

Pollster Manual

Community-Based Monitoring System

Risk and Vulnerability

Data Unit

ARU Foundation

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Abstract

This paper develops description of the main concepts used in measurement instrument of risk and vulnerability in the municipality of Concepcion. It details important variables that have been identified as key for construction of indicators and it is necessary to consider this information. The content of the manual is designed for the pollsters' understanding who are going to conduct the collection of information, whose core competency is adequately convey the meaning of the question in order to bias does not exist in answers which may cause distortions in the results generated from the information gathered.

1 Survey Structure

The survey is ordered according to the following structure:

- Section 0: Identification Codes
 - Part 1: Husehold Identification
 - Part 2: Location and Observations
- Section 1: General Characteristics of Household and its members
 - Part 1: Demographic
 - Part 2: Migration
 - Part 3: Education
 - Part 4: Health
- Section 2: Labor

- Part 1: Activity Condition
- Part 2: Occupation and Principal Activity
- Part 3: Labor Income Earner
- Part 4: Self-Employment Income
- Section 3: Housing Income No Labor
- Section 4: Housing Expenses
 - Part 1: Food Expenditure INSIDE housing
 - Part 2: Food Expenditure OUTSIDE housing
 - Part 3: Health Expenditures
 - Part 4: Education Expenditures
 - Part 5: Other Expenditures
 - Part 6: Household, Services and Maintenance Expenditures
 - Part 7: Furnishings Housing Expenditures
- Section 5: Risks
 - Part 1: Shocks
 - Part 2: Prevention Strategies
- Section 6: Basic characteristics of Household

Each section and part contains a set of questions to measure variables that allow to make indicators. Wherefore should notice that the absence of some variable (question not answered) equals incomplete component could not generate accurate information. Therefore, the following parts of the paper develops for each section of the survey the most important concepts that will guide the capture of information.

2 Identification Codes

Identification codes allow to distinguish:

1. The supervisor and pollster
2. The place where the housing is located
3. Location characteristics of household

It is necessary to capture the reference data of dwelling. Additionally, point georeferencing is taken with GPS that allows to get more specific location .



Note: It is important to understand that part of HOUSING is the initial filter where it is defined if survey is filled or not. Accordingly the answers it is important to choose a judgment about the state of housing and if there are observations at the time of filling this part it is precise to annotate a concise and brief way.

HOUSING	U.S. HOUSE
OCCUPIED	
1 With dwellers presents	<input type="checkbox"/>
2 With dwellers absents	<input type="checkbox"/>
3 Not qualified informant	<input type="checkbox"/>
4 Rejection	<input type="checkbox"/>
NOT OCCUPIED	
3 For renting or selling	<input type="checkbox"/>
4 In construction or repair	<input type="checkbox"/>
5 Use seasonally	<input type="checkbox"/>
6 Abandoned	<input type="checkbox"/>
Do all people, who habitually reside at this house, share the same source for food?	
1 Yes (one household)	<input type="checkbox"/>
2 No (more than one household)	<input type="checkbox"/>

0.11 OBSERVATIONS

- The possible categories for the answers are:
 In the case of occupied housing the following events could occur:
1. With people are present
 2. With people are absent
 3. Unqualified Informant : Refers that housing where there are people living but that at the time of the interview anyone who could accurately answer questions (person who are capable to answer because is old and knows a lot about household) is found.

4. Rejection : It is the case that informants in the household refuse to answer conclusively .

In the case that houses were unoccupied it is possible to report any of the following states :

5. For rent and/or sell
6. In construction or repair
7. Habited by season
8. Abandoned

Just if option 1 is checked the interview continues. For the rest options (2 to 6) it is necessary to confirm that option chosen with any neighbor who live near the house.

If the house is occupied and the residents are present then it should be choose: if there are more than one household living there. Understanding that a household shares a common background for food.

3 General Characteristics of the Housing and its Members

In this section characteristics of each household member are captured. This section contains parts that identify demographic variables (age, sex, marital status, language, racial identification). There are a set of variables that capture information on education, health, employment and income and transfers labor.

