

**Interviewer Manual  
2008 Extension  
of the  
Timor Leste Survey of Living Standards 2007  
TLSLS-EXT 2008**

**National Statistics Directorate, Timor Leste  
and the  
World Bank**

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# I. OVERVIEW

## 1. OBJECTIVES OF THE TLSLS EXTENSION SURVEY

The present survey is designed to re-visit one third of the households interviewed under the TLSLS 2007-08 to explore different facets of household welfare and behavior in the country. The four new topics that will be investigated here are:

**Risk and Vulnerability:** This section is designed to help us understand the dimensions and sources of household-level vulnerability to uninsured risks in Timor Leste, and the efficacy and welfare effects of various risk-management strategies (prevention, mitigation, coping) and mechanisms (private as well as public, formal as well as informal) households do (or do not) have access to. The planned work in TL is part of a program of analytic work and policy dialogue throughout the EAP region, which is to culminate in the production of a regional flagship report in June 2009.

**Land Degradation and Poverty:** This section of the questionnaire is designed to identify proximate causes of deforestation through land use patterns and links with poverty; understand strengths and failures of common land resource management institutions (property rights, enforcement); understand the impact of the Siam Weed problem on household welfare.

**Justice for Poor:** The Justice for the Poor/Access to Justice (J4P/A2J) module of the survey will serve mainly as an initial diagnostic for project development in the country. The topics we would be interested in covering would be Dispute Processing/Resolution; Social Legal Norms and Perceptions of Efficiency in Government (Local, Sub-District, District and National level).

**Access to Financial Services:** The financial service work has the following two objectives: (i) to collect data on household access to and use financial services (savings and credit), both formal and informal, that is comparable to data being collected in a wide range of countries at present (largely in Africa and Latin America); and (ii) assess the quality of information on access to financial services obtained from head of households vs. from all adults – i.e. is there a bias introduced by not asking all household members, do the characteristics of the head or the household affect this (gender, age, nuclear family, urban, education levels, wealth, etc.) .

## 2. MAJOR DIFFERENCES BETWEEN THE TLSLS AND THE TLSLS-EXT SURVEYS

This field work will be organized in teams of three interviewers, a supervisor, and a data entry person. Each team will have a car and driver as well as a laptop computer and printer.

Much of the field work organization and structures will be similar to those in the TLSLS. However, there are TWO significant differences between this survey (the Extension) and the TLSLS:

1. **The choice of respondent and section of the questionnaire will vary by household.** Unlike the TLSLS where the entire questionnaire was applied to each and every household in the same manner with the same rules for selecting respondents, the present survey will classify households into two groups. Group 1 or the “ODD” households will have one set of respondents and sections of the questionnaire to apply and Group 2 or the “EVEN” households will have a different set of

respondents and sections of the questionnaire to apply. The rules for this are found in the section titled “Rules for ODD and EVEN Households” below.

**2. Each household will be visited by two interviewers at a time.** In other words, interviewers will work in pairs for part of the survey. The reason for this is that it is extremely important (i) that each person is interviewed separately and that the person is able to answer for him or herself and (ii) for us to be able to identify clearly who responded to each question.

In several sections the gender of the person answering the question is critical as is the status of the person in the household (head of household, other adult, spouse of head of household). We are trying to determine whether different people will have different perceptions due to their gender, status in the household, age, etc. During the TLSLS field work and the pilot for this extended survey, one member of the household may answer for another member, even when the other member is present. If there is only one interviewer it can be difficult to ensure that different people answer for themselves. By having two interviewers present in the household at the same time, interviews of the head of household and the spouse can be carried out simultaneously, thus making it easier to ensure that the two people answer for themselves.

The presence of two survey enumerators per household will allow holding separate interviews with male and female respondents so that, while one is answering the Justice module, the other one is answering the shocks module. Ideally, each of the respondents should be sitting in separate rooms so that their answers correspond to their own views and are not being affected by the other person’s interruptions, comments or reactions. Explain to the respondents that similar studies in other countries found that men had different opinions and experiences of shocks than women had and that we want to know if this also is the case in Timor Leste. To understand how things work in Timor Leste we want to give both men and women a chance to tell us how things are done. In rural areas, explain that the team has made the effort of traveling to this community because their situation is just as important as the communities in the capital, for both men and women. We are interested in their opinions. If a man or a woman is uncomfortable being alone with the enumerator, they can ask another family member of the same sex to join them at the interview.

### **3. INTERVIEWING TECHNIQUES TO ENSURE THE CORRECT INFORMANT**

When conducting a survey, interruptions from other persons who are not the intended respondent are very common. For this reason, the interviewers should explain to the respondents about the importance of letting the person to whom the question is directed answer it without others’ interference or views. In situations in which, despite having explained this rule the problem persists, interviewers should politely remind the interrupting household members of the methodology and direct their attention to the answers given to the selected respondent.

Some preventive actions on the side of the interviewer can minimize the problem of interruptions from other household members who are not the intended respondent of a given section of the survey. Examples: (1) explaining this rule at least once to all the persons present in the interview; (2) finding separate spaces to conduct the separate interviews; (3) when a respondent is doubting about what answer to give to a question and looks for others’ help, prompting him or her to give his/her own view and assuring him or her that it is precisely that view that you are looking for; Repeat that there is no right or wrong answers to the questions and that this is not a test. (4) directing the question to and maintaining eye contact with the intended respondent; (5) following an interruption, explaining once again the rules of the game and going back to the respondent’s line of thought and asking him/her to continue with his/her answer.

#### **4. STRUCTURE OF INTERVIEW 1 AND INTERVIEW 2**

There are two interviews for each household, interview 1 which will be conducted by the primary interviewer, and interview 2 which will be conducted by both the primary interviewer and their partner the secondary interviewer. Interview 1 covers the roster and agricultural modules, and interview 2, which cover the financial, shocks and justice sections.

Interview 1 should be conducted alone by the primary interviewer. During this interview, the primary interviewer will ask the roster and agricultural sections. When these two sections are finished, the first interview is over. The interviewer cannot continue with other modules until after checking with the supervisor. At the end of interview 1, the interviewer should arrange a time when the household head and spouse will both be home to return for interview 2.

After completing interview 1, the interviewer should meet with the supervisor. The supervisor will check the roster and agricultural sections for any errors that can be corrected during interview 2. The supervisor will select a secondary interviewer to accompany the primary interviewer to interview 2.

During the interview 2, the primary and secondary interviewers will conduct the interviews separately. The sections to be asked in the second interview are as follows:

##### *Primary Interviewer*

<u>EVEN</u>		<u>ODD</u>	
Head :	3B, 5	Head:	3A, 4
All Adults Over 15 :	3B		
(including the spouse)			

##### *Secondary Interviewer*

<u>EVEN</u>		<u>ODD</u>	
Spouse :	4	Spouse :	5

## **II. THE INTERVIEW**

### **1. BEFORE YOU ARRIVE AT THE HOUSEHOLD**

(i). Before you arrive at the household check that you have the following items:

- Name and address of household to be interviewed
- TLSLS-EXT questionnaire
- Printout of basic identification data and roster information from TLSLS interview for this household
- Printout of plot module from the TLSLS interview for this household
- Showcards for the land management module
- Pencils, erasers and other such materials

(ii) Before arriving at the household you should complete the following sections in the questionnaire:

- Using the ‘Printout of basic identification data and roster information’ copy onto the cover page of Book 2:
  - “Original Household Identification”. This is especially important as it will allow interviews from the extension survey to be matched with those from the original survey
  - district name and code,
  - sub-district name and code,
  - suco name and code,
  - enumeration area / aldeia and code
  - Mark whether the household is an ODD or EVEN household (see rules below.).
- Using the ‘printout of plot module’ from the TLSLS Fill out questions 5-20, Section 2A for each plot.

All of this should be done prior to arriving at the household to carry out the interview.

### ***Rules for ODD and EVEN Households***

Unlike the TLSLS 2007-08, not all individuals will answer all sections of the questionnaire. In fact, with the exception of Section 3B, the survey will rely on two respondents only: the head of household and the spouse. Each household will be identified as an ‘ODD’ or ‘EVEN’ household in the following way:

1. For each household the interviewer will receive a printout of the roster information of that household. On this printed page will be the original identification number of the household from the TLSLS. Make sure that this number is written onto the cover page of the new survey questionnaire in the section “Original Household Identification”. Another number will also be provided. This three digit number will have been randomly generated. You must determine if this number, labeled “Random” on the printout is an odd number or an even number. An odd number is any number that ends in 1, 3, 5, 7, or 9. An even number is one that ends in 0, 2, 4, 6, or 8. If the random number is an odd number, circle ‘ODD’ in Question 4 of the cover page. If the random number is even, in Question 4 on the cover page of the questionnaire, circle “EVEN”.

The second page of the questionnaire, Table of Contents, shows how the interview should be conducted if the household is “ODD” and how the interview should be conducted if the household is ‘EVEN’.

If the household is **ODD**:

- The HEAD OF HOUSEHOLD (male or female) answers the questions in Section 1, Section 2, Section 3A, and Section 4.
- The spouse of the head of household answers only Section 5.

If the household is **EVEN**:

- The HEAD OF HOUSHOLD (male or female) answers the questions in Section 1, Section 2, Section 3B, and Section 5.
- The SPOUSE of the head of household answers the questions in Section 3B and Section 4.
- All other adults (ages 15 and older) answer section 3B.

## 2. SECTION 1: THE ROSTER

The roster for the extension survey contains the same questions as the roster for the main survey and the same rules apply. There is an information page on the back of page 2 of the questionnaire that gives information and definitions for the roster. If you have further questions, you should refer to the original TLSLS interviewer manual, or ask your supervisor. The main difference between the two surveys is that you should only ask the complete roster module for **NEW** household members, ie those who have moved into the household since the time of the TLSLS survey, for all others only questions 1-7 are needed.

Questions 1 through 7 should be completed for all household members. Complete question 1 as you did in the TLSLS, listing all individuals living in the household even if not present at the moment. This list of household members may not match the roster from the TLSLS as some people may have become household members since the TLSLS (new babies, spouses, family members or friends who have moved in) and some people who were in the household originally may no longer be living there (divorce, emigration, death). Note that the roster section in the present survey captures information on all three types of people (original household members, new members, people no longer members).

Ask Question 2-6 for all individuals listed in response to Question 1. These responses should be compared to the printout included with your interview materials. You should confirm that the gender and relation to the head of the household are the same for both the original and extension surveys. The age of the respondent will have changed slightly, but should not be dramatically different from the print-out. If there are any discrepancies, note these carefully and report such differences to your supervisor once the interview is complete.

Question 7 asks you to identify if the person listed on the extension roster was listed in the original TLSLS roster.

If this person is in the original roster, you should indicate “1” in question 7, and then record the ID code of this person from the original roster. The ID code from the original roster is the column labeled “PID” on the printout. After you have recorded the person’s ID code in question 8, skip to Question 23. Note that the information in questions 9-22 was previously recorded in the original and does not need to be re-recorded.

If the person was not included in the original household roster (his or her name does not appear in the printout, indicate ‘2’ No in question 7 and then skip to Question 9 if the person is 12 or older or question 10 if less than 12. All of the remaining questions in the roster must be asked of this person.

Questions 9-22 are to be filled out in the same way that the TLSLS was filled out. In case of doubts, please refer to the TLSLS interviewer manual or consult your supervisor.

Questions 23 through 27 are questions that relate to the health and recent medical care of individual household members. **These questions were not included in the original survey and must be asked for all household members.**

Only after completing question 27 for all household members should you move on to question 28. Question 28 asks if there is anyone from the original roster (listed in the printout) whose name does not appear in the roster of this present extension survey (Question 1). This includes everyone on the printout that is not listed on the extension roster. (It may be helpful while doing the extension roster to mark the printout after recording the answers for each household member so that you will be able to know who has not been included.) For those former household members who are not currently living in the household, you should record their identification code (PID from the printout) as well as the reason they are no longer in the household.

### **3. SECTION 2: LAND MANAGEMENT**

#### **Objective**

This purpose of this section is to determine the various ways in which agricultural and other land resources are managed in the country.

#### **Respondent**

The head of household is the person who should answer this section. However, if there is another person in the household who is more knowledgeable about the land use of the household, this other person should be identified and interviewed. (Note, however, that in Sections 3, 4 and 5 the head of household must answer for him or herself.) If some of the plots managed by the household are managed by other members, the main respondent may ask those members to respond to questions about those specific plots.

#### **Reference Periods**

This section has four parts: A: Plots, B: Land Management Techniques, C: Investments in Land and D: Forest Use. The reference period varies among the different parts of this section. Read carefully the questions to ensure that the respondent knows what the relevant reference period is.

The reference period for A is based on the plots listed in the TLSLS and any additional plots that might have been added since the TLSLS interview was conducted. The reference period for Part B is the calendar year 2007. For Part C the reference period is the present moment, in other words the day of the interview you are carrying out. Part D refers to calendar year 2007.

#### **Additional Items Needed**

There are two items that are needed to administer this Section properly. Ensure that you have these before doing the interview.

1. A printout of Section 9A questions 2-11 of the original survey for the specific household being interviewed.
2. Pictures of Siam-weed and land use improvements and investments.

For Section 2A, follow the instructions and copy the responses from the printout before approaching the house to start of the interview. For each plot of land identified in the original TLSLS interview, ask questions 3-22- before moving to the next plot. Then ask about any additional plots of land that the household may have added since the TLSLS interview was carried out.

For sections 2B, and 2C, ask all the questions for one plot before moving to the next plot following the skip instructions in the questionnaire as appropriate.

## **Definitions**

The main definitions are included with the explanation of individual questions.

## **Questions 2-13**

### **Section 2A: Plots**

Note: Questions 1a and 1b are to be completed before the interview.

**Question 1a:** *Review the photocopy of Section 9A from the original TLSLS interview. Did this household have any plots of land?*

Answer this question based on the photocopy of Section 9A. Enter the code for yes or no in the box. If the answer is yes, complete question 1b and continue. If the answer is no, skip to question 1c.

**Question 1b:** *Copy exactly the information from the photocopy into questions 2-13 for each plot of land.*

Note that question 2 is not really a question but an instruction to you, the interviewer. Here if question 1a is yes, you need to copy all of the information from the original questionnaire of the TLSLS, module 9a, questions 2-11 for each plot of land. Make sure that the plots are copied in the **same order** as in the photocopy. **THIS SHOULD BE DONE BEFORE STARTING THE INTERVIEW.**

**Question 1c:** *During the last year (from (MONTH, YEAR to MONTH, YEAR) has any member of your household cultivated crops, or has any member of your household owned or controlled any arable land?*

Note that the ‘last year’ is the 12 month period previous to the present interview. In other words, if the interview is now being done in July, you should formulate the question...”During the last year, from July 2007 through June 2008, has any member.....”

If the answer is yes, enter code “1” in the box and then proceed with questions 2-12 for each plot. If the answer is no, enter code “2” in the box and proceed with questions 12-22 for original plots if any. Otherwise, proceed to section 2D.

**Note that for questions 2-12, the instructions used in the TLSLS should be followed.**

**Question 2:** Please tell me about each plot of land that a member of your household cultivated, or any plot of arable land a member of your household controlled, even though it does not belong to your household. Include also garden plots. Please describe or give me the name of each plot.

Fill in from the photocopy for original plots first, in the same order as in the photocopy. If there are new plots as indicated in question 1c, enter the plot names after the original plot names with no gaps.

