USER GUIDE: USAID POVERTY ASSESSMENT TOOL FOR KENYA

JUNE 2011
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 Kenya. 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 4 sections with Interviewer Instructions spread throughout. The sections are:

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

The next page outlines each of these sections on the Kenya 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 data used to create the Kenya PAT was obtained using the 2004/2005 Kenya Integrated Household Budget Survey (KIHBS). The Kenya PAT closely replicates the poverty results of the KIHBS using a smaller number of carefully chosen, statistically significant indicators.

For more information on, or to download, the PAT Surveys, Data Entry Templates, or other implementation materials, see www.povertytools.org.
Client Information
Includes “Survey Number” at top right

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

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

Quality Control Checks Box
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.

For the purpose of this guide, we will provide additional information and Interviewer Instructions in the same sequence as they appear in the survey.

**Interviewer Instructions** – You should use probing questions if necessary to elicit responses to all questions. If, however, a response is still not forthcoming, the following codes should be used: 99 - not applicable; 98 - no response given.

The code ‘99’ should be used when a particular question is not applicable. This only occurs in cases where age or some other condition makes the question irrelevant (Ask only of household members over age 5). The code ‘98’ should be used when the respondent cannot or will not answer a question, even after asking several follow-up or probing questions. If this occurs, it may be helpful to write down a note as to why the question could not be answered and share the information with a field supervisor. It is important to keep in mind that ALL survey questions must be answered in order for a survey to be usable in data analysis. However, no respondent should be forced into giving a response if he or she does not feel comfortable providing the answer.

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.

Parts of the survey that include large boxes should be written out in the box.

**Date of Interview (dd-mm-yyyy)**

**Interviewer (code)**

For portions of the survey that assign numerical codes to answer choices with a small box in the middle, an X should be marked in the box between the numerical code and the answer option.

“For 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 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.

“Province” – Indicate the province of the country in which the respondent lives, using the list of 8 pre-coded response options. For efficiency and accuracy, it is recommended to create a master list of all municipalities or branch offices where your clients are located, along with the province 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.

“Months 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 being 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. It is recommended that your team customize the original PAT survey 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 make sure to be clear and courteous and to respect all appropriate cultural norms.

While introducing the survey, 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 should NOT happen), 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 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.

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
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).

For this survey, a household is defined as:
- a person or group of people living in the same compound (fenced or unfenced);
- all of whom are answerable to the same head of household; and
- who share a common source of food and/or income as a single unit in the sense that they have common housekeeping arrangements (that is, share or are supported by a common budget).

If any one of these three conditions is not met, then it is not one household but several.

In addition, those individuals who have been absent from the household for more than 9 months during the past 12 months (that is, have been resident for less than 3 of the last 12 months) should not be considered household members. However there are three exceptions to the 3-month rule: 1) young infants less than 3 months old; 2) new spouses who are now residing with the household; and 3) members residing in an institution elsewhere, but still dependent on the household. This principally includes boarding school students, but does not include military personnel or prisoners who are not primarily dependent on the household for their welfare.

Non-family member can be included if they meet the above conditions. However, servants, other hired workers and lodgers should not be considered to be household members if they have their own household elsewhere which they head or upon which they are dependent. To make sure all persons are included in the roster, interviewers should ask if anyone is temporarily absent, if there are any new arrivals, including infants, and also if there are any servants, lodgers or visitors.

The head of the household is the person commonly regarded by the household members as their head. The head would usually be the main income earner and decision maker for the household, but you should accept the decision of the household members as to who is their head.

### Household Roster

The purpose of the roster is to learn about each member of the household in such a way that will help to build trust with the respondent and minimize bias. Collecting household information with a roster will facilitate data collection, as it helps identify all the members in an organized fashion, making sure nothing is left out. It also provides a rich level of information that can be used for further analysis.
**Filling out the Household Roster** – First, ask the respondent whether he or she is the head of household. If the respondent is not the head of household, then put the head of household second in the list. Then list all remaining members of the household, reminding the respondent who should be included. 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 D. 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’s Name” – Always list the respondent first, and then the head of household (if the respondent is not the head of household). 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 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.

C. “Is [name] female or male?” – 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.

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.

**Household Questionnaire**

**Interviewer Instructions** – The next set of questions refers to the dwelling in which the household currently resides. Transitional comments are important for letting the respondent know when you are changing to a different topic. To move to the next section, 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.”

