “1” in Column B, add up the total number of sick days in Column G.

Household Questionnaire

Interviewer Instructions – “Now I would like to ask a few questions about your home.” 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 family currently resides.

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.” 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.”

7. **What type of roofing material is used in the house? -** If the respondent indicates that more than one type of roofing material is used, then probe to determine which material is most prevalent. If they say that multiple materials are used in equal amount, ask them to choose the one that is of more value. Be sure not to read the possible answer options for the multiple choice questions.

8. **What type of flooring do the rooms of your house have? -** If the respondent indicates that more than one type of flooring material is used, then probe to determine which material is most prevalent. If they say that multiple materials are used in equal amount, ask them to choose the one that is of more value. Be sure not to read the possible answer options for the multiple choice questions.

9. **What type of toilet facility do you have? (If several, choose the best currently functioning or that you use most often)**

Interviewer Instructions - "Now I would like to ask you a question about the head of your household.” **–** If you are speaking to the person identified as the head of the household, tell them the following question pertains to them only.

10. **“What is the main occupation of the head of the household?” –** If the respondent suggests that the head of household has more than one occupation, probe to find out where most of their time is spent or alternatively, the occupation that earns the most income (in-kind or cash).

Interviewer Instructions - "Now I would like to ask you a few questions about items you may own.”

For the following questions, all items should be included, regardless of condition. For example, if the respondent says the household has just one cellular phone but it is broken, you should record “1”.

11. Does anyone in your household have a mobile/cell phone?

12. Does your household own a set of dishes?

13. Does your household own an electric or gas cooker or stove?

14. Does anyone in your household own any musical instruments?

15. Does your household own at least one cupboard, wardrobe, buffet, suite of furniture, bureau, or bedside table?

16. Does your household own a refrigerator?

17. How many carpets or felt mats does your household own?

18. How many horses does your household own? – Be sure to include only horses that are owned by the household, not borrowed or otherwise held temporarily.

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

19a. Did any special event occur in the last two days (for example, family event, guests invited, holiday festivity)?

Interviewer Instructions – “If "yes", the "last two days" in question 19b should refer to the two days preceding the special event. If "no," then refer to the last two days prior to the day of this interview.”

19b. How many meals were served to the household members in the last 2 days? – If the answer to 19a was “no,” read the question exactly as written. If the answer to 19a was “yes”, then say “How many meals were served to the household members in the 2 days prior to [the special event]?”

20a. Did any special events occur in the last seven days?

Interviewer Instructions – “If "yes", the "last seven days" in question 20b should refer to the seven days preceding the special event. If "no," then refer to the last seven days prior to the day of this interview.”

20b. During the last seven days, for how many days were the following foods served in a main meal eaten by the household? If the answer to 20a was “no,” read the question exactly as written. If the answer to 20a was “yes”, then say “During the seven days prior to [the special event], for how many days were the following foods served in a main meal eaten by the household?” Then list each item and record their responses:

20b1. Butter;
20b2. Cheese, cooked meats or sausage

Note that the question is asking for the number of <u>days</u> in which the items were eaten, not the number of times or meals.

21. How often do you usually purchase flour? (during the last 12 months) – If a frame of reference would help the respondent answer the question, ask them to answer with respect to the last 12 months (or some similar frame of reference).

22. How many kilograms of flour do you usually buy in a single purchase? – Record the answer in whole numbers, without fractions or decimals.

23. During the last 3 years, was your residence/household relocated because of reasons <u>not</u> related to violence, such as natural disasters (drought, flood, etc.)? – For example, did the household move voluntarily.

24. How many females in your household have some kind of disability? – If the household is large, you may want to refer back to the household roster to remind the respondent of all of the household members to consider.

25. Are you or any members of your household occasionally denied service or have only limited opportunity to use social help? (such as pregnancy allowance, allowance for families with many children, unemployment allowance)

26. Are you or any members of your household occasionally denied service or have only limited opportunity to use utilities services (sanitary technicians)?

27. Is the head of household a member of a traders association?

28. Do you, your spouse or anyone else in your household have a withdrawable savings account, checking account, a fixed-term deposit account, or any other type of savings account?

Interviewer Instructions – If yes, then enter a '1' for this question and a "0" for question #29, and end the interview. If no, enter "0" and ask question #29)

29. **Why do neither you nor anyone else in your family have a savings or checking account? –** Do not suggestion an answer choice. If the respondent lists more than one reason, ask them for the main or primary reason.

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!"

"Now return to the questions in the black box below the roster and fill in the answers." After ending the interview, go back to the 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.