After completing the list of all plots operated by the household members, ask questions 3 to 22 for each plot. For original plots some information may have changed since the original interview. If this is the case, cross out (with a single diagonal line) the information that has changed and put the correct information next to this, in the same cell. When you get to question 13, use code “2” to indicate that you have made changes in questions 3-12 for the original plots.

**Question 3:** Who in this household makes the decisions about this plot of land?

This is the member of the household who cultivates and takes care of the plot on a regular basis. Copy the ID CODE of this person from Section 1.

**Question 4:** What is the area of this plot?

Sometimes it is difficult to get this information, but try at least to get an estimate from the respondent.

**Note:** The area should be recorded in square meters.

**Question 5:** What kind of land is this? (Rai ne'e tipu saida?)

Read all choices before entering response. See the following definitions.

- 1 – KOILETA TINAN KA MAMUK : kuda aihan nebe halo koileta tinan ka dala ruma la hetan
- 2 – RAI HO KOILETA DALA TOLU : kuda rai no tinan ida halo koileta dala tolu
- 3 – AILARAN BOT/FLORESTA : rai kuda iha ai laran bot ka floresta
- 4 – DUT LARAN FUIK/PADANG RUMPUT : rai iha dut laran fuik
- 5 - PLANTASAUN: rai iha plantasaun nia laran
- 6 – SEMAK-SEMAK : rai ne'e iha semak-semak nia laran
- 7 – RAI TETUK HO DUT/PADANG RUMPUT : rai ne'e iha rai lolon tetuk/padang rumput
- 8 - RAWA : rai ne'e iha fatin ai hun barak ka rawa-rawa
- 9 - JARDIM/JARDIM : rai iha jardin nebe bele kuda aihan
- 10 – BE LETEN : rai ne'e iha be leten
- 11 - UMA/EDIFSIU : rai ne'e iha uma ka servisu fatin
- 12 - SELUK (HAKEREK ) : hakerek seluk nebe sidau inklui iha leten

**Question 6:** What is the tenure status of this plot? (Posse estadu ba (RAI) ne'e?: )

See the following definitions:

- 1 – NINIAN RASIK : rai ne'e pertense ba nian
- 2 – NAIN RASIK : ninian duni

- 3 – ALUGA EMA NIAN : rai ne'e nia aluga ema nian
- 4 – ALUGA BA EMA RUMA rai ne'e ninian maka fo aluga ba ema seluk
- 5 – RAI PUBLIKU NIAN : rai publiku nian maka uja deit
- 6 – RAI PARTIKULAR : rai partikular nebe laos publiku
- 7 – SELUK (HAKEREK ) : hakerek nebe siduk inklui iha leten

**Question 7:** *If you were to sell this [PLOT] today, how much could you sell it for? Se karik ita bot fa'an (RAI) ne'e agora/oin, ita bot fa'an hira?:*

**Question 8:** *In general, what is the slope of this plot? (Iha geral, (RAI) ne'e pertense ba se?)*

See the following definitions:

- 1 - TETUK : posisaun rai ne'e iha rai tetuk
- 2 – HALIS BOSOK HITUAN : rai ne'e alis hituan la'os iha rai tetuk
- 3 – HALIS LIU : rai nia posisaun alis liu
- 4 – HALIS MAKA'AS LIU : rai nebe posisaun alis maka'as liu

**Question 9:** *What is the mode of irrigation on [PLOT]? (Irigasaun saida maka ita usa ba (RAI) ne'e?)*

See the following definitions:

- 0 – LA IHA IRIGASAUN : rai nebe la uja irigasaun
- 1 – KANU TUBU IRIGASAUN BA NATAR/TO'OS : irigasaun nebe usa kanu ka tubu
- 2 – KUA/KANAL : usa be iha kuak ka kanal ba rai atu kuda
- 3 - KOLAM/TANKI : usa be kolam ka be nebe tau iha tanki depois maka fahe
- 4 - MOTA : usa be iha mota
- 5 – BE MATAN : usa be matan ba kuda aihan
- 6 - MISTU : usa kaur malu ba kuda aihan
- 7 - SELUK (HAKEREK ) : hakerek seluk nebe sidauk inklui iha leten

**Question 10:** *Is the irrigation seasonal or year round? (Iha irigasaun nebe esiste iha tinan ida nia laran?)*

- 1 – TEMPORARIU/MUSIMAN : temporariu ka musiman deit dala ruma fulan 3 no 6
- 2 – TINAN TOMAK : irigasaun iha durante tinan ida tomak

**Question 11:** *How far is this plot from the road? (Dok hira ita bot nia (RAI) ho estrada?:)*

**Questions 12 to 22:** Complete for all plots.

**Question 12** *What kind of land was this before you started using it?*

Read all choices before entering response. See the following definitions: (same as question 5)

Annual crops or fallow?	01
Tree crop land?	02
Forest?	03

Pasture?	04
Plantation?	05
Bush/underbrush?	06
Grassland?	07
Swamp?	08
Garden/garden plot?	09
Water surface?	10
House/building?	11
Other ( )?	12

**Question 13: INTERVIEWER: IS THIS PLOT...?**

The question is not to be read out loud but is for you, the interviewer, to answer. This question identifies if the plot was listed during the original interview under the TLSLS (and is on the printout of that questionnaire) or if it is a new one.

If the responses for questions are from the printout and the respondent has made no changes to questions 3-12, then enter 1.

If the responses are from the printout but the respondent gave different answers to questions 3-12 and you have made these changes, then enter 2.

If the responses are from the printout but the plot is no longer managed by the household (the plot may have been sold, given away, taken away, etc.) then enter 3. Then go to the next plot: do not ask any more questions about this plot.

If this is a new plot, not identified in the original TLSLS interview and, thus, not on the photocopy, then enter 4.

**Question 14: In what year was this [PLOT] acquired?**

Enter the year the plot was acquired in 4 digits, for example 1973, or 2003.

**Question 15: How was this [PLOT] acquired?**

See definitions below. Skip to question 17 if code is 1 or 6. Skip to question 19 if the code is 9.

Purchased	1	▶	19
Leased in for fixed payment	2		
Leased in for non-fixed amount	3		
Sharecropped in	4		
Borrowed	5		
Received as gift or inheritance	6	▶	19
Portion of common land	7		
In-kind payment for loan	8		
Empty land (squatting)	9	▶	21
Other(Specify _____)	10		

**Question 16: What is the duration of this agreement?**

If the duration is in months, enter number of months, for example 6, for six months, in the MONTHS column. Enter 0 in the YEARS column.

If the duration is whole years, enter 0 in MONTHS column and number of years, for example 2, for two years, in the YEARS column.

If the duration of agreement is one year and three months, enter 3 in MONTHS and 1 in YEARS.

IF NO SET PERIOD, WRITE '98' IN BOTH COLUMNS

**Question 17:** *What was the form of the agreement for this [PLOT]?*

Use the following categories.

Written agreement based on customary law	1
Written agreement based on government law	2
Written agreement based on combination of laws	3
Other written agreement	4
Verbal agreement	5

**Question 18:** *What was the relation to the other party to the agreement for this [PLOT]?*

This refers to the person from which the plot was acquired by the person listed as the decision maker of the plot in question 5. Use the following codes.

Spouse	1
Other household member	2
Member of extended family (not in household)	3
Same clan, not family	4
Friend	5
Neighbor	6
No relationship	7
Community head/board	8
Other, specify	9

**Question 19:** *Has Siam Weed been a problem in this [PLOT]?*

Show the following picture of SIAM Weed to be sure that the respondent knows which plant we are referring to. (There may be multiple names for the plant so it is imperative that the picture be shown to the respondent.)



If no, continue to Parts B and C for this plot. Once Parts A, B and C are done for a plot, then start again with the next plot..

**Question 20:** What area of this [PLOT] was covered by Siam Weed in 2007?

Use the following codes:

Less than $\frac{1}{4}$	1
More than or equal to $\frac{1}{4}$ but less than $\frac{1}{2}$	2
More than or equal to $\frac{1}{2}$ but less than $\frac{3}{4}$	3
More than or equal to $\frac{3}{4}$ but less than all	4
All	5

**Question 21:** What did you do in [PLOT] to get rid of the Siam Weed?

Use the following codes.

If nothing enter code "8" and skip to next plot.

Slash and burn	1
Slash only	2

Burn only	3
Pulled roots out	4
Kerosene / Diesel	5
Herbicides	6
Other (Specify)	7
Nothing	8

**Question 22:** Which of the methods worked best in the [PLOT]?

Use same codes as in Question 23. Regardless of the answer, go to Section 2B, Land Management

## Section 2B: Land Management

As in Section 2A, the data are collected by plot. For the first plot (row 1) do all of section 2B and then do all of Section 2C. Then move to the next plot (row 2) and do all of Section 2B followed by Section 2C, etc. When finished with all plots, go to Section 2D.

**Question 1:** During 2007, which of the following techniques were used on [PLOT]?

Read each technique (from A to W) and enter “1” for yes and “2” for no for each technique.

**[A] Slash to prepare plot:** cut down brush and trees to prepare a plot for cultivation.

**[B] Burn to prepare plot:** Burn the brush and trees either without or after slashing them down first.

**[C] Left whole plot fallow:** Leave a plot unused for any productive crops for a year or longer.

**[D] Improved fallow:** is a fallow which some management practices are done to improve soil fertility. For example farmers could plant leguminous trees, shrubs, or other types of plants to improve soil fertility. Farmers may also apply manure or fertilizer to improve soil fertility.

**[E] Left fallow strips:** Six to eight feet strips of land are left fallow, alternated by strips of cultivated land.

**[F] Crop rotation:** changing the crop planted every year or few years, helps to avoid nutrient depletion and/or adds specific nutrients

**[G] Alley cropping:** trees are planted between rows of crops as corn and cassava. These trees have strong tap roots that carry nitrogen from deep in the earth up to the topsoil. They also can provide shade for crops like coffee. In the case of sun loving crops, such as corn, when the trees grow so tall that they are shading the crops, the farmer cuts them back.

**[H] Incorporate crop residues:** Stalks, leaves, etc. left behind after harvest, are ploughed back into the plot.

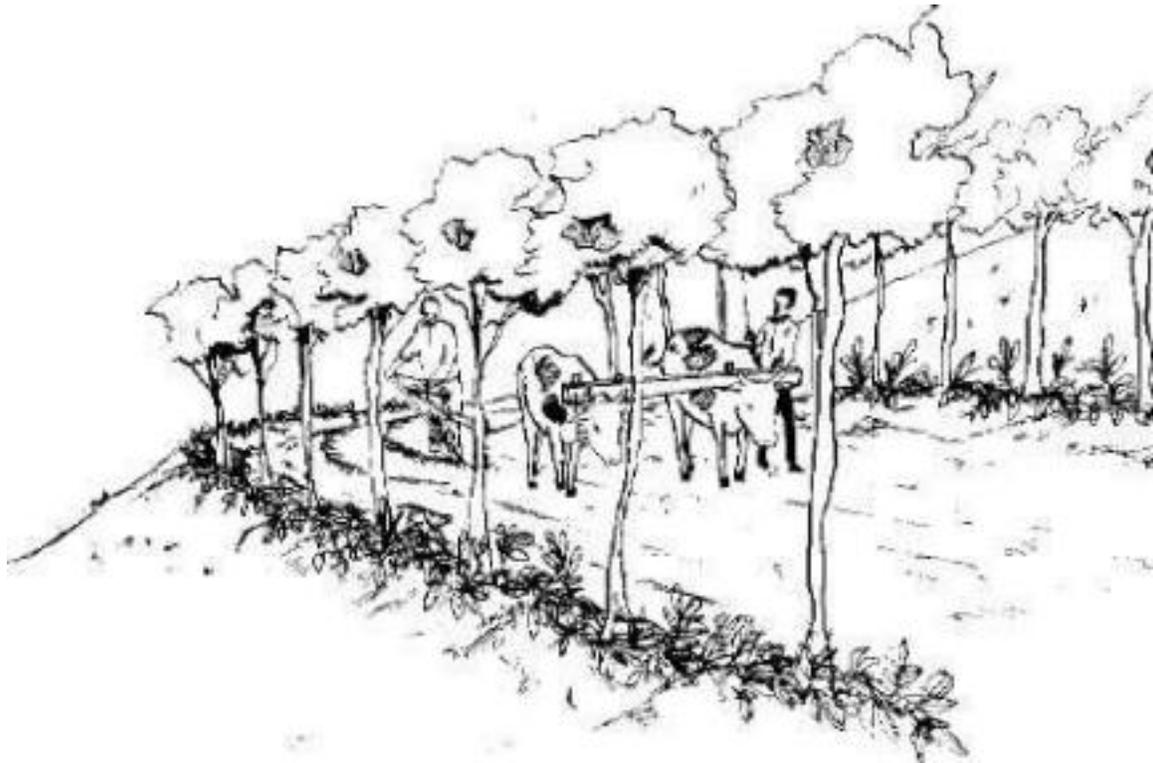
**[I] Mulching:** adding material on top of soil to help maintain moisture in the soil

**[J] Green manure:** a type of cover crop (local names of green manure crops?) grown primarily to add nutrients and organic matter to the soil.

**[K] Plant cover crop:** A cover crop is a crop that covers the top soil of the plot and helps retain moisture and fertility. It may not have any economic value.

**[L] Contour planting:** Farmers plant lines of closely spaced trees or crops across a slope to slow down rainwater flowing down the slope. This reduces the amount of erosion. Over time, soil builds up on the up-slope side of the line of trees, forming a terrace. Farmers plant food crops in the rows between the trees.

A contour is a level line running across the slope. The trees growing along this line bind the soil and build up mounds around their trunks. If the trees are spaced closely, the mounds tend to join together over time, forming a small ridge or dam. When water reaches this ridge, it stops flowing, forms a puddle, and percolates into the soil. This increases the amount of moisture in the soil and raises the water-table.



**[M] Contour plowing:** to avoid soil erosion, follow the hills/depressions in the land while plowing a plot.



[N] **Zero tillage:** Putting seeds and fertilizer without tilling the topsoil to prevent soil erosion.

[O] **Deep tillage:** tillage beyond the topsoil using rippers and other equipment for breaking hardpan. Depth varies.

[P] **Trash lines:** Removed weed and crop residues lay in bands across the slope of annual crop fields to conserve soil and water, and to incorporate organic matter into the soil after decomposition.

[Q] **Grazing in fallow areas:** Allow livestock to graze in the plot that is left fallow.

[R] **Grazing crop residues:** Allow livestock to graze on stalks, leaves, and other crop residues left on the plot after harvest.

[S] **Inorganic fertilizers:** Chemical fertilizers.

[T] **Herbicides:** Chemicals used to kill weeds.

[U] **Pesticides:** Chemicals used to kill crop destroying insects and / or animals.

[V] **Integrated pest management:** Use a variety of natural methods, predators, parasites, to reduce pests in the plot. Integrated pest management needs less or no chemical pesticides.