3.1 Part 1: Demographic

This section must list (Question 1.1) the number of people living **habitually** at home. It is necessary to verify that the number is the same in the rows which identifies the name of each member in the Name column (Question 1.2a) .



Habitual resident of house: This is the person who usually lives at house, it is necessary to make sure that at the time of interview this member not be absent from home more than three months.

Household: It refers to one person (unipersonal household) or group of people, with or without family ties, who are habitual residents, who share and participate with each other in the formation and/or use the same budget, leading a common life that produce and consume their food in common.

In Question 1.2b last name of habitual resident is declared and the **Informant Type** , where *direct informant* , is who is answering most of the questions at the time of the interview and *ideal informant* is who would be the person to answer in the absence of direct, i.e. an older person with appropriate knowledge of household members.



Note: You must register to temporarily absent (less than three months the absence), children, newborns, elderly, employed living at house habitually.

It is possible that within the same dwelling are more than one household. It should take into account the definition of household to identify these situations.

For each member of household it is precisely to register sex (Question 1.3) and age (Question 1.4) if a child is under one year are noted down 0. The relationship with the **Head of Household** (Question 1.5) is registered when the informant declare.



Head of Household: This is the person considered as such by other household members who has more responsibility in making household decisions and usually provides most of the financial resources of the household, but not necessarily. If a person lives alone, she/he is a head of household.

The marital status are note down (Question 1.6) for each member, as the existing tenure Birth Certificate (Question 1.7) and Identification Document (Question 1.8).

The language that learned to speak in the childhood is identified (Question 1.9) and currently the language that speak in the present (Question 1.10), as well. Finally, for the demographic characteristics part the identification with some indigenous or ethnic nation/village is noted down.

3.2 Part 2: Migration

The birthplace of each household member is registered (Question 1.12) depending on which is the place of member born, an option is chosen. "Here" is for those that never change the place where they born, for another case the department and municipality are noted down.

The place where she/he lived five years ago is noted down (question 1.13). The intention to change the place of residence (question 1.14) remains the same treatment of the above questions and who answers affirmatively moving intension specifies the reason (Question 1.15). Finally, there is the place where the person was participate of census 2012 if so.

3.3 Part 3: Education

In this section we look into the educational characteristics of household members.

It captures information about the top level and course of instruction **reached** (Question 1.17) . In *course* is important to note down the year in which passed.



Level of instruction: This is the highest level of schooling attained and approved by people.

Level of Education: They are periods in which the formal education system is divided. Each of these periods or levels generates an own training process and different degree of complexity. Levels are compose the courses which ones vary from 8 to 4 years.

Course: This is the equivalent of one year school of educational levels. A course is characterized by having plans and programs with specific content and a minimum number of class hours.

Once a level and course are registered, information about certificate or degree are taken (Question 1.18.). About enrollment (Question 1.19) the question in the survey look for capture if household member is enrollee or not at some level. Finally, assistance is note down (Question 1.20) taking in count the assistance should be at 80% of the total classes .

3.4 Part 4: Health

This section should list the problems for health diseases in the **last twelve months**. If a household member declare has had an health problem, first a code is noted down and then is specified disease which was suffered (Question 1.21).



Endemic Disease: They are diseases, mainly infectious. They habitually appear in a specific region. For example, malaria, yellow fever, etc .

Sporadic Disease: They occur only in specific cases within the population. For example: heart attacks, appendicitis, etc.

Epidemic Disease: They are infectious diseases which duration is temporal. They quickly spread, affecting large numbers of people with high mortality rates. For example, fever, flu, cholera, etc.