**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.”
2. “How many habitable rooms does this household occupy? Do not count bathrooms, toilets, storerooms or garages.” – Include all rooms used for living, but exclude bathrooms, toilets, storerooms, garages, etc. However, if a storeroom or garage is used for sleeping, then it should be included among the habitable rooms. A room that is divided by a curtain or some cartons should just be considered as one room. Include all rooms that are habitable, even if not being used—such as a guest room. In rural areas, make sure to include all habitable rooms in other dwellings, including boy’s quarters or a separate kitchen used by the girls for sleeping.

3. “What material is the floor of the main dwelling predominantly made of?” – This question captures the final or finishing layer of floor material. For example, if the majority of a cement floor is capped with tiles, then the tiles should be listed as the predominant flooring material, and not cement. If more than one finishing material is used on the floor of the main dwelling, then indicate the one that covers the largest amount of surface. Since one room may have tiles but the rest only have concrete, be sure to confirm with the respondent whether or not the floor finish material is the same throughout the house. Other decorative materials such as carpets should not be considered as a floor finish material. Improved earth floor refers to traditional attempts to improve the floor using cow dung, for instance, in some communities.

4. “What is the household’s main source of drinking water over the past month?” – If more than one source of drinking water is used, indicate which one is used most often. Make sure the respondent is only considering the past month, and not the entire year. If the predominant source of drinking water is not listed as one of the response options, then record a “12” for “other”.

5. “What is the main toilet facility for this household?” – If more than one type of toilet is used by the household members, probe to determine which one is used most often. Some households in rural areas may have a flush toilet within the dwelling which is only used at night but mostly use a pit latrine. In such cases the main toilet facility used by the household is a pit latrine. Response option “5. Bucket/none” includes cases where the household does not have any form of toilet facility, but instead uses spaces outside the homestead/dwelling, which may have bushes, grass, shrubs, etc. If the most frequently used toilet facility is not listed in the pre-coded response options, then use a “6” for “other”.

6. “What is the household’s main source of cooking fuel?” – Indicate which type of cooking fuel is used most often by the household members. If the primary source of cooking fuel is not listed in the pre-coded response options, then use a “10” for “other”.

7. “Does your household own a refrigerator?” and “How many refrigerators do you own?” – If the household owns a refrigerator, record a “yes” for 7a, and then ask how many are owned. If the answer to 7a is ‘no’, then record a “0” for 7b and skip to the next question.

Interviewer Instructions –“Now, I would like to ask you about a few items that members of your household may own.”
8. “Does your household own a jiko-charcoal?” and “How many jiko-charcoals do you own?” – If the household owns a jiko-charcoal, record a “yes” for 8a, and then ask how many are owned. If the answer to 8a is ‘no’, then record a “0” for 8b and skip to the next question.

9. “Does your household own an electric iron?” and “How many electric irons do you own?” – If the household owns an electric iron, record a “yes” for 9a, and then ask how many are owned. If the answer to 9a is ‘no’, then record a “0” for 9b and skip to the next question.

10. “Does your household own a radio with no other components?” and “How many radios with no other components do you own?” – Only include devices that are a radio only. Any devices that include a radio and another component, such as a CD or cassette, should be included in the following question. If the household owns a radio, record a “yes” for 10a, and then ask how many are owned. If the answer to 10a is ‘no’, then record a “0” for 10b and skip to the next question.

11. “Does your household own a radio with a cassette or CD player, or a cassette or CD player?” – Include any device that has a radio and another component such as a cassette or CD player, and also include any cassette or CD players without a radio.

12. “Does your household own an electric/gas cooker?” – Include any type of electric or gas cooker or stove.

13. “Does your household own a charcoal iron?” – Indicate whether the household owns an iron that is heated with charcoal.

Interviewer Instructions – “Now, I would like to ask you about some livestock that members of your household may own.

14. “Has any member of your household raised or owned livestock, poultry, fish, bees, etc. during the past 12 months?” – Indicate whether anyone in the household owned or raised for someone else any livestock, birds, fish, bees, or any other animal, not including family pets. Probe to make sure the respondent is considering all household members for the previous 12 months of time.

Interviewer Instructions – “Look over the survey to see if you have missed any questions, then end the interview.”

“Those are all the questions I need to ask you today. Thank you for your time and effort in completing this survey.”