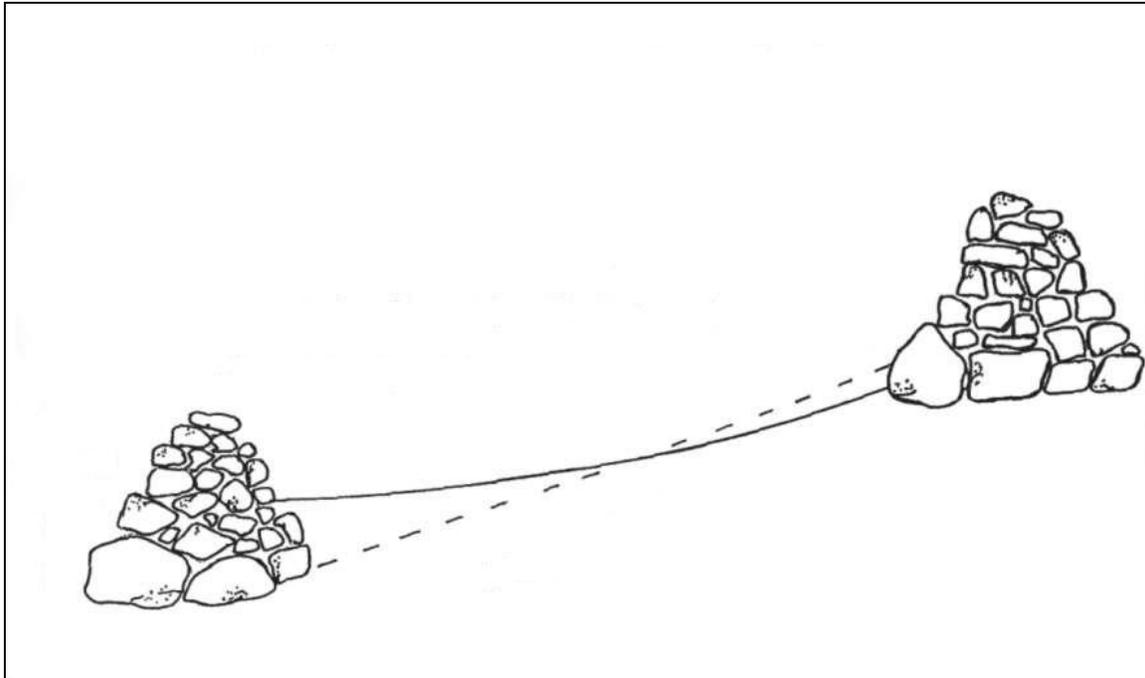
[W] **Other? [specify \_\_\_\_\_]:** Clearly describe any other land improvements done to each plot, not already included. These will be coded later.

## Section 2C: Investments

Again, data are collected by plot. There are 8 different investments that are included here. For each investment the respondent is asked, if the investment exists, how much exists and who made the original investment (present household or previous owner).

**Question 1:** *Does this [PLOT] have stone walls or stone terraces?*

See picture below. Is the plot of land has stone walls or terraces, go to question 2. If it does not, go to question 4.



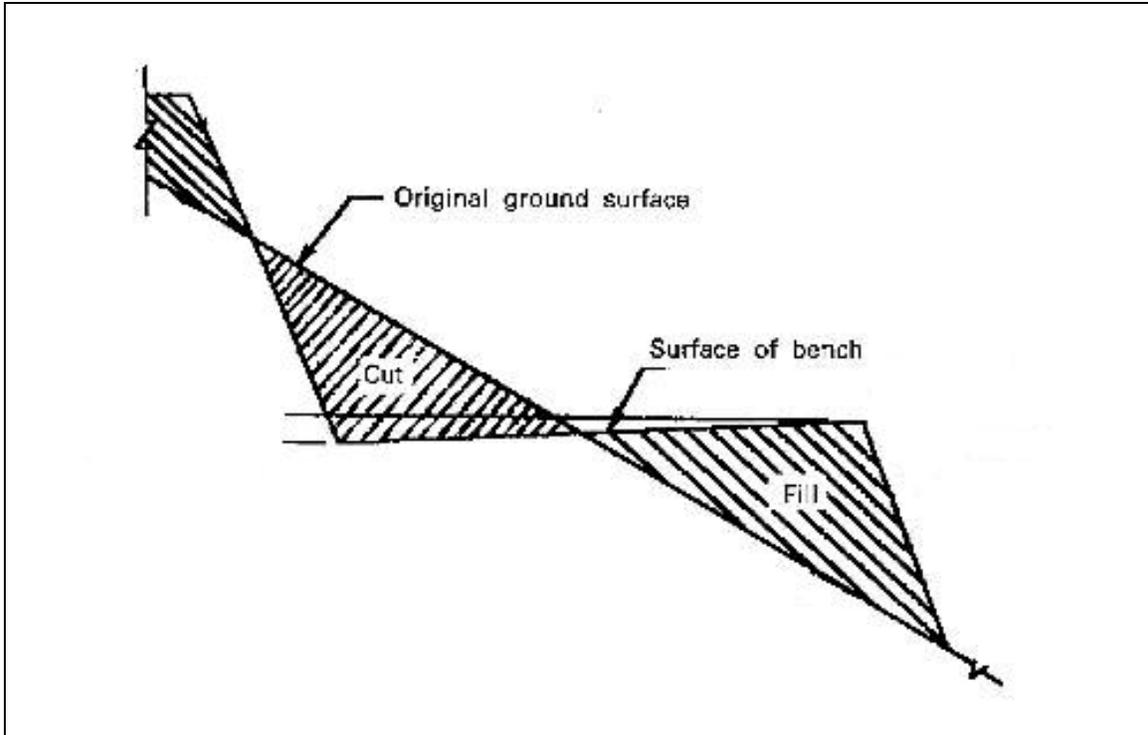
**Question 2:** *How many linear meters of stone wall or terrace does this plot have?*

Record in linear meters.

**Question 3:** *The stone walls or stone terraces that presently exist, were they:*

Already on the land when you obtained it?	1
Built after the land was obtained by the household?	2
Combination of both?	3

**Questions 4-6:** These three questions refer to **bench terraces**. Bench terraces are level (or nearly level) steps constructed on the contour, and separated by embankments (risers). They can be formed by excavation or may develop over time from a grass strips. See picture. Record quantities in linear meters.

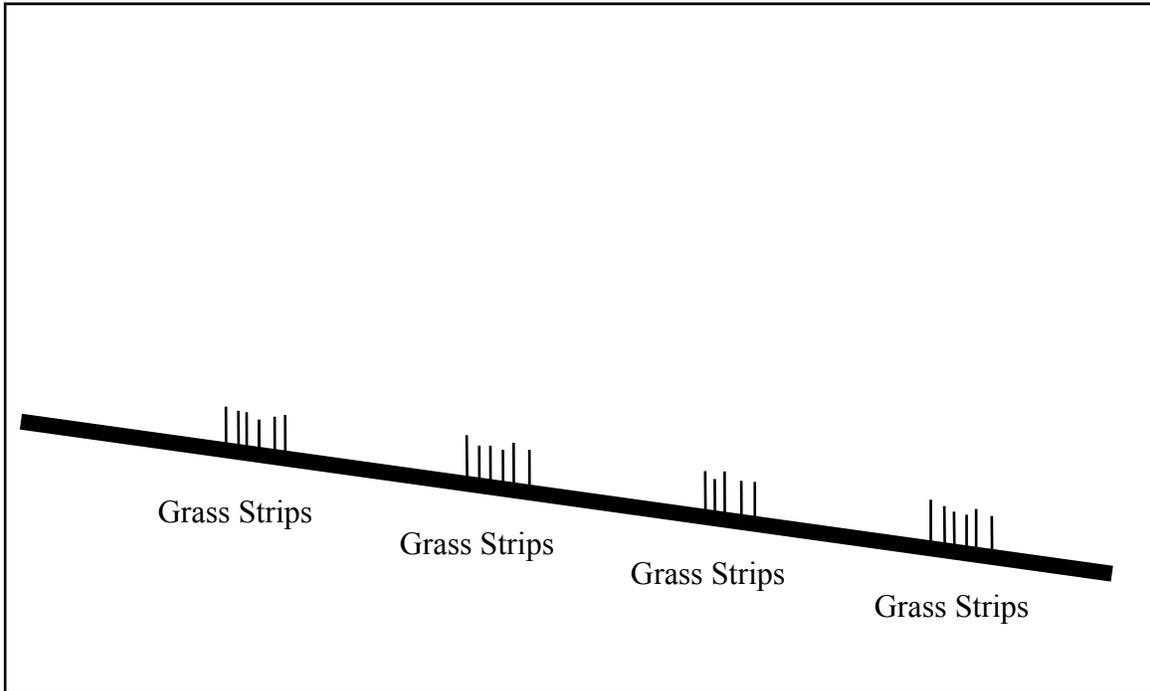


**Questions 7-9:** These three questions refer to *soil bunds*. Soil bunds help to protect against soil erosion and increase the efficient use of water. They are channels or ditches that water runs through which catches water running off of roads. Used often in the cultivation of bananas, sugarcane or grass. Record quantities in linear meters.

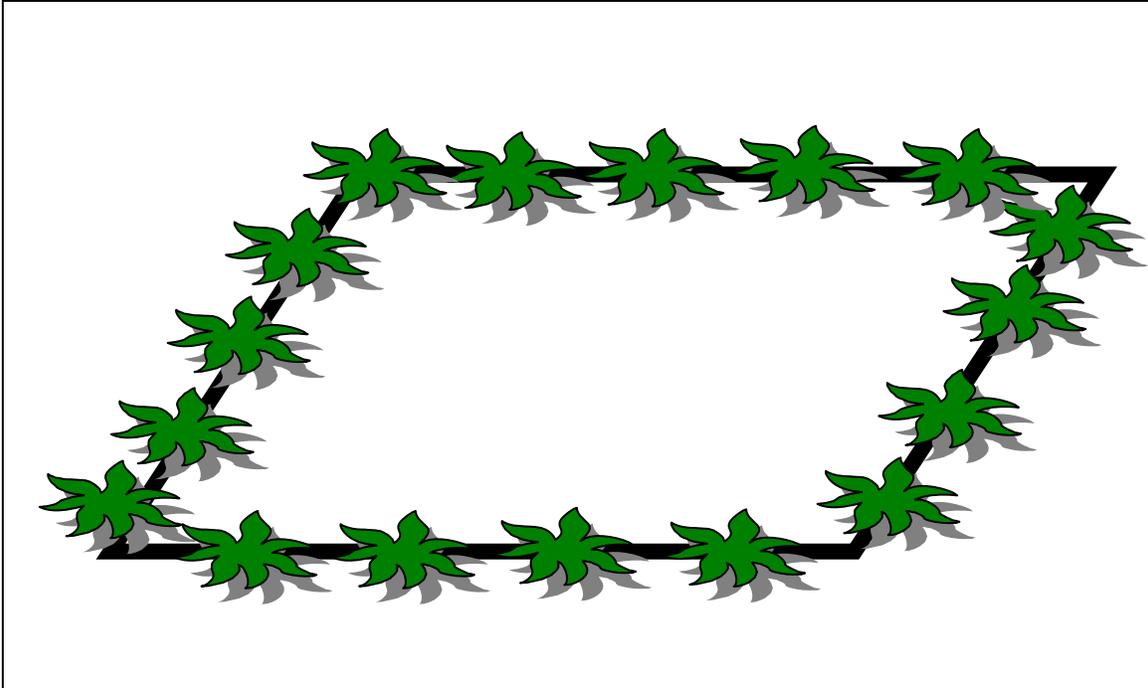
**Questions 10-12:** These three questions refer to *trenches or drainage ditches*. Such trenches or ditchers are used to channel water and to prevent land from flooding. See picture. Record quantities in linear meters.



**Questions 13-15:** These three questions refer to *grass strips*. Instead of planting an entire plot of land with a crop, one can plant strips of grass to hold soil in place. Such trenches or ditches are used to channel water and to prevent land from flooding. Grass is planted in dense strips, up to a metre wide, along the contour. The grass slows down runoff and silt builds up in front of the strip. Benches are formed, though this takes a long time to occur. See picture. Record quantities in linear meters.



**Questions 16-18:** These three questions refer to *trees or shrubs planted as boundaries*. These trees and shrubs can define the land area, provide a wind break, and protect the soil. See picture. Record quantities in linear meters.



**Questions 19-21:** These three questions refer to *trees planted on the plot other than those used as boundaries*. These trees are additional to those mentioned in questions 16-18. Record quantities in terms of the number of trees that the plot has.

**Questions 22-24:** These three questions refer to *private tree nursery* on the plot. Tree nurseries are for growing young trees to be planted in other places or to be sold. Record quantities in square meters of land used for the nursery. If the whole plot is a tree nursery, record the size of the plot from question 6 in section 2B.

**Question 25:** *Do you do any other activities to improve the quality of the soil on this piece of land that we have not already mentioned?*

Record yes if the respondent reports any other activities. If no, enter 2 and go to the next plot.

**Question 26:** **Could you please explain what these techniques are?**

Write the full answer given by the respondent. Ensure that this is really different from the previous techniques that have been discussed. The full answer will be coded in the office later.

## **Section 2D: Forest Use**

Note that the period of reference is the calendar year 2007.

**Question 1:** *During 2007, did anyone in your household clear forest land for this household's use?*

If the answer is no, enter 2 and skip to question 6.

**Question 2:** *What area was cleared?*

Add all the areas cleared in the year 2007 and enter in square meters. Remember that more than one area may have been cleared, what is needed here is the sum of all areas.

**Question 3:** *What methods were used for clearing?*

Use the following codes (defined above). Note that if a method is used that is not slashing and burning or some combination of these two, note code ‘9’ and write in the method used.

Slash only	1
Burn only	2
Slash and burn?	3
Other, specify _____	<b>9</b>

**Question 4:** *Are there any restrictions set by the community on forest clearing?*

If no, enter 2 and skip to question 6.

**Question 5:** *What are these restrictions?*

Clearly write the specific restrictions. (To be coded in the office later.)

**Questions 6-9:**

Ask question 6-9 for each of the eight items.

- **Timber Wood:** Wood used for construction, making furniture or other similar activities.
- **Fire wood:** Wood, branches, twigs, leaves, etc. used for cooking in the household.

**Question 6:** *Does your household collect [ITEM] from the forest?*

Read the question replace [ITEM] with the name of the forest product listed. Enter yes only if the household collects the item from common land. Exclude items collected from own plots.

**Question 7:** *How far do you have to go to collect [ITEM]?*

Enter, in kilometers, the distance that household members usually go to collect the item. If less than 1 kilometer, write 0. If the same item is collected from different locations, probe about which location the household uses to collect most of the item and write the distance to that location. If the household collects about the same quantity of the item from multiple locations, calculate and write the average distance.

**Question 8:** *Does your household collect enough for its needs?*

For items available year-round, ask the respondent to consider the needs of the household for the whole year. For seasonal items consider seasonal needs. If the household sometimes buys the item instead of collecting, enter ‘2’ for no.

**Question 9:** *Does the household sell any of these [ITEM]?*

If the household sold any of the item at any time during 2007, enter ‘1’ for yes.

**Once this section is finished, go to Section 3A, question 1.**

#### **4. SECTION 3: FINANCIAL SERVICES**

##### **Objective**

The objective of this module is two-fold. First, we want to determine which households and individuals in Timor Leste have access to financial services. Financial services and the level of financial intermediation in an economy serve to improve household (and national) welfare by lowering transaction costs, allowing investment in productive activities and helping households to smooth consumption and protect themselves from economic shocks.