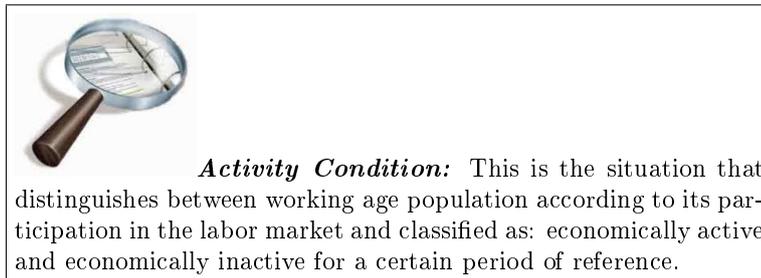
The place where household member was attended is noted down according to the appropriate category: public health center, private clinic, a family member attended to him, traditional doctor, self-medication and otherwise if a member was not attended (Question 1.22). Then it is precise to register the number of days that were lost in the week due to health problems that faced each household member (Question 1.23). At the end of this part is registered expenses that were made to treat the disease and the number of times that expenditure was made during the last twelve months.

4 Employment

This section classifies the population by **activity condition** and three basic categories are considered:

- Working Population
- Unemployed
- Economically Inactive Population

4.1 Part 1: Activity Condition



To register if the person is working in some activity that generates some income it is necessary to distinguish the definition of **job** (Question 2.1). It is considered job to any economic activity carried out by people in exchange for payment (cash or kind). It is considered that a person worked if perform an activity of at least one hour in the **last week**.



Reference period: In the employment section referential time of current occupation is last week to the day of interview (without considering the current week but last week starting from monday).

Age of study group in employment: To consider the activity condition of household members is set a age not lower of 7 years. It is the minimum age that should have any member that may have a job and should be taken into account.

Generally, people often confuse their activity not perceiving it as economic activities. Therefore in Question 2.2 are categorized certain variables that can address the answers of respondent to get the correct answer if the 2.1 was negative.

It is possible that during the reference period established there some cases in which the person may be absent from work for extraordinary reasons (holidays or permits, illness or accident, lack of materials and customers strikes, strike or labor dispute, badweather, be suspended, personal or family problems) which prevented him/her from performing any labor activity. To filter these cases is formulate the question 2.3.

4.2 Part 2: Principal Occupation and Activity

To set the branch on which the informant, who worked last week, is the question about principal activity is asked.



Economic Activity: It is refer to production of goods and services, whose destination is the market by setting a price which covers production costs and obtaining earnings and profits, or non-market, which destination is consumption. This means if a production activity is necessary to produce a good or service that generates an income and/or if it is a trading activity that through an exchange of a product already produced an income is generated .

Principal Economic Activity: It is the activity that comply with any of the following statements :

1. It generates the highest earnings
2. Person spends more time working
3. It is the favorite activity

Register occupation is also important once a branch have been chosen. The occupation (Question 2.5) defines or characterizes what the person does daily. For example, seamstress, baker, teacher, director, etc.

The Question 2.6 leaks people who changed their current job in the past twelve months to observe their job stability or the existence of a shock that generated the change of occupation. In the case that person did not have the same occupation in the last twelve months, information about prior occupation is captured (Question 2.7), the reason of change of the activity (Question 2.8) and the amount of income that has been perceived as an employee or independent (Question 2.9).

About current occupation, a question about how long time is working in that occupation is asked (Question 2.10) and time is working in current place of work (Question 2.11). To find out how much time spend working in current occupation the number of days a week is asked (Question 2.12) and then the hours for each day (Question 2.13) taking as reference period last week.

To understand the relationship of the worker to his job , ie the way it has to be inserted in the labor market . A first basic distinction is whether working independently which is captured dependent distinguishing occupational category (Question 2.14).



Worker: person that works making physical effort for an public or private employer and receives a monetary compensation (wage) and/or in kind. They are usually employed in mining and exploitation of natural resources (agriculture, mining), or secondary processing activities (manufacturing, construction, etc.)

Employee: A person who works for an public or private employer and receives a monetary compensation (wage) and/or in kind. Includes exploitation of knowledge or intellectual skills. They work in occupation as: administrative, technical, supervisory control, trade and services.

Self-employed: It is the person who has an own-business, without having any employee or boss. This person sells or produces goods or services with help of workers family or apprentices or without their help. For example: tailor, carpenter, salesman, plumber, etc.

Boss, partner or employer who receives salary: This person runs his/her own company or business. Besides, he/she has employees that earn a salary. Despite of being an owner receives a monthly remuneration for the work done in their own economic establishment and receives, as well, utilities and profits generated in business or company at the end of year. Generally, his/her company or business has financial statements and take control of the entire company or business.



Boss, partner or employer who does not receive salary: This person runs his/her own business or economic unit and has employees. The main features of the economic establishments where he/she works is that she/he does not carry financial statements and there is not a strict control of the company or business .

Cooperative production: This is the person who is a partner, is actively working in a cooperative enterprise, receiving income or losses assuming their quality of partner. For example: Cooperative miners, etc.

Worker unpaid apprentice or family: The person performing an activity without receiving monetary compensation or in kind , might be owner's familiar or not where he/she works. For example: aide garage , children that help owners out at store, family farmer, peasant, etc .

Household Employee: A person who works at home doing work of a domestic nature, receiving a salary in cash and / or kind. For example, domestic workers who sleep at owner's home and who do not, nannies, cooks, butlers, gardeners, etc.

Once identified the occupational category of each household member who works. It is possible to distinguish between employees and self-employed and complete the questions for each of the following parts of the employment section.

4.3 Part 3: Income for salaried worker

It is asked about workers net wage, after fulfilling the obligations of law and social security contributions. These discounts are usually contributions to any Pension Fund Administrator (PFA) authorized or with holdings (conditional to bills discharge) Value Added Tax (VAT). It is noteworthy that not be taken into account discounts for delays or advance payments (Question 2.15).

Payments received in the last twelve months are also registered for reasons of production bonus or premium, bonus, commission, tips, overtime payments (Question 2.16).

Besides additional monetary payments for work activity of employees, there is a remuneration in kind which is considered a way to pay for work. In this sense, the objective of the question 2.17 is to ask for benefits in kind and/or services received by the employee. Among the alternatives in this question are: food and beverages to be consumed inside and outside of the workplace, transportation to and from the place of work, clothing and footwear frequently used both inside and outside of their place of work, housing that can be used by household members, or childcare services, sports and/or recreation installations.



Wage: It is one of the main variables that determine the welfare of people and their families. Provides the ability to satisfy needs by purchasing power it represents. It is the amount of money that household member receive in cash and/or in kind during the reference period in return for selling their labor force to a company, institution or employer.

Additional to payment for work activity, and employee may receive breastfeeding subsidy or prenatal and birth bonus this payment within the reference period of last twelve months (Question 2.18).



Breastfeeding Subsidy: It is about the allocation of dairy products equivalent to a monthly national minimum wage. Only employees who have insurance are benefited and those that have a child in the last twelve months (benefit is given five months before childbirth and twelve months after).

Birth Bonus: includes the one-time payment of a national minimum wage to workers that in the last twelve months have had a child.

4.4 Part 4: Self-employed Income

In this part self-employed variables are captured. The amount of money that self-employed earns at principal occupation is asked. This income still includes expenses that involves having an independent activity (Question 2.19).

Then, the informant must answer for the total amount that represents its usefulness, benefit or net profit, and how informant use the money for household expenses, after informant pays for inputs or operating costs (Question 2.20).



Total Income: Total income is the gross amount that self-employed received.

Profit, gain or utility: This is the amount of total income minus expenses and costs and what remains as a net income (profit).

5 No Labor Household Income

No Labor incomes are those that household members can receive, both monthly or annual or at some time during the year and whose origin are not an economic activity (Question 3.1).