The second objective is to test a hypothesis about how best to measure household access to and use of financial services. It is hypothesized that the quality and completeness of the household level data will be affected by the choice of individual respondent in the household. However, there is little empirical evidence on the impact of respondents’ characteristics on the quality of the data provided. Testing this hypothesis requires data to be collected from households using different questionnaire instruments to allow direct comparisons to be made, holding household and community characteristics constant.

##### **Respondent**

As with the other modules, the financial services module will be applied to different individuals depending on whether the household is “odd” or “even”. For “odd” households, Section 3A will be used and the respondent will be the head of household. For “even” households, Section 3B will be used and the respondents are **ALL** household members age 15 and older. Section 3A and 3B are quite similar. The main difference is that in Section 3A, the questions refer to all household activities related to savings and borrowing and remittances while the questions in Section 3B ask only about each person’s own use of financial services.

It is extremely important that all of the proper respondents be used in each case and that all attempts are made to ensure that the respondent is able to answer for him or herself without other household members or people answering for him or her. No one can respond for the household head: he or she must answer for him or herself. This may involve multiple visits to the household. For Section 3B where each individual is to answer for him or herself, again, the information should be solicited from the informant directly. Only in extreme cases where it will be impossible to interview the person directly (person away from home and not returning during the period of the survey, person too ill, etc.) will indirect informants be allowed. In this rare case, be extremely careful to write the correct identification code of the person providing the information.

##### **Reference Periods**

The reference period for this module is the last 12 months. This refers to the 12 months prior to the month of the interview. If the interview is being conducted in June 2008, then the reference period is from June 2007 through May of 2008.

## **Definitions**

The main terms used in this module are defined here.

1. **Bank:** a formal institution, regulated by the government, that provides financial services such as a place for a person to save money for short or longer periods of time and earn interest, borrow money for short or longer periods of time, usually paying some interest on the amount borrowed, as well as other services such as money transfers, investment opportunities etc. There are three banks functioning in Timor Leste at the moment: Australian New Zealand Bank (ANZ), Caixa General de Depositos (CGD) and Bank Mandiri.

2. **Credit Union:** a formal institution owned by its membership. Individuals become members and save money in the institution. The credit union uses these funds to loan money to other members. Credit Unions typically pay interest on savings and charge interest on loans. This is a permanent institution that individual can belong to. Credit unions, unlike banks, do not have profit as their main goal.

3. **Savings Association:**

4. **Arisan:** This is an informal arrangement wherein a small group of people agree to ‘save’ a certain amount of money each month. The monthly savings of the entire group are then given to a different individual every month to use as needed. The group usually disbands once each member has had an opportunity to receive the full month’s savings.

5. **‘Retener’:** group of money lenders, unofficial/unregulated which loan money to individuals (and/or businesses), often at high rates of interest.

6. **Pawn shop:** a place where one can leave an item of value (jewelry, television, etc.) and receive a cash loan. If the money is repaid, the item of value is returned. If the money is not repaid, the item is lost.

7. **Wire transfer:** A firm that transfers money from one place to another either within the country or outside it. Western Union is an example of this.

8. **Informal money transfer** (Hundi system or hawalla traders): an informal system of money transfer, usually between countries.

## **Questions**

### **Section 3A:**

**Question 1:** This question is not to be read out loud. Instead the interviewer should go back to the cover page to determine if the household is an “ODD” or “EVEN” household. If the household is “ODD”, write “1” in the appropriate cell and continue with this section 3A using the household head as the respondent. Note that the household head must answer directly for him-

or herself, no indirect respondents are allowed. Multiple visits to the household may be necessary to ensure this interview.

If the household is an “EVEN” one, write 2 in the appropriate cell and go to Section **3B**.

## **Savings**

**Question 2:** Read the question as it is written. The question refers to savings accounts in banks (see definitions above). Note that the question refers to the head of household and any other member of the household. If the household does have savings in a bank account, write “1” in the appropriate cell and go to question 3. If the answer is no, write “2” and skip to question 4.

**Question 3:** Note the code for each bank that is used in the household, there are spaces for up to three institutions. If the bank used is not listed, write code 4 and the name of the institution in the appropriate space. Then skip to question 7.

**Question 4:** This question tries to determine if a household has access to banking services even though no one in the household has an account of their own. If not, write “2” and go on to question 6. If yes, write “1” and ask question 5.

**Question 5:** Here we are trying to determine the relationship of the household to the person whose bank account is used. Please specify in the cell provided if the answer is different from any of the categories provided and use code “4”. Regardless of the answer, go to question 7.

**Question 6:** Record up to three reasons (most important) why no one in the household has a bank account. If the respondent gives an answer that does not fall in the listed categories, write “12” and write the answer given.

**Question 7** This question asks about all other, non-bank, formal savings arrangements, such as credit unions and savings associations. Remember that the question refers to all household members and is focused on savings, not on investment. If the household does have savings in these other institutions, write “1” and go to question 8. If no, write “2” and go to question 9.

**Question 8:** List the names of the up to three institutions in which the household has money saved. Do not repeat the names of the banks registered in question 3.

**Question 9:** This question is designed to ask about non-formal savings arrangements such as arisan and savings clubs. Any arrangement where a person saves money that is not a formally registered bank, credit union or savings association should be included here. If yes, write ‘1’ and go to question 10. If no, write “2” and skip to question 13.

**Question 10:** How many different arisans have household members joined or participated in during the last 12 months? If a household member has joined an arisan with 5 other people, and then later joined with the same five people to form another arisan, count this as two cases.

**Question 11:** If the household has been involved in more than one arisan in the last twelve months, this question should refer to the most recent one or the one a household member is presently involved in. In the number of people, include the household member(s) involved along with all others.

**Question 12:** In this question we are trying to find out who are involved in the arisan that the household member(s) are or have most recently been involved in. Ask for each category and write the answer. For example, the question should be read as: Are the members of this arisan Friends? (mark yes or no), then, “Are the members of this arisan Family?”, mark “1 or “2”, then, “Are the members of this arisan From work place?”, etc.

**Question 13:** This question is for households that do not have savings accounts. Up to three reasons can be noted. Please list in order of importance to the household. If a reason is given that is not included in the list, write “8” in the appropriate cell and then write the reason.

### **Loans, borrowing, credit**

The focus of questions 14-18 is on money that any of the household members have borrowed in the last 12 months. We are interested in funds that the household will have to repay even if the terms of repayment are fairly flexible or vague. However, gifts and donations should not be included here. Include any loans that were received in the last 12 months even if the household member has already repaid the amount. Do not include loans that were made longer ago than 12 months even if the household still owes some part of the amount.

**Question 14:** This question is only for loans made to the households (or monies borrowed by the household) from individuals who are family members or friends.

**Question 15:** This question is only for loans made to the households (or monies borrowed by the household) from a household member’s employer or landlord.

**Question 16:** This question is only for loans made to the households (or monies borrowed by the household) from money lenders (retener) or pawn shops.

**Question 17:** This question is only for loans made to the households (or monies borrowed by the household) from credit unions other cooperatives or non-governmental organizations (NGOs).

**Question 18:** This question is only for loans made to the households (or monies borrowed by the household) from banks.

### **Private transfers and remittances**

Questions 19-26 look at whether or not the household has received or sent any money to others inside or outside of Timor in the last 12 months and, if so, how this money was sent.

**Question 19:** The question refers to money that household members may have sent to family members (non-household members), friends or others who **live in** Timor Leste. If yes, write “1” and ask question 20. If no, write “2” and go to question 21.

**Question 20:** This question asks specifically how the money was sent. The following explains the categories:

1. At a bank branch using own account: Money sent to a family member through the bank using the bank account of a household member.

2. Use someone else's account: Money sent to a family member using the bank account of a non-household member.
3. At Post Office: Sending money using the Postal Service facilities.
4. Cheque with a friend/family: Sending money by cheque using a friend or family member to take the cheque to the recipient
5. Cash with a friend/family: Sending money in cash form using a friend or family member to take the cash to the recipient.
6. Cheque in person: Taking a cheque directly to the recipient.
7. Through wire transfer company, Western Union: Sending money through Western Union or other wire transfer company to the recipient
8. Cash with a paid/unpaid runner: Sending money in cash form using an individual (paid or unpaid) known for this activity.
9. Electronic bank transfer via ATM, internet, telephone, cell phone: Sending money through the Bank but without actually visiting the bank, i.e. accessing the bank services through ATMs, internet or phone.
10. Cash in person: Delivering the cash in person to the recipient.
11. Cheque with a paid/unpaid runner: Sending a cheque using an individual (paid or unpaid) known for this activity. Taxi drivers, bus drivers often provide this service.
12. Other: For all other means of sending money use this code and write the specific answer.

**Questions 21 and 22:** These questions are the same as questions 19 and 20 except that they refer only to money sent to households living **outside** of Timor Leste.

**Questions 23 and 24:** These two questions refer to funds **received** by any and all household members from families or friends living in Timor Leste.

**Questions 25 and 26:** These two questions refer to funds **received** by any and all household members from families or friends living **outside** of Timor Leste.

## **General**

Questions 27 through 29 attempt to determine the main source of income received by households and the form in which this was paid.

**Question 27:** Households have multiple sources of income. This question asks the respondent to identify the most important source of income that the household received during the last 12 months.

1. Wage employment: Any money earned from working for another person, firm, business or institution. Includes employment in industry, agriculture, services or any activity where the individual is salaried or earning a wage.
2. Self-employment: Money earned from own business or independent activity. Do not include agriculture here.
3. Agriculture: Income earned from own farm activities.
4. Public transfers: Include all assistance payments from governments, all pensions and other similar payments.
5. Remittances: Include all money that has come from family members or friends, whether these live in Timor Leste or outside.
6. Other: Include any other sources of income such as rents, dividends, donations from non-governmental organizations or charities or the like.

**Question 28:** This question should be read similarly to question 12. The question should be formulated for each of the four categories: Cheque? Direct Deposit? Cash? And Goods or Services? Each column should have a yes (1) or no (2) answer written in the appropriate cell.

**Question 29:** Of the four forms in which income was received that were marked in question 28, which was the most important.

Once Question 29 is answered, go to module 4. The head of household is again the respondent.

### **Section 3B:**

This section is asked for all “EVEN” households. All individuals aged 15 and older must answer this section for themselves. Only in the extreme case where it is not possible to interview an individual will indirect informants be allowed. If the head of household has just answered the previous section on land, continue the interview with him or her. Once the interview with the head is finished go to the spouse of the head (if there is one) and carry out Section 3B and then go to module 4. Then apply this section 3B to all other members age 15 and older.

Note that the questions in this section refer only to the individual and not the household. In other words, the questions collect information for each person about his or her own activities only. Be careful to understand the differences between Section 3A and 3B.

**Question 1:** Please write down the time that you begin this module with each person. Use the hour column for hours (using a 24 hour day, i.e. 3:00 pm is written as 15) and minute column for minutes.

**Question 2:** This question and the next are to ensure that the person who actually answers the questions is identified. It is expected that the answer to question 2 will be yes “1” in almost all cases. If, however, for some reason it is not possible to locate or interview an individual, then write ‘2’ here and in question 3 the identification code of the person who provides the information for this person.

**Question 3:** Note the identification code of the person providing the information here. Note this question is not answered if question 2 is ‘1’ yes. Use the identification code for this survey, not the original identification code from the TLSLS if these are different.

### **Savings**

**Question 4:** Read the question as it is written. The question refers to savings accounts in banks (see definitions above). Note that the question refers only to bank accounts held by the individual being interviewed. If the person does have savings in a bank account, write “1” in the appropriate cell and go to question 5. If the answer is no, write “2” and skip to question 6.

**Question 5:** Note the code for each bank that is used by the individual. There are spaces for up to three institutions. If the bank used is not listed, write code 4 and the name of the institution in the appropriate space. Then skip to question 9.

**Question 6:** This question tries to determine if the individual has access to banking services even though he or she does not have an account of his or her own. If not, write “2” and go on to question 8. If yes, write “1” and ask question 7.

**Question 7:** Here we are trying to determine the relationship of the individual to the person whose bank account is used. Regardless of the answer, go to question 9.

**Question 8:** Record up to three reasons (in order of importance) why the person does not have a bank account. If the respondent gives an answer that does not fall in the listed categories, write “12” and write the answer given.

**Question 9:** This question asks about all other, non-bank, formal savings arrangements, such as credit unions and savings associations. Remember that the question refers the individual and is focused on savings, not on investment. If the individual does have savings in these other institutions, write “1” and go to question 10. If no, write “2” and go to question 11.

**Question 10:** List the names of the up to three institutions in which the individual has money saved. Do not repeat the names of the banks registered in question 5.

**Question 11:** This question is designed to ask about non-formal savings arrangements such as arisan and savings clubs. Any arrangement where a person saves money that is not a formally registered bank, credit union or savings association should be included here. If yes, write ‘1’ and got to question12. If no, write “2’ and skip to question 15.

**Question 12** How many different arisans has the person joined, or participated in, during the last 12 months? If the household member has joined an arisan with 5 other people, and then later joined with the same five people to form another arisan, count this as two cases.

**Question 13:** If the individual has been involved in more than one arisan in the last twelve months, this question should refer to the most recent one or the one the household member is presently involved in. In the number of people, include the household member(s) involved along with all others.

**Question 14:** In this question we are trying to find out who are involved in the arisan that the household member is, or has most recently, been involved in. Ask for each category and write the answer. For example, the question should be read as: Are the members of this arisan Friends? (mark yes or no), then, “Are the members of this arisan Family?”, mark “1 or “2”., then, “Are the members of this arisan From work place?”, etc.

**Question 15:** This question is for individuals that do not have savings accounts. Up to three reasons can be noted. Please list in order of importance to the household. If a reason is given that is not included in the list, write “8” in the appropriate cell and then write the reason.

### **Loans, borrowing, credit**

The focus of questions 16-20 is on money that the household member has borrowed in the last 12 months. We are interested in funds that person will have to repay even if the terms of repayment are fairly flexible or vague. However, gifts and donations should not be included here. Include any loans that were received in the last 12 months even if the household member has already repaid the amount. Do not include loans that were made longer ago than 12 months even if the household member still owes some part of the amount.

**Question 16:** This question is only for loans made to the household member (or monies borrowed by the household member) from individuals who are family members or friends.

**Question 17:** This question is only for loans made to the household member (or monies borrowed by the household member) from a household member's employer or landlord.

**Question 18:** This question is only for loans made to the household member (or monies borrowed by the household member) from money lenders (retener) or pawn shops.

**Question 19:** This question is only for loans made to the household member (or monies borrowed by the household member) from credit unions other cooperatives or non-governmental organizations (NGOs).

**Question 20:** This question is only for loans made to the household member (or monies borrowed by the household member) from banks.

### **Private transfers and remittances**

Questions 21-28 look at whether or not the individual has received or sent any money to others inside or outside of Timor in the last 12 months and, if so, how this money was sent.

**Question 21:** The question refers to money that the individual household member may have sent to family members (non-household members), friends or others who **live in** Timor Leste. If yes, write "1" and ask question 22. If no, write "2" and go to question 23.