They include the following categories:

- Retirement: Refers to payments received for retirement or pension by temporary organization, public or private. It should list net amounts received after completing the mandatory rate discounts.
- Family Assistance for divorce or separation
- Monetary or in-kind transfers from other persons who reside OUTSIDE and INSIDE the country.
- Dignity Rent: Annuity for all adults over 60 years old, the amount comes to 200 Bs. for those who receive pensions and 250 for those who do not receive pensions.
- Juancito Pinto Bonus: Payment for all children enrolled in primary and secondary grades in public schools and convention and achieve 80% attendance, the amount is 200 Bs.
- Juana Azurduy Bonus: It is the transfer that pregnant mother receive and after birth controls once the children born. For each stage is assigned 50 Bs. for four pre-birth control and institutional delivery plus post-birth control 120 Bs and for each control 125 Bs.
- Interests (bank deposits, loans, etc.)

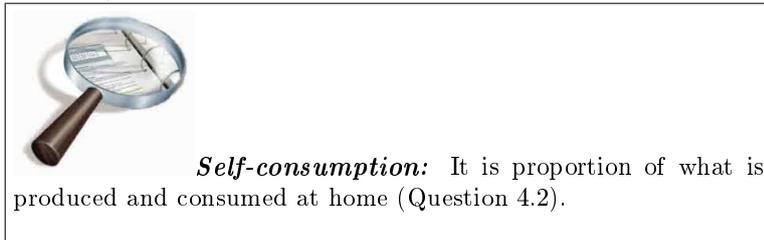
- Apartment and house for rent
- Agricultural properties for rent
- Dividends, utilities, etc.: In case of having any partner in society at the end of the year an amount of money is given.
- Renting of machinery/equipment
- Indemnification for leaving a job: Payment given to person who retires from job in which has been for years.
- Insurance Indemnification: Payment given to person who has suffered a loss (theft, loss of property, accident, etc.) and was assured that protects a company against such events.
- Disability: It is a benefit provided to the employee who has had an accident in the exercise of their job functions. As consequence the accident, employee has a total or partial physical handicap an for that reason he/she is not going to return to work.
- Other extraordinary incomes (scholarships, patents, etc.)

6 Household Expenses

From this section, data that represent a household status are captured so it is precise to take into account the consumption of all household members.

6.1 Part 1: Food expenditure INSIDE household

It identifies whether household members bought, managed or consumed, various food products at home, taking as reference period the last month (Question 4.1, 4.2 and 4.3).



6.2 Part 2: Food and drink expenditure household

Household members may incur consumption expenditure on food and beverage outside household (for example: breakfast, lunch, dinner, etc.) This information is captured in Question 4.4, the reference period is the last month.

6.3 Part 3: Health Expenditures

Health expenditures that were made **the last twelve months** are captured in Question 4.5. It refers to any expenditure made by health problems as consultations, treatments, tests and hospital equipment purchase.

6.4 Part 4: Education Expenditure

This part is focus on the costs incurred by household in education of each members who enrolled or attended any educational institution **the last month**. There are questions about pensions or fees, photocopies of educational material, transportation, snack or recess and other expenses (if there is any it must be specified the amount (Question 4.6).

Expenses made in the last twelve months are registered as tuition (home payment made to educational institutions at the beginning of the management), uniforms, textbooks and supplies, contributions to the parent policy, contribution to educational institution for teacher payments, contributions to improve the infrastructure of the establishment and other expenses related to school or university issues (Question 4.7).

6.5 Part 5: Other household expenses

This part identifies other household expenses as the amount allocated for transportation, personal hygiene items and household goods, personal services, fuel and lubricants as buying some entertainment items and household employees payments in the last month (Question 4.8).

About expenditure incurred by the household in the **last three months** in clothing, clothing accessories, drugs and pharmaceuticals, textiles and plastics for home and household services is registered in Question 4.9.

The amounts of expenditure on items of jewelery, watches, earrings, chains, pins, toys, vehicle maintenance and repairs, tourism, legal and insurance costs, celebrations or social gatherings of the home and payment fees loans from bank are registered in 4.10 Question.

6.6 Part 6: Household expenses, services and maintenance

In this part are registered expenditures for rent, and other basic services, water, electricity, household gas, fixed telephony, mobile telephony, public telephony, internet, cable TV, public service garbage collection and sewage (Question 4.11).

It is captured the data of expenditure on maintenance and repair of the dwelling that involves repairing roofs, walls, floors (including painting), toilet

repair, pipes, wells , water tanks, electrical repairs and housing security, construction and/or expansion of rooms, construction of fences or walls, placing machimbre, parquet or carpet and other services related to housing infrastructure.

6.7 Part 7: Home equipment expenses

In this part, information is captured in order to estimate household welfare through durable goods (household goods). A set of goods are enlisted for each household in which an ownership is established or not for such good (Question 4.13).

Using a flow of questions information about goods are explored quantity (Question 4.14), how much time does household have the article (Question 4.15), how much did good cost (Question 4.16) and the estimated value that can be gotten for the good (Question 4.17). In Question 4.18 tenure data are captured for transport items such as motorcycles and cars, in the same way quantity is captured (Question 4.19), how much time does household have the article (Question 4.20), how much did good cost (Question 4.21) and the estimated value that can be gotten for the good (Question 4.22).

7 Risk

This section captures household information regarding unexpected events that faced in the **last twelve months** and the strategies for facing these events considered a problem because it reduces their welfare. Events are ordered (shocks) as strategies according to the level that affects them and the actors involved in risk management.

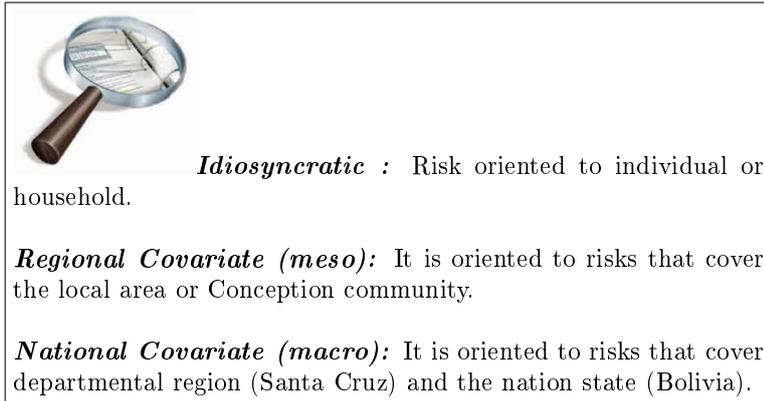
7.1 Part 1: Shocks



Risk: Being exposed to any unforeseen or unexpected event that significantly changes the social and economic status of a person or household.

Shock: It is the event that occurs that is considered as a difficulty or problem that decreases household/person welfare generating conflicts that could affect income and regular consumption.

Using a set of risk categories, information about which are the events that suffered is registered **last twelve months** (Question 5.1). Risks may be classified according to main sources and intensity as idiosyncratic and covariate spatially .



Through the continuous flow of questions for each event (shock) information about data of time (month/year) in which it occurred is registered (Question 5.2). To capture the intensity of each event a significant variation in household income is captured (Question 5.3) and amount of decrease in income caused for the event if the previous question was affirmative (Question 5.4).

If the event (shock) caused some loss/damage of assets/properties (Question 5.5) it is registered and the amount at which the loss is (Question 5.6). The increase of household expenses because some event is asked (Question 5.7) and what was the change in spending (Question 5.8).

About household state of recovery behind experiencing some event is asked if it was completely, partially or still in progress of recovery (Question 5.9). Depending on this response, the time that household considers it take to recover completely is asked (Question 5.10) and how long it took household if it completely recovered (Question 5.11). Finally, there is a question where it is precise to assigned a value from 1 to 5 according to the perception of household on each event who suffered with 1 being the least severe effect and 5 is the most severe effect (Question 5.12).