**Question 22:** This question asks specifically how the money was sent. The following explains the categories:

1. At a bank branch using own account: Money sent to a family member through the bank using the bank account of a household member.
2. Use someone else's account: Money sent to a family member using the bank account of a non-household member.
3. At Post Office: Sending money using the Postal Service facilities.
4. Cheque with a friend/family: Sending money by cheque using a friend or family member to take the cheque to the recipient
5. Cash with a friend/family: Sending money in cash form using a friend or family member to take the cash to the recipient.
6. Cheque in person: Taking a cheque directly to the recipient.
7. Through wire transfer company, Western Union: Sending money through Western Union or other wire transfer company to the recipient
8. Cash with a paid/unpaid runner: Sending money in cash form using an individual (paid or unpaid) known for this activity.
9. Electronic bank transfer via ATM, internet, telephone, cell phone: Sending money through the Bank but without actually visiting the bank, i.e. accessing the bank services through ATMs, internet or phone.
10. Cash in person: Delivering the cash in person to the recipient.
11. Cheque with a paid/unpaid runner: Sending a cheque using an individual (paid or unpaid) known for this activity. Taxi drivers, bus drivers often provide this service.

12. Other: For all other means of sending money use this code and write the specific answer.

**Questions 23 and 24:** These questions are the same as questions 21 and 22 except that they refer only to money sent to households living **outside** of Timor Leste.

**Questions 25 and 26:** These two questions refer to funds **received** by the household member from families or friends living in Timor Leste.

**Questions 27 and 28:** These two questions refer to funds **received** by any the household member from families or friends living **outside** of Timor Leste.

### **General**

Questions 29 through 31 attempt to determine the main source of income received by the individual and the form in which this was paid.

**Question 29:** An individual may have multiple sources of income or no income at all. This question asks the respondent to identify the most important source of income he or she received during the last 12 months.

1. Wage employment: Any money earned from working for another person, firm, business or institution. Includes employment in industry, agriculture, services or any activity where the individual is salaried or earning a wage.
2. Self-employment: Money earned from own business or independent activity. Do not include agriculture here.
3. Agriculture: Income earned from own farm activities.
4. Public transfers: Include all assistance payments from governments, all pensions and other similar payments.
5. Remittances: Include all money that has come from family members or friends, whether these live in Timor Leste or outside.
6. Other: Include any other sources of income such as rents, dividends, donations from non-governmental organizations or charities or the like.
7. No income: If the individual has no income, write "7" in the appropriate column and skip to question 32.

**Question 30:** This question should be read similarly to question 14. The question should be formulated for each of the four categories: Cheque? Direct Deposit? Cash? And Goods or Services? Each column should have a yes (1) or no (2) answer written in the appropriate cell.

**Question 31:** Of the four forms in which income was received that were marked in question 30, which was the most important.

Once Question 31 is answered, go to question 32. Here, if the person you are interviewing is the head of household you will skip to Section 5. If the person is the spouse of the head of household, go to Section 4. If you are interviewing one of the other members of the household ages 15 and older, go to the next person and administer this section **3B** again.

## 5 **SECTION 4: VULNERABILITY AND RISK**

### **Overview and objectives**

This module focuses on issues of vulnerability and risk management within households. Its objective is to understand: the frequencies with which households face adverse, unexpected events of different kinds; the effects these adverse events have on households; and the actions that households take to cope with the consequences of these adverse events. In addition, the module aims to understand to what extent households prepare for or anticipate that these events can happen in the future and what types of government programs are available to them.

The data collected in this module will be used, as part of a broader project, to better understand vulnerability to shocks and risk management strategies in the East Asia region. The focus of this project is on the vulnerabilities that individuals and households face. Some of these may affect many households at the same time (for example a natural disaster or an economic crisis), and others are specific to individuals or families (for example illness or job loss). In both cases, the focus of this survey is on understanding how adverse events affect *households* and their incomes, assets, and choices as well as on the actions households take to handle the consequences of these adverse events.

### **Respondent**

This section alternates with the Justice module (Section 5) in terms of the choice of respondent. Based on the criteria outlined at the front of the survey, it should be correctly documented in every questionnaire who was the respondent for this section. If the household is classified as an “ODD” household on the cover page, then the head of household should answer this section of the questionnaire. If the household is an “EVEN” one, then the spouse of the head of household should answer this section of the questionnaire. If there is no spouse (i.e. the head of household is not married or living with someone as a spouse), the respondent in ‘EVEN’ households will be any other adult member of the household who is the opposite sex from the head of household. The ID code for this person must be noted on the questionnaire.

As with the rest of the questionnaire, it is very important to be able to identify who answered the questions of this part of the survey and, in particular, to identify the gender of this person. Part of the objective of this survey is to understand whether men and women have different perceptions and different knowledge on the risks their households are exposed to, on their consequences and effects, and on the strategies that are used to address them. For that reason, the personal, unbiased perspective of males and females is of great value.

The presence of two survey enumerators per household will allow holding separate interviews with male and female respondents so that, while one is answering the Justice module, the other one is answering this module. Ideally, each of the respondents should be sitting in separate rooms so that their answers correspond to their own views and are not being affected by the other person’s interruptions, comments or reactions. Explain to the respondents that similar studies in other countries found that men had different opinions and experiences of shocks than women had and that we want to know if this also is the case in Timor Lester. To understand how things work in Timor Leste we want to give both men and women a chance to tell us how things are done. In

rural areas, explain that the team has made the effort of traveling to this community because their situation is just as important as the communities in the capital, for both men and women. We are interested in their opinions. If a man or a woman is uncomfortable being alone with the enumerator, they can ask another family member of the same sex to join them at the interview.

When conducting a survey, interruptions from other persons who are not the intended respondent are very common. For this reason, the interviewers should explain to the respondents about the importance of letting the person to whom the question is directed answer it without others' interference or views. In situations in which, despite having explained this rule the problem persists, interviewers should politely remind the interrupting household members of the methodology and direct their attention to the answers given to the selected respondent.

Some preventive actions on the side of the interviewer can minimize the problem of interruptions from other household members who are not the intended respondent of a given section of the survey. Examples: (1) explaining this rule at least once to all the persons present in the interview; (2) finding separate spaces to conduct the separate interviews; (3) when a respondent is doubting about what answer to give to a question and looks for others' help, prompting him or her to give his/her own view and assuring him or her that it is precisely that view that you are looking for; Repeat that there is no right or wrong answers to the questions and that this is not a test. (4) directing the question to and maintaining eye contact with the intended respondent; (5) following an interruption, explaining once again the rules of the game and going back to the respondent's line of thought and asking him/her to continue with his/her answer.

## **Reference Period**

Since a very large number of questions in this module are recall questions that are asking people to remember the details around a particular shock that occurred in the recent past, it is very important for the interviewers to handle the reference periods very carefully. When asking these questions, the interviewers should help households frame their thinking around the period in question. Providing respondents with familiar events that occurred around that period and that they can associate the period with is also another tool in helping them focus on the period in question. Use annual events as reference points such as New Year or refer to the age of a child born in the household.

The section contains four parts, Part A, Shocks which has a reference period of the two calendar years 2006 and 2007. Part B, Future Shocks, asks about the next 12 months, in other words, the 12 months after the month of the interview. So, if the interview takes place in May 2008, the reference period includes June 2008 through May of 2009, Part C of the section deals with Preventive Health and has a reference period of today (day of the interview) and the last 12 months. The final part, Part D refers to social programs and uses as a reference period the time since January of 2006 through 2007..

## **Definitions**

**Shock:** In this section, we refer to adverse events as SHOCKS. For the purposes of this survey, a shock is an unexpected, negative event, or a misfortune, that affects a household or one or some of its members. It is unexpected in that –even if the household could anticipate it was likely to occur- there is always uncertainty around some of the event's characteristics, for example: how long it would last, how long it will take for the household to recover, and what type of losses it will entail.

This survey will focus on four broad categories of SHOCKS: (a) Natural disasters and biological hazards; (b) Economic shocks; (c) Socio-political shocks; and (d) Shocks to household expenditure.

## Questions

### Section 4A: Incidence of shocks and household responses

#### Reference period

Most of the questions in this section (with the exception of Questions 2, 3, 33 and 34 which will be discussed in the next paragraph) refer to a period beginning in **January 1<sup>st</sup> 2006** and ending in **December 31<sup>st</sup> 2007** (i.e. two years or 24 months). Households are asked to talk about shocks that happened to them during this period of two years.

**Exceptions to the rule described in the previous paragraph** are two pairs of Questions, 2, 3, 33 and 34. These questions ask households to recall whether they were hit by adverse events at least once over a period of **five years, or from January 1<sup>st</sup> 2003 to December 31<sup>st</sup> 2007**. For households that did experience a SHOCK, they are asked to report on the extent to which they have managed to recover from it.

***Question 1:** Since January of 2006, have you or your household experienced [SHOCK]?*

This is a very important question because it identifies the subset of SHOCKS or adverse events that affected a household. It is **for each of the events in this subset**, for which the interviewer should ask the rest of the questions in section A.

The interviewer should start by going down (vertically) the **complete list of SHOCKS, one by one**, and recording whether the household (the person being interviewed and/or one or more members) experienced any of these events since January of 2006 by writing “1” for yes or “2” for no in the first column.

The first four SHOCKS are adverse events related to phenomena that originate in nature.

**Droughts:** There may be an element of subjectivity to what the respondent identifies was a drought. And this is what we are looking for. We are interested in capturing what the respondent considers was a period of drought. This by no means needs to be a “scientific” definition of a drought. We want to think of it as an episode where it was drier than this person thought it should be. It could be then that the lack of rain affected this person’s livelihood in some way. It could also be that this person had taken precautions and was able to protect his/her household from the consequences of the drought. In both cases, we should see a “YES” in Question 1 because the household experienced a period of drought.

**Floods, mudslides and storms:** These are all events related to rain. Here again, there is an element of subjectivity. Certain regions are more (or less) prone to experiencing variations in their weather. We are interested in capturing the extent to which these resulted in unexpected floods, mudslides or storms from the perspective of the household. It is possible that—even within a village—the interviewer may observe that some households report having been affected by a storm while others were not. This is perfectly fine and it is part of the variation this survey is trying to capture.

**Earthquakes, volcanic eruptions, tsunami:** These adverse events, because of their nature, are more likely to be reported and experienced by several households within a geographic unit. It is very likely that if an earthquake, volcanic eruption or tsunami hit a particular region, all the households that are interviewed in that region mention it when asked to recall them in Question 1. Here, it is important to stress that the Question is inquiring whether the household experienced the event or not. For instance, a household that experienced an earthquake but had no damage to their property and home should answer “YES” in Question 1 – just like another household whose house was severely damaged by the earthquake.

**Pest infestation, crop and livestock diseases:** These refer to pests and ailments that affect crops and animals. There are many ways in which they can affect a household. The most obvious example is a rural household that cultivates land. However, even households that are not themselves growing crops or animals be affected by an event of this nature and the interviewer should record it if it is the case.

For example, a household may be affected if a poultry firm that supports the local economy closes unexpectedly due to fears of avian flu. The cause of the adverse event is an animal disease, however, before marking “1” in Question 1 for this particular event, it is important to prompt the household to provide some more detail as to what the event was like for them to avoid recording a SHOCK more than once. For instance, if the closure of the poultry firm in the above example affected the household because the household head lost his job, then this SHOCK should be recorded in the line that corresponds to “Unexpected loss of job”. But it could be that the household used to employ leftover materials from this poultry farm to make compost for its own farm and now it is left without this input. In this case you should record this SHOCK as “Increase in prices or shortage for inputs/services that you use”.

The second set of five SHOCKS refers to adverse events related to prices or jobs.

**Unexpected decline in prices or demand for commodities that you sell:** This question applies to households that are involved in the sale of a good or service. The key words in this shock are “unexpected” and “sell”. There are many goods for which prices fluctuate throughout the year in a well-known pattern (at least to the seller of these goods). For example, the price of a fruit starts to decrease when its season is at its peak and the fruit is abundant in the market. If the household selling these goods had anticipated these changes, then these are not the types of changes we are looking for. Instead, we are looking for changes that were not expected. Going back to the previous example, it could be that a farmer expects the price of the fruit to go down by 10% when its season peaks. But that particular year there is an unexpectedly large amount of imported fruit and the price goes down by 15%. Then, there is an unexpected element to the price decrease, the farmer did experience its consequences, and we should record it in the survey (with a ‘1’ in the space next to “*Unexpected decline in prices or demand for commodities that you sell*” in Question 1).

**Unexpected increase in prices or shortages for inputs/services that you use:** The definition of this SHOCK follows the same logic as the one discussed in the previous paragraph. One important element to notice is that this Question refers exclusively to inputs and services used by the household (for their family farm or business). Therefore, this Question applies only to households that own a farm or a small business. Examples are changes in the price of pesticides, seeds; change in salary for employed workers, and/or cost of transportation of harvest/merchandise to the market.

**Unexpected increase in prices of food/other essential commodities consumed:** The main difference between this SHOCK and the previous one is that this one refers to the prices of the broader set of essential items (and food) consumed by the household. Since all households spend money in the market to purchase essential commodities and/or food, this Question should apply to all households and it has nothing to do with whether they own a business, a farm, or sell goods. For example changes in the price of soap, medicines, foods, books and other school materials, and clothes.

**Unexpected loss of job:** Examples of this event are: a person who is suddenly fired from her job; a contract that is ended when the worker was not expecting this to happen; a firm that closes or decreases its staff and lays-off a number of workers; any other circumstance when the a worker finds him or herself, unexpectedly, in a situation of unemployment.

**Involuntary reduction in the number of hours worked:** The main difference between this event and the previous one is that while in the previous event, the worker finds out he/she has lost his job, in this case, the loss is partial in that this person is asked to work fewer hours than before although he or she can keep on working.

**Non-payment or delay in payment of income:** This event refers to any circumstance in which households experienced delays that they were not expecting in receiving income that was due to them. This income could be coming from different sources: wages and salaries, rental of assets, interest payments of money they lent, transfers from family members, or transfers from government.

The next four SHOCKS refer to violent events that alter the rules or interactions in the community (the more local one or the broader one in the whole country).

**Crime (robbery, theft)** are events affecting individual's property. They should be differentiated from those that are deliberately targeted to specific groups. If thieves enter a person's house, take the television or cash and break the lock of the door in the process, you should write '1' next to this shock in Question 1. However, if the damage to my door's lock (and even the loss of an asset like a television or an animal) results from a mob of protesters taking advantage of a riot to vandalize private property, then you should prompt the respondent to tell you more about the event so that you can classify it accordingly in one of the categories below.

**Ethnic or religious conflict** encompasses a wide range of events and their effects. They include events that are directly targeted to individuals from a specific minority. Direct acts of violence resulting from discrimination or racist behaviors are examples of this first type of situations. But they also include events that affect individuals who are not members of a minority but that see their livelihoods affected by the conflict. For example, a protest led by an ethnic group that blocks roads to get the government to listen to their requests will affect everyone who uses that road, no matter whether they belong to this ethnic minority or not. In both cases described above, Question 1 should be answered with a '1' for this 'Ethnic or religious' shock.

**Political violence:** In some ways, this category has some elements in common with the preceding one. Specifically, in that an individual does not need to be a direct actor in the act of political violence to endure its effects. The difference with the previous category is that this type of SHOCK is exclusively restricted to conflicts of a political nature: lack of satisfaction with living conditions, protest against an institution or the way a policy was handled, upheavals against the authorities, reactions to specific policy reforms, and others.

**Confiscation of property or forced resettlement:** By confiscation of property, we define situations in which the government takes ownership of other person's property (such as land, assets, or capital). Note that situations in which it is a private individual (or group of individuals – no matter how powerful) who takes ownership of someone else's property (such as squatting on private lands) are, for the purposes of this survey, considered regular crimes and should be registered under the line Crime (robbery, theft). Forced resettlement is a circumstance when the government or a policy action initiated by the government (such as the construction of a road) forces households to leave their places of residence and relocate involuntarily. Forced resettlement can include some type of compensation for example promises of free access to school and/or access to land.

The last category groups two types of SHOCKS that affect household composition in different ways.

**Divorce, abandonment, or internal or extended family disputes:** This category includes a wide range of situations that result in family composition changing. Divorce and abandonment are the most obvious examples. However, this category also aims at capturing other family disputes - that could involve extended family members- and that are disruptive to the respondents' livelihoods. Examples: a brother who was cultivating his sibling's land and after the dispute cannot do it anymore; a mother who has been forced to move her children out of her parents' home where they have always lived due to a dispute; a dispute between siblings for inheritance reasons.

**Other serious illness, injury or death not included in above (before):** The interviewer can record up to three cases of illness or death per household. In cases where there were more events in one household, the interviewer should focus on the three most serious events. These health crises can for example be a diagnosis of HIV, tuberculosis, victims in a car crash, mental distress after a robbery.

It is important to notice that death or even illness can be associated with one of the adverse events listed earlier. For example, it could result from a natural disaster such as an earthquake. It could also be the case that, from the respondent's perspective, there is such association (even if it has not been established scientifically by a doctor). For example, an unexpected loss of job or an incident of political violence caused an illness (out of worry, stress or suffering) or the death of a child was perceived to be caused by a move to the city. That is why the survey has included a follow-up question that prompts households to verify that these events are not being double counted (Question 10E in section 4A). The interviewer should prompt households to talk about these events so that the interviewer has a good understanding of the situation and can detect potential instances of double-counting.

**After the interviewer has gone through the list of SHOCKS or adverse events one by one and answered Question (1, he/she needs to inspect this list and take the following three steps:**

1. For each of the SHOCKS with a 'NO' answer to Question 1, the interviewer should go to Questions 2 and 3. Only after completing Questions 2 and 3 for all SHOCKS with a 'NO' answer, the interviewer should continue with the next step in this list.
2. For each of the SHOCKS with a 'YES' answer to Question (1 and that do not have a shaded cell in Question 4, the interviewer should go to Question 4 and continue answering Questions 5-33 relative to this SHOCK.
3. For each of the SHOCKS with a 'YES' answer to Question 1 and that have a shaded cell in Question 4, the interviewer should continue with Questions 5-34.

**Question 2:** *Now, think back to the past five years, since 2003. Did you or your household experience [SHOCK] at least once in this period*

This Question is applied at this point of the survey only to households who answered 'NO' for that particular SHOCK in Question 1. The Question parallels Question 1 in all the definitions, except that it refers to a longer recall period. The exact reference period that applies to this Question is January 1<sup>st</sup> 2003 to December 31<sup>st</sup> 2007.

Whenever an individual answers positively to Question 2, the enumerator should ask Question 3. When the answer is negative, the interviewer should move to the next SHOCK. Only after the enumerator has gone down the complete list of SHOCKS marked with 'NO' in Question 1 and asking Question 2 and –when relevant- Question 3, he/she is ready to move to Question 4.

**Question 3:** *Have you or your household already recovered from the negative consequences of this [SHOCK]?*

This Question applies only to those that answered Question 2 with a '1'. Note that it offers the household four possible choices. There is no middle ground (i.e. 50%) option. This is on purpose, to ask households to place themselves on one of the two sides of the recovery path. Read the four alternatives to the household and let them chose only one.

Immediately after Question 3, the interviewer should move to asking Question 2 for the next SHOCK with a '2' no, answer to Question 1. Once the interviewer has covered the whole list of SHOCKS, he/she can move to Question 4.

**Question 4:** *Please record the household ID number of the member who experienced [SHOCK]*

This Question applies only to those who answered 'YES' to Question 1 in one of the two events: "Unexpected loss of job" and "Other serious illness, injury or death".

Three possible situations can arise in answering this Question:

1. For cases of illness and injury, the interviewer should go back to the Household Roster and write down the ID code applicable to this survey's roster.
2. In the case of members who have died but who were alive and in the Household Roster in the 2006 TLSS, the interviewer should write down the ID code of these persons corresponding to the Roster of the 2006 TLSS. (you have to do something
3. In the case of members who have died in this period but who were not in the Household Roster of the 2006 TLSS, the interviewer should write NA.

In all cases, after answering Question 4, please continue with Question 5.

**Question 5:** *In what month and year did this begin/happen?*

For each of the events for which the household answered with a 'YES' to Question 1, Questions 5-34 should be answered in reference to that particular event before moving to the next SHOCK.

Question 5 aims at identifying the moment where the SHOCK occurred. For SHOCKS that occurred over a period of many months, the interviewer should record the month and year when

the SHOCK began. Remember that these SHOCKS should have occurred between January 1<sup>st</sup> 2006 and December 31<sup>st</sup> 2007. If, after hearing the answer to this question, the interviewer learns that the SHOCK did not occur within the valid reference period for this section of the survey (i.e. January 1<sup>st</sup> 2006 and December 31<sup>st</sup> 2007), the interviewer should stop here and move to the next SHOCK

For situations in which a household experienced the same SHOCK more than once during the reference period, the interviewer should ask the household to report the date of the most severe (the worst) occurrence of the SHOCK. If this is the case, all the following Questions 6-34 should also be answered in reference to that particular occurrence of the SHOCK.

**Questions 6-10: Did [SHOCK] result in...**

The next five Questions inquire about the direct consequences or effects of the SHOCK and their costs as reported by the interviewee. It is important that the interviewer remembers in every case to refer to the SHOCK by its name (e.g. "Flood" or "Job loss") and not by the more general term SHOCK so to help the respondents to frame their answers relative to that particular event.

**Question 6...loss or destruction of assets:** Here, the survey aims at capturing situations where the respondent's assets were lost or damaged as a direct consequence of the SHOCK. Some examples are: private property damage that results from a robbery or from a riot; damages to a dwelling resulting from an earthquake or flood; loss of cattle due to a livestock disease. The interviewer should verify that the assets that are lost and are reported in this Question exclude any losses of assets due to sales that the household decided to undertake to deal with the consequences of the SHOCK. For example, if the household sold land to rebuild their house after an earthquake, this Question is about the house that was rebuilt and not about the land that was sold. For those households that did suffer loss or destruction of assets, ask them to estimate the total monetary value of the loss they experienced.

**Question 7... loss of income:** This Question is meant to identify which SHOCKS resulted in a direct income loss. Some examples: revenues from crop sales are reduced after a pest or due to unexpected price decreases; there is a direct income loss after a job is lost; a national strike prevents a person from carrying out business as usual and this implies a loss of income for the days the firm needed to be or was forced to be closed, a person who is ill and cannot work and has to endure a cut in his or her pay because of this. For those households that did suffer a loss of income, ask them to estimate the total monetary value of the loss they experienced.

**Question 8... unplanned medical expenses:** These are expenses that are *related to a SHOCK, even if it occurred many years ago*. However, they would exclude preventive medicine such as the costs related to immunization services for children. However, they would include the medical costs of treatment of HIV for someone who has been diagnosed. Include all unplanned medical expenses, independently of how long the condition has been going on. They would also include any expenses the household had to incur to pay for the treatment of a broken arm or leg resulting from a mudslide. In addition, permanent medical costs for painkillers to the victim of the broken leg should be included since these costs are a direct result of the initial adverse event. For those households that did incur this type of expenses, ask them to estimate their total monetary value. If they had to incur these expenses and still owe money for them, please ask for the total cost (i.e. what was paid + what is still owed).

**Question 9... other unplanned expenses:** These are expenses that are not part of a household's continuous needs *but that were related to the SHOCK*. Some examples: purchase of emergency

supplies such as batteries after an earthquake disrupts the electricity supply for a few days; bribes or other payments households need to make to receive health care at their local facility when they get sick; purchases of special pesticides to exterminate an unexpected pest on one's crops. For those households that did incur in this type of expenses, ask them to estimate their total monetary value. If they had to incur in these expenses and still owe money for them, please ask for the total cost (i.e. what was paid + what is still owed).

**Question 10... death, illness or serious injury of household members:** These are events of death, illness and injury that -in the eyes of the household- were a consequence of the SHOCK. This question should not be asked to the respondents who listed a health related SHOCK in question 1 (Shocks 16, 17 or 18). Note that the cells are shaded for question 10, lines 16-18 so no answer can be written in.. Some linkages may be more subjective than others and what we want to capture are household's perceptions on these events. The interviewer should have no opinion on the causality. For example, if a household believes that an illness was a consequence of an unexpected episode of unemployment, it should be recorded in this line –even if the respondent cannot provide any scientific or medical evidence for this claim.

For those households that do report any deaths, illnesses or injuries resulting from a SHOCK, the follow-up Questions 10B, 10C, and 10D record the number of household members that were affected in each of the cases.

While asking this Question, the interviewers should be careful to notice situations in which households that answered positively to Question 10 have also reported having experienced a “Death, injury or illness” in Question 1. They should prompt the household to ask whether they are referring to the same event in the two places. As a control, the interviewer should report the link in Question 10E.

Question 10E is designed to prevent double counting of a given illness, injury and death in two parts of the survey. This is the protocol to follow:

1. If the household answers ‘YES’ to Question 10E, then the interviewer does not need to ask Questions 5-34 again for this specific death/illness or injury. Instead, in lines 16 (17 or 18 depending on the case) the interviewer should cross out the cells corresponding to that particular health SHOCK
2. If the household answers ‘NO’ to Question 10E, then the interviewer should continue with this part without any changes.

The following example illustrates situation (1) and (2) described above. Imagine a household that suffers a drought, a broken leg, and a death. In Question 1, they have answered with a ‘YES’ in three different rows (“Drought”, and two events of “Other serious illness, injury or death”, lines 16 for the broken leg and line 17 for the death). When the interviewer asks Question 10 with respect to the drought (line 1), it turns out that the broken leg was a result of an accident when someone was trying to operate an old well that was out of service. In that case, the answer to Question 10E should be ‘1’ YES. And you should verify the household is accounting for the total expenses of the drought – including those related to this accident. However, when you get to line 16 (broken leg) you have already asked for the costs of the leg and what happened: thus there is no need to answer Questions 5-34 for this line 16 “Other illness, injury or death”. Simply draw a line through the cells corresponding to Questions 5-34 for this line. Note, however, that it is still necessary to answer all questions for line 17 which refers to the death of a household member as no information has been collected on this in previous questions.

## *Questions 11-24*

Usually there are costs households have to bear after experiencing a shock. Questions 11 to 24 aim to find out what strategies individuals or households members employed to cover the costs induced by the [SHOCK]. For example, a flood might have destroyed a house and the household members had to buy a new house or move somewhere else. This is an example of a cost they had to bear and we want to find out what sources and strategies the household used to cover for the costs of replacing their lost home or relocating.

### *Reference Period*

The reference period for Questions 11 to 24 is between **January 1<sup>st</sup> 2006** and ending in **December 31<sup>st</sup> 2007** (i.e. two years or 24 months similar to the main parts of the questionnaire).

***Question 11:** Did you seek any assistance from a government program to help with the cost of [SHOCK]?*

The interviewer should define ‘assistance’ for the respondent. Assistance means aid or support that has been provided to any household member and can include food, goods, services, cash, or any other type of help that the individual received. There may or may not be an expectation of repayment from the recipient.

Make sure the respondents consider only **government** programs. It is likely that the respondents will not know the exact name of the program or who finances it. If that is the case, simply ask for the actual benefits involved instead and make a note of it in the appropriate cell.

***Question 12:** Did you receive any assistance from an NGO to help with the cost of [SHOCK]?*

This question is similar to Question 11. Make sure the respondents consider only **non-governmental organization (NGO)** programs.

***Question 13:** Which programs did you seek assistance from for help with the costs of [SHOCK]?*

This question asks what specific programs the respondents received assistance from.

List the programs one by one.

Make sure to ask whether they are any other programs from which the household received assistance that were not in the list and record the name of that program under “Other.” For example, programs could include assistance such as help with farming, construction or improving the house, clean water, cheaper medicines, scholarships or school materials for students.

If the respondent has heard of additional programs, the interviewer should ask what he/she calls the program. It is likely that the respondents will not know the exact name of the program or who finances it. If that is the case, simply ask for the actual benefits involved instead and make a note of it in the appropriate cell.

***Question 14:** To help with the costs of this event, did you...*

***(A): ... use any of your income?***

SHOCKS are likely to force households to incur unplanned costs. For example, the illness of a family member will require paying for doctor visits or prescriptions. An agricultural pest will demand purchasing insecticide. A robbery may require replacing the lost items or even purchasing additional protection (for example, a fence) to prevent this from happening in the future. This question inquires whether the respondent covered these costs out of his own income (as opposed to having to borrow, use his or her savings or any other of the strategies that will be discussed later).

One should note that –especially in rural areas- households do not have a flow of income every period (week, month, etc.). For that reason, it should not be surprising if respondent reports that none of the costs were covered out of current income and that in turn, the household had to compromise resources from future periods (as in taking out a loan) to bear the costs of the SHOCK.

If the respondent answers ‘YES’, go to question 14(B).  
If the respondent answers ‘NO’, go to question 15.

***(B): What percentage of the total costs was covered by your income?***

This question is to be asked to only those who answered ‘1’ YES’ in Question 14(A). Record the percentage of the total costs of the SHOCK that the respondent was able to cover out of his or her current income. The range of possible answers to this question is from 1% to 100%.

Some respondents may not be used to expressing quantities in the form of percentages and may look puzzled by your request. If this is the case, try to use examples. For instance, you can point at a plate or a pot where they put their food. Ask them to imagine they had to cut it into two pieces. One of the pieces should be as big as the costs of the SHOCK that were covered out of your own income and the other piece should be as big as those costs covered out of other sources. Then, they can point out for you what the size of the first piece should be to represent how much of the costs were covered from their own income and you can help them translate this into a percentage figure (e.g. is that about half of the plate? Is it a little bit more than half but less than full 3/4?), etc.

***Question 15: To help with the costs of this event, did you...***

***(A): ... ask anyone for a loan?***

The interviewer should define ‘loan’ for the respondent. A loan is borrowing an amount of cash or even foods, or goods and services that can be purchased in advance for consumption or production. The loan is a transaction between the household member and an institution or person(s). A loan is expected to be paid back and may or may not have a definite repayment schedule. The question should capture loans from all types of lenders including banks, credit unions, relatives, moneylenders, or neighbors.

If the respondent answered ‘YES’, go to question 15(B).  
If the respondent answered ‘NO’, go to question 17.

The interviewer should make sure that respondent considers ALL loans that were asked for, even if the person did not succeed in receiving the loan.

**(B): ... receive this loan?**

This question is to be asked to only those who answered 'YES' in Question 15(A). Read this question as "Did you receive this loan (that you requested)?"

Record whether the respondent received the loan that he/she asked for.

**Question 16:** *Who did you borrow most from?*

This question is to be asked to only those who answered 'YES' in Question 15(A). Read all the alternatives to the household and let them choose only one. Record and label any other entity the respondent mentions under "Other" if it is not already in the list.

**Question 17:** *Did you spend cash savings to cover the costs of the [SHOCK]?*

The interviewer should define savings if the respondent is unclear. CASH savings is money that had been put away to be used later. An example of savings is when people put some of their monthly income in a bank or keep money under their mattress.

**Question 18:** *Did you delay investments because of the [SHOCK]?*

The interviewer should define the term 'delay investments' for the respondent. Delaying investments can be defined as something that the individual had planned to do to increase his assets but now cannot do as a consequence of the SHOCK. For example, a farmer could have been planning to buy a new tractor or a new piece of land, but now he will have to make this purchase at a later date due to the SHOCK.

**Question 19:** *Did you sell any household assets or goods to cover the cost of the [SHOCK], such as housing, land, animals, jewelry, appliances or machines?*

Assets can be defined as something of value that the individual owned such as housing, land, animals, jewelry, appliances, equipment, tools, or machines among other valuable goods.

**Question 20:** *Did you sell a harvest in advance to cover the cost of the [SHOCK]?*

This question is asking whether the harvest had to be sold in advance as a consequence of the SHOCK. Make sure you only record '1' YES if these early sales were unplanned. It is important to distinguish from other advance sales of harvest that the farmer had planned (many farmers regularly sell their harvest in advance because that is their way of operating). This question refers to the *additional* advance sale that was required to cover the costs of the SHOCK. For example, a farmer might have had to sell more rice or coffee than he had planned to sell in advance (i.e. before the harvest) to help with the costs of the SHOCK.

**Question 21:** *Did you pawn any goods to cover the costs of the [SHOCK]?*

The interview should define ‘pawn’ for the respondent. Pawn means providing a guarantee of a valuable asset such as land, animals, jewelry, appliances or machine for a person to get money, goods or services in return. When you pawn a valuable you have the possibility of buying back the items within an agreed amount of time.

**Question 22:** *Of all of the activities mentioned, borrowing from others, spending cash savings, delaying investments, selling assets, settling harvest in advance or pawning goods, which was the most important for coping with the [SHOCK]?*

This question is to be asked only to those who have responded ‘YES’ more than once in Questions 15 to 21 as we want to identify which was the most important activity the household used to cope with the costs. By coping we mean ‘deal with’, ‘handle’ the shock. Ask the respondent to choose only one activity. Note that the list of activities excludes Question 14, the use of current income, and focuses only on strategies that involve compromising income/decisions/resources from future periods.

This question should not be asked to those respondents who said ‘NO’ to all Questions from 15 to 21. Skip to Question 23 instead.

**Question 23:** *Did your household have to cut down the consumption of any goods to cope with the [SHOCK]?*

**[A]:** The interviewer should provide the respondent with an example of cutting down on the consumption of a good such as a family had to stop buying milk because they could not afford to purchase it anymore due to the costs of the SHOCK.

If ‘YES’, go to Question 23 (B). Otherwise, if ‘NO’, skip to question 24.

**[B]:** Ask the respondent what they had to decrease to cope with the SHOCK. The interviewer should read out all the choices to the respondent. Examples of FOOD that had to be cut down can include rice and milk among other edible items. Examples of NONFOOD GOOD or SERVICES include medicine, school fees and expenses, leisure activities among others.

**Question 24:** *Did you seek any other type of help from anyone else to bear the costs and consequences of the [SHOCK]?*

The interviewer should provide examples of type of help. For instance, a person could have asked a friend to help with taking care of her child as that person starts a new job. Another example is a person, who needs help with housing, i.e., to stay with a family as the person’s house was destroyed as a consequence of a flood. Note that this question also includes asking for help in cash or in kind (excluding the loans inquired about earlier).

If ‘NO’, skip to question 26.

**Question 25:** *Who were the persons from whom you sought help?*

The interviewer should list all the sources of help and ask the respondent to choose all that apply to his or her particular situation during that SHOCK. You should record as many sources as

identified by the respondent. If the respondent names another source that is not in the list, write “9” “Other” and then write the source.

**Question 26:** *At the worst moment when you experienced the consequences of this [SHOCK], how much did it affect your family's well-being?*

This question should measure how the respondents themselves rate the impact of a shock on their welfare. It is important to stress that this refers exclusively to the economic dimensions of welfare of the household. For the purposes of the survey, we are really interested in the perception of the respondents at the worst point when they experienced the shock. The interviewer should have no opinion on how the respondent assesses his or her household's situation.

Note that the question offers the household four possible choices. Read the four alternatives to the the respondent and let him or her choose only one.

**Question 27:** *Have you or your household already recovered from the negative consequences of this [SHOCK]?*

Again, this question is about the respondent's self-assessment of his or her own family's recovery – your own opinion should not affect the answer of the respondent. Note that the question offers the household four possible choices. Read the four alternatives to the respondent and let him or her choose only one.

**Question 28:** *Was this event an injury, serious illness or a death?*

The following questions 28 – 32 are only asked if a health related shock was listed in question 1. Note the shaded cells that indicate when a question should not be asked.

**Injury** refers to the way in which a person became hurt. Injuries are the result of an event or an accident that can happen in all types of environments and situations. For example these are cases of unintentional injury: a farmer cuts himself with a tool, a child falls down from a tree, or a woman burns herself on the fire during cooking. The outcome can be serious injury/illness and/or accidental death.

Every society defines accidents and injuries in specific ways which is perfectly fine and in part what we are after. The classification of injuries have moral aspects which makes people perceive an event in a certain way, a child's drowning will in some societies be classified as the fault of the child because he went swimming even though he was told not to; in another society the adult who was responsible for the child can be convicted due to negligent supervision. We don't pass judgment on the respondent's classifications but make sure we understand correctly if they define a certain event as an accident leading to the injury of a person.

The main types of injuries are the following:

- Traffic accident (passenger or driver in car, truck, bicycle, motor-cycle) or as a pedestrian.
- Falls. A fall can happen in all types of places most typically at home, but can also happen in school, at work or in the street.
- Poisoning (involuntary intake of rotten food, medicines, chemicals -like pesticides, herbicides, or fruit preservatives- snakebites, complications of being drunk, using drugs, inhaling poisonous gas).

- Accidents caused by fire or flame.
- Suffocation (ingestion of objects or foods that obstruct the respiratory tract).
- Drowning (submersion in river or smaller bodies of water).
- Violence can also lead to injury. It differs from the other types mentioned above in being intentional. (A traffic accident is under normal circumstances unintentional, it was not meant to happen). A violent act is registered as an injury in this question. A violent act can also be fatal, in these cases the event is registered as a death in this question.
- Suicide is the second type of intentional injury. Suicide can also be described as the result of a mental illness and can therefore be defined both as an illness and as an injury. A suicide should be measured as a death in this question.
- Other, such as stabbing, fall into deep water, surgical error, burns, electrocution

**Illness** refers to the locally accepted definition of not being well. There are several medical definitions on when a person is ill depending on whether you are the doctor, the patient or the care taker. In this question we want to capture if the respondent defines the victim or him/herself as ill.

**Death** refers to the person dying. All deaths (no matter the cause of death) in the household during the reference period should be listed.

If the response is ‘Injury’, skip to Question 30.

If the response is ‘Death’, skip to Question 31.

**Question 29:** *Was this illness: Acute or chronic?*

The question is only asked if the response was ‘illness’ in question 28.

By **acute**, we mean illnesses that had a quick onset of symptoms.

By **chronic**, we mean an illness that is ongoing and never or rarely improves. If the patient’s condition improved, and then he/she fell sick again with the same disease, then the illness is chronic.

It is possible that the respondent does not know how to answer this question (for example, he or she may not have a medical diagnosis or may not know the name of his or her illness). In those cases, the interviewer should record the option “Unknown” to answer this question.

Please use the table below as guidance:

<b><u>SOME COMMON ACUTE DISEASES</u></b>		
DIPHTHERIA	ACUTE DYSENTERY	DIARRHEA
POLIO	ARI	TETANUS
RABIES	APPENDICITIS	ACUTE TONSILITIS
CHOLERA	MEASLES	ACUTE HEPATITIS A
INFLUENZA	MALARIA	MENINGITIS
CONJUNCTIVITIS	DENGUE FEVER	ENCEPHALITIS
HELMINTHIASIS	STROKE	ACUTE BRONCHITIS
WHOOPING COUGH	OBSTETRIC COMPLICATIONS	ACUTE PNEUMONIA
VENEREAL DISEASE	TYPHOID	EAR NOSE THROAT INFECTION

<b>SOME COMMON CHRONIC DISEASES</b>		
BASEDOW GOITER	NEOPLASM/TUMOR	KIDNEY/GALL STONES
STOMACH ULCERS	TUBERCULOSIS	MALNUTRITION
NERVE SYSTEM PAIN	GASTRIC/DUODENAL ULCERS	INSANE/ CRAZY
MENTAL ILLNESS	OSTEOPOROSIS	ARTHRITIS (RHEUMATISM)
EPILEPSY	CHRONIC DYSENTERY	DIABETES
ASTHMA	TRACHOMA	CARDIO-VASCULAR DISEASE
HIV/AIDS	PROLONGED INSOMNIA	CANCER
HYPERTENSION	LEUKEMIA	COLITIS
LOW BLOOD PRESSURE	TOOTH DECAY	HEPATITIS B, C (CHRONIC)
		CHRONIC BRONCHITIS

**Question 30:** *How did this injury happen?*

The question is only asked if the response was ‘injury’ in question 28.

1. Traffic accident – as a passenger or driver in car, truck, mini-bus, bicycle, motor-cycle or ferry. For example, child on motor-cycle was hit by another motor-bike.
2. Traffic accident as a pedestrian. For example the person crossing the street was hit by a car.
3. Accident at work: for children and adults this will entail injuries that happened during work hours as employed or self-employed such as farmers and factory workers.
4. Accidents at school (for students or visitors). Teachers injured at school should be listed as an accident at work.
5. Accident at home refers to all types of ways a person is injured at home or in close proximity to home (such as backyard, in front of house). It includes but is not limited to falls, burns, electrocution, drowning, poisoning and suffocation.
6. Crime/violence means violent acts that have no political motives such as robberies and rape. Rapes might be especially challenging to talk about and cultural and social sensitivity is required. Domestic violence is also included here which in a similar manner should be addressed in a sensitive manner.
7. Political violence means violent acts related to politics such as demonstrations during which police, military or other representatives of the State used physical violence.
8. Other accidents refer to all other types of injuries

**Question 31:** *What was the cause of this death?*

The question only relates to the cases where a death was recorded in question 28.

**Death during 1st month of life** – these are deaths that occur after the baby is born and only during his or her first month of life. It includes babies who die during and after delivery and also includes still births (babies who die in the womb or during labor and are taken out of the mother’s body when they are dead).

**Maternal death-** during pregnancy, abortion or during delivery (including 6 weeks after the delivery).

**Infectious/contagious disease** – the interviewer should inquire whether the household knows the name of the disease and –using the table below- classify it accordingly. If the interviewee does

not know the name of the disease nor whether it was infectious or contagious, the interviewer should record the option “Does not know” for cause of death.

<b><u>CONTAGIOUS/INFECTIOUS DISEASE INCLUDES:</u></b>			
DIPHTHERIA	WHOOPING COUGH	MALARIA	MENINGITIS ENCEPHALITIS
POLIO	TUBERCULOSIS	DENGUE FEVER	BRONCHITIS
RABIES	DYSENTERY ACUTE	TYPHOID	
CHOLERA	RESPIRATORY INFECTION	DIARRHEA	PNEUMONIA EAR, NOSE, THROAT
FLU EPIDEMIC	MEASLES	TETANUS	INFECTION
HIV/AIDS		HEPATITIS	

**Non-infectious/non contagious disease** -- the interviewer should inquire whether the household knows the name of the disease and –using the table below- classify it accordingly. If the interviewee does not know the name of the disease nor whether it was non-infectious or non-contagious, the interviewer should record the option “Does not know” for cause of death.

<b><u>NON-CONTAGIOUS/NON-INFECTIOUS DISEASE INCLUDES:</u></b>		
BASEDOW		
GOITER	HYPERTENSION	MALNUTRITION
	LOW BLOOD PRESSURE	STROKE
SUDDEN DEATH		
STOMACH ULCERS	NEOPLASM	CRAZY
MENTAL ILLNESS	INSANE PROLONGED	DIABETES CARDIO-VASCULAR DISEASE
EPILEPSY	INSOMNIA	
BRONCHIAL ASTHMA	LEUKEMIA	CANCER
ASTHMA	APPENDICITIS	CHRONIC BRONCHITIS
OTHER COUGH WITHOUT FEVER		

**Accident, injury, poisoning** [consistent with the explanations in Question 28.]

**Suicide (with all means).** The method could be over-dose of medication, drowning and others. The importance is that it was self-inflicted and not an act of violence.

**Old age (over 70, no clear cause).** This refers to when a person dies of the natural cause of being old. The reference of 70 is only meant as guidance.

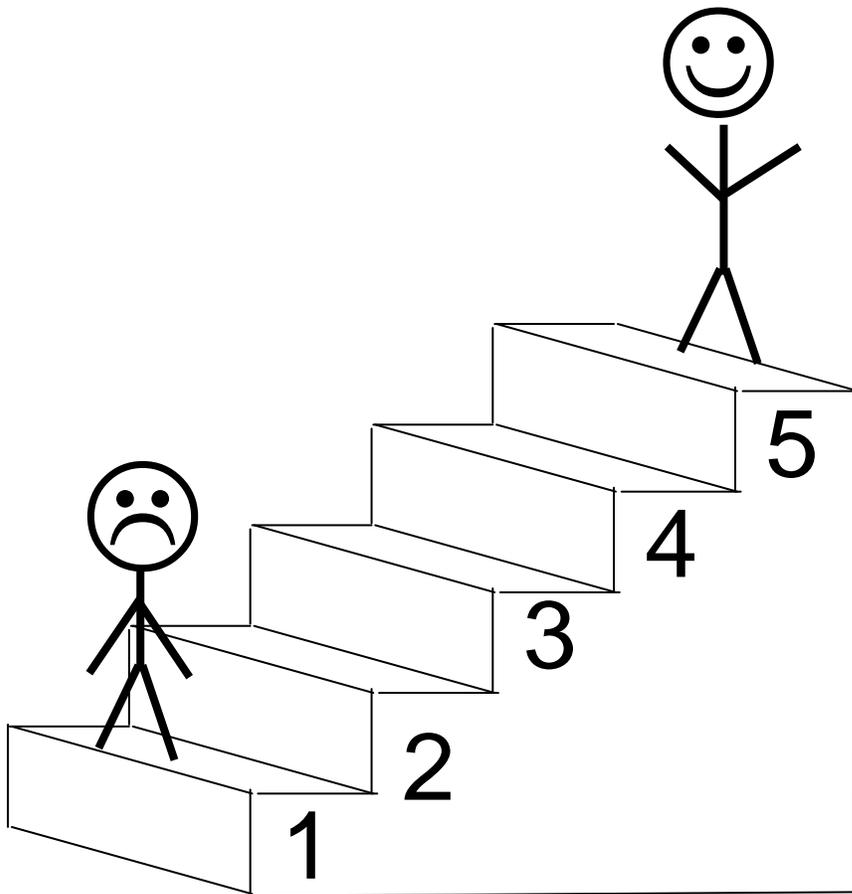
**Other**, specify. If none of the alternative above was applicable, please make a short note of what the cause was perceived to be.

**Does not know.** It is likely that the respondent may not know the cause of death.

*Question 32*

<i>Imagine a set of five steps for health where on the bottom, the first step, stand the sickest and frailest, and on the highest step, the fifth, stand people in perfect health. Where on the staircase would you place yourself before your illness/injury, when your health reached its worst, and where on the steps are you now?</i>		
BEFORE	WORST	AFTER

This question should measure how the respondents rate the impact of a shock on the sick person's health. The staircase (see below) can be used to illustrate the experienced differences in health.



First, ask the respondent to rate his/her health on the scale of '5' before the SHOCK occurred. If person is in perfect health she should reply '5' and if she is in very poor health the response should be '1'. If respondents immediately rate their health as very poor, ask what made them say a '1' or ask what health condition a person in the middle ('3') has.

If some respondents find it difficult to provide a response, explain that we are not trying to measure how their health conditions are relative to their neighbors, but how their health condition is compared to themselves before, during and after the experienced health SHOCK.

***Question 33: Now, think back to the past five years, since 2003. Did you or your household experience [SHOCK] at least once in this period?***

This question should be asked to the households that listed a shock in Question 1. The households that had not experienced a shock during the last 12 months have already been asked this question. The Question parallels Question 1 in all the definitions, except that it refers to a longer recall period. The exact reference period that applies to this Question is January 1<sup>st</sup> 2003 to December 31<sup>st</sup> 2007.

The response should be a 'YES' or 'NO'.

**Question 34:** *Have you or your household already recovered from the negative consequences of this [SHOCK]?*

This question should only be asked if the respondent replied 'YES' in Question 33. Note that it offers the household four possible choices. Read the four alternatives to the household and let them choose only one.

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## **Section 4B: FUTURE SHOCKS**

This section has only 1 question. The reference period is for the next 12 months, or the 12 months following the interview.

**Question 1:** *How likely do you think it is that this [SHOCK] will hit you in the next 12 months?*

This question's aim is to assess the perception of the respondent of the likelihood of suffering a SHOCK during the coming year. The shocks are defined in the same way as in Section 4A. Even though shocks are unexpected, the enumerator should gently probe the respondent to get his/her perception of the risk of experiencing a shock in the future. The enumerator should reassure the respondent that nobody knows what will happen next year, so we are asking about his/her 'best guesses'. Moreover, reassure the respondent that nobody wants the shocks to happen, but we would just like to learn what type of events he/she worries about in this community.

The enumerator should provide examples to illustrate future events such as asking, 'do you think about the prices of buffalos during the next year? Will they change or remain the same?' or 'Do you think it is getting easier or more difficult to find work?'. We are trying to assess the opinion of the respondents for chances of each SHOCK happening and hence there is no right or wrong answer.

The interviewer should go down the **complete list of SHOCKS, one by one**. Read all the alternatives for answers in Question 1 to the household and let them choose only one for each [SHOCK].

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## **Section 4C: PREVENTIVE HEALTH**

This part has 4 questions and the aim is to assess the use of treated or impregnated mosquito nets. Mosquito nets provide protection against flies, mosquitoes and insects that can carry diseases like malaria. The mosquito net prevents insects from biting the person sleeping under it.

**Question 1:** *Does your family sleep under treated/impregnated mosquito nets?*

If the respondent answers 'NO', skip to question 3

**Question 2:** *In the past 12 months has there been a night when someone in your household did not sleep under a treated/impregnated mosquito net?*

The interviewer should make sure that the respondent refers only to the past year (12 months prior to the month of the interview).

If 'NO', skip to Question 4.

**Question 3:** *Why have people slept without treated/impregnated mosquito nets?*

This question is to be asked only to respondents who have said 'NO' in question 1. Read out the options and let the respondent choose. If the respondent mentions a reason that is not in the list, record and specify it under "Other."

**Question 4:** *How much did your household spend on mosquito nets and repellent in the last 12 months?*

An exact amount of how much the household spent on mosquito nets and repellent may be difficult for the respondent to give. You should ask the household member to provide a rough estimate and record the dollar amount in the box. Again, make sure that the expenses are only for the past 12 months.

You should make sure that the respondent understands that this question refers to the money spent on both mosquito nets AND repellents.

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## **Section 4D: PROGRAM PARTICIPATION**

In this section we want to capture respondents' knowledge about the existence of programs and projects (financed by the Government or by Non-governmental organizations) and if they have received support from these programs since January 2006. In section (4A) we asked about the same programs and whether the household had received support from these related to a shock. The questions in this section concern the last two years regardless of whether the household experienced a shock or not.

**Question 1:** *Have you heard about the [PROGRAM] program?*

The objective is to capture whether the respondent is aware that the PROGRAM exists or not. The respondents might have heard about a program even though it is not available in the community he/she lives. Respondents are not expected to know any details about the design of the program but simply whether it exists. The response is '1' "YES" or '2' "NO".

On the PROGRAMS:

.....**2 Dollar A Day**... Use the local translation of name of program or describe the benefit involved.

.....**School lunch/school feeding**..... Ask if the respondents have heard of students receiving free lunch at school.

.....**other PROGRAMS**.... Prompt about additional benefits the respondents have heard children and/or adults receive from the Government or from projects before, during or after a shock; such as help with farming, borrowing money, construction or improving the house, clean water, better health or cheaper medicines, scholarships or school materials for students.

If they have heard of additional programs, ask what they call the program. It is likely that the respondents will not know the exact name of the program or who finances it. If that is the case, simply ask for the actual benefits received instead and make a note of it in the appropriate cell.

**Question 2:** *Since January 2006, did anyone in this household receive benefits from [PROGRAM]?*

By ...**benefits**... we mean in cash or in kind. That includes but is not limited to: money, food, tools, books, medicines, working for the household.

Response is '1 'YES' or '2' 'NO'.

**Question 3:** *Did you receive all the benefits that you were promised?*

This question should only be asked if respondent replied 'YES' in Question 2. We would like to capture if the respondents received what they have been told or promised.

By ....**benefits**... we mean in cash or in-kind. That includes, but is not limited to, money, food, tools, medicines, working for the household.

Response is '1 'YES' or '2' 'NO'.

**Question 4:** *Compared to the situation before receiving this benefit, would you say that [PROGRAM] has:*

This question should only be asked if respondents replied 'YES' in Question 2 and for the PROGRAMs from which support has been received.

.....**Before receiving the benefit** could be any period before. If the respondent asks for guidance you can suggest him/her to think of the last 3 months before receiving the benefit.

## **6. SECTION 5: JUSTICE FOR THE POOR**

### **Objectives**

The purpose of this section is to provide some of the information needed to design, monitor and support pro-poor approaches to justice reform in the country. A full program on research and development called Justice for the Poor (J4P) is being undertaken that:

- Focuses on the **viewpoint of the user** of the justice system, particularly the poor and marginalized.
- Is **built on detailed understanding** of social and cultural realities at the local level – in practice, ‘research, analysis and dialogue first’.
- Recognizes the **importance of demand** in the development of equitable justice systems and the processes of institutional reform.
- Sees **justice as a cross-sectoral** concerns.

As a preliminary step in the program, data are being collected at the household level about three broad topics: community dispute resolutions, public legal knowledge and legal aid services, and accountability of local government.

## **Respondents**

The respondents for this section of the questionnaire are the head of household and the spouse of the head of household. Each household will be classified as “ODD” or “EVEN” (see instructions for cover page of questionnaire). In “ODD” households, the spouse of the head of household will answer this section. In “EVEN” households, the head of household will answer these questions. It is important that the correct respondent is identified and interviewed. If there is no spouse, the Justice Section will not be completed. (Note that this is different from the instructions for the Vulnerability and Risk Section.)

## **Reference Periods**

Section 5 has four parts all with varying reference periods, even within one Part the reference period can change. Pay careful attention to the reference periods and read the questions exactly as written to be sure the respondents know what reference period is being used. Part A uses three different reference periods: the present (i.e the moment of the interview), the last 12 months (12 months preceding the month of the interview) and the last three months (the three months preceding the month of the interview). In these three cases, if the month of the interview is June, the present would be considered June of 2008, the last twelve months would be June 2007 through May 2008, and the last three months, March 2008 through May 2008.

Part B, Opinions and Knowledge and Part C: Local Institutions both use, as a reference period, the present, in other words the time that the interview is being carried out.

Part D, Disputes, uses a two year reference period, the 24 months prior to the month of the interview.

## **Definitions**

**Note that key definitions are included in the discussion of each question below.**

## **Questions**

### **Section 5A: Community Trust and Decision Making**

**Access to Information:** The access to information section aims to determine how respondents receive their information about current local and national events.

**Question 1:** This question asks about the frequency with which respondents use common sources of information, such as radio, television, newspaper, etc. The question should be read for each of the different sources of information. Start by asking “How often do you listen to the radio?” Note the code for the frequency given (“1” for everyday, “2” for three or four times a week ...to “5” Never”) and then ask the same question for the next source of information: “How often do you watch broadcast television”. Again, write in the appropriate code from 1 to 5 and then ask for the next source of information until all have been inquired about.

If the respondent indicates that the amount of time they spend in a given activity varies, ask them to estimate an average for the past year.

**Question 2:** Similarly, if in the second question they indicate that they use multiple sources of information and news about what is happening in the country, ask them to identify the one that is, on average, the most important.

### ***Involvement in Community Decision Making***

These questions aim to develop a measure of how active the household is in the community decision making process. Read the introduction before asking questions 3-11.

**Question 3:** The question asks if the respondent has attended a community decision-making meeting. Be sure to differentiate a community decision-making meeting, such as a village election or administrative meeting, from other types of village level meetings, such as trade or agriculture groups, political meetings or religious gatherings (prayer groups or saint’s festivals, etc.) The reference period for this question is 12 months. Note that the question asks specifically about the respondent, not about any other member of the household. Therefore if the respondent is the spouse of the household head, but the person who attends the meetings is the household head, then the respondent should indicate “no” in response to this question.

If the respondent answers yes to this question, write “1” and go to question 6. If no, write “2” and go to question 4.

**Question 4:** Here the question refers to whether the respondent feels involved in the community decision making process. If no, proceed to question 11, which asks why he or she is not more involved. If yes, proceed to question 5.

**Question 5:** Respondents answering question 5 will be those people who have not attended a community decision meeting but who still feel involved in the community decision-making process. The piloting results indicate that a large percentage of respondents will fall into this group. It is important to find out how they participate, or why they are involved, if they do not attend meetings. In the case of the spouse of the household head, it could be because the household head attends the meetings and therefore is able to speak for the household. Another possibility is much of the community decision making is done informally, or outside of meetings, and therefore it is not necessary to attend meetings to participate. They may be a variety of other ways that people participate or are involved. A major goal of this study is to understand the mechanisms of community decision-making, and understanding the methods that fall outside the traditional realm of meetings is an important component of this

Regardless of the answer, skip to question 12.

**Question 6:** For individuals who have attended a meeting in the last 12 months, this question now asks about how many meetings the person attended in the last 3 months. Note the different recall periods. If the respondent indicates that he or she has not attended a meeting in the last 3 months, write “0” in the space provided.

**Question 7:** Here the respondent is asked if he or she spoke at the meetings they attended. This question is designed to understand if the respondent was an active or passive participant in the process.

**Question 8:** Note that this question refers to the most recent decision making meeting the respondent has attended. There are three choices listed, and then an option for “other.”

1. **Project Decision-Making:** This category would include all meetings related to governmental or non-governmental projects or community-driven development programs in which the village is involved. Examples of meetings which would fall into this category include those relating to the government construction of a new road or health clinic in the village, an NGO project to put a new roof on the school, or a block grant from a donor organization that the community must decide how to spend. It is any meeting where a decision is made about a project affecting the community as a whole.
2. **Aid Distribution:** This category includes all material and individual monetary aid from the government or other donor organizations, such as food from the World Food Programme or housing materials from the United Nations. It is any meeting about aid that affects individuals and households rather than the community as a whole.
3. **Community Administration:** This category includes all internal affairs of the village. This could include a meeting about an upcoming household survey to be administered in the area, or the selection of a new *chefe de suco*.
4. **Other:** Other meetings would include any village-wide gathering about a community decision not included in the categories above.

**Question 9:** Here information is asked about the presence of people from outside the community. This could include members of the government or a donor organization. If people from other communities that are not part of the government attended, write “4” other in the appropriate box and then write the community or group from which they came in the space provided.

**Question 10:** This is identical to question 4 but in this case relates to those people who have participated in a community meeting in the last 3 months. If the skip patterns are followed correctly, no respondent should ever be asked both questions 4 and 10. If the answer to this question is yes, write “1” and skip to question 11. If no, write “2” and continue with question 11.

**Question 11:** Here the respondent is asked why he or she is not more involved if he or she does not feel sufficiently involved. Answers here should be brief, but it is important to note whether respondents do not participate because they choose not to participate, or if someone else in the household participates on their behalf, or if they are actively excluded from the process.

*Exclusion* means that they would like to participate more but are prevented from doing so. Be sure to include the reasons they feel excluded, such as because of social status, gender, poverty, displacement, member of minority ethnic group, etc.

### **Community Trust**

This section of questions asks the respondent to measure the level of trust and security in their community. It is important to ask these questions in a sensitive manner. Many communities have had past incidences of violence between groups. The goal of this survey is to record people's feelings on these subjects, not to incite further trouble.

**Questions 12 and 13** ask about personal safety in physical terms both in the respondent's neighborhood (question 12) and outside (question 13). The phrase "in neighborhoods other than your own" means places outside the respondent's immediate area, but still in the same basic vicinity. For example, in rural areas it would refer to places within the same sub-district, but outside of the respondent's *suco*. For urban residents, it refers to places outside of the respondent's neighborhood but within the same city.

**Question 14:** measures how safe the respondent feels their possessions are from theft.

**Questions 15 and 16** relate to how trustworthy the respondent feels that their neighbors and those from neighboring communities are

### ***Community Conflict***

This table of questions asks about incidents of physical violence in the community. It is important in this section to remember that we are asking specifically about incidents of **physical violence**. Physical violence can be against people, livestock or property, but does not necessarily have to result in actual injury or property damage. For example, rock throwing that does not result in injury or damage would still be considered an incident of physical violence.

Also make sure that the respondent understands that we are interested only in conflict that occurred since January 1, 2007. This excludes all actions taken during the disturbances of spring 2006 unless there have been incidents of renewed physical violence in the community since January 1, 2007.

There are four categories listed in this section: "Violence between individuals," "Violence between groups within the community," "Violence between this village and another village," and "Violence between citizens and the police or other security force."

The second group, "Violence between groups," lists the examples of "hamlets, families, formal/informal organizations and groups." Though not explicitly stated, this category includes gang violence. The word "gangs" is explicitly not stated because a household may not wish to volunteer information to people from outside the village or neighborhood. This is a sensitive question and should be asked in a manner to obtain the best possible information from the household without compromising the interview.

All three follow-up questions (17-19) should be asked for each category of violent incidents that the respondent indicates having occurred in the village since January 1, 2007.

**Question 16:** The total number of incidents should be noted in the first column, with "0" being filled in for no incidents of that type.

**Question 17:** In the second column, the main origins of the violence should be noted. If there are multiple incidents of violence, or multiple causes of a single incident of violence, probe to identify the single reason the respondent believes to be the most important. If the respondent

specifies “Other Natural Resource Conflict” or “Other,” the nature of the violent conflict should be written in the space provided.

**Question 18:** The third column asks if the incident has been settled to the satisfaction of those involved. *This question is not asking if those involved are satisfied with the outcome; only if they are all agree that the incident is closed and is unlikely to cause continuing issues.*