7.2 Part 2: Prevention Strategies

This section captures the actions of households take (took) to:

- Risk Coping

- Risk Mitigation
- Risk Reduction

Besides those actions, there are three arrangements to face risk exposure :

- Informal
- Market-based
- Public



Strategies to deal risk: They are designed to deal with the shock (event) once it has occurred.

Strategies to mitigate risk: They aim to address favorably (with the least possible effect on welfare) before it occurs.

Strategies to reduce risk: These are strategies that are implemented before a shock occurs.

Informal arrangements: They are those that in the absence of (or incomplete) market institutions and public support households respond to risk by protecting themselves through personal and informal arrangements.

Market-based arrangements: They are those created for households to take advantage of the financial products offered by insurance companies and banks.

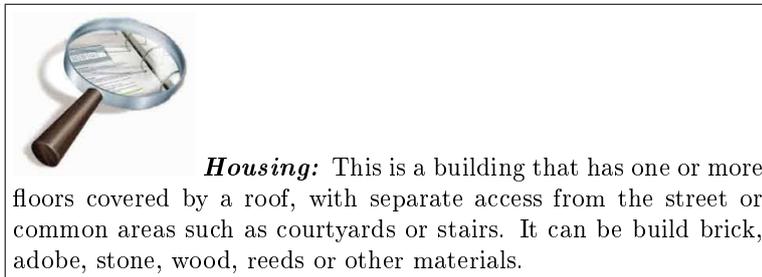
Public arrangements: These appear in the absence of informal arrangements and market-based, then government provides social protection programs for those expose at risk.

It captures information about how to face the risk and the strategies followed by households to any event that results in a decrease in welfare ranking the three most severe events were recorded in Part 1 (Question 5.13). If not scored any strategy captures the information on how to manage risk for all events occurred during the scoring last twelve months if you followed some strategy for any of these events (Question 5.14) .

Finally, in this part local insecurity data are taken (Question 5.15), being a victim of a robbery or kidnapping (Question 5.16), the job opportunities in community (Question 5.17) and if any activities in which there are more opportunities (Question 5.18).

8 Basic Characteristics of Housing

In this section data are registered to measure poverty in relation to the basic needs of access to basic services and housing conditions.



First, it is registered if the dwelling is (Question 6.1):

1. Own
2. Rented
3. Rented for unique amount of money
4. A family active
5. Courtesy of services: This refers to those homes that are given to any person in return a service. For example, a caretaker of a school, a farm foreman, etc.
6. None

The way how households obtain water used for drinking and cooking is registered in Question 6.2.

1. Pipe Network
2. Public pool
3. Delivery truck
4. Well or river with pump: When the well or river has a fuel or electrical device that is used to extract the water.

5. Well or river without pump: When the well or river does not have an electrical device or combustible fuel to remove water.
6. Rain, river, slope, ditch
7. None

For the material used in the construction of the walls is introduced Question 6.3 .

1. Brick/concrete block/concrete
2. Adobe/ mud wall
3. Partition/quinche : It is done with a cane structure or wooden bark that it is filled with mud.
4. Stone
5. Wood
6. Cane/palm/trunk
7. None

About predominant material in housing ceilings the appropriate category is note down in Question 6.4:

1. Calamine
2. Tiles (cement, clay)
3. Reinforced concrete slab
4. Straws/cane/palm/mud
5. None

The Question 6.5 captures the most used material features for floors of housing:

1. Dirt
2. Wooden plank
3. Machimbre/parquet
4. Carpet
5. Cement/Brick
6. Mosaic/Tile/Ceramic
7. None

The housing antique is registered in Question 6.6. The condition of the toilet, bathroom or latrine is noted down in Question 6.7, in the case that a toilet/bathroom/latrine are to be private or public, the type of drainage is noted down (Question 6.8). In Question 6.9 type of source from receives power is registered.

About main source of energy or fuel for cooking is noted down in Question 6.10. Finally, room features are registered. If there is room for cooking (Question 6.11), number of rooms available in housing (Question 6.12) and the number of rooms used to sleep (Question 6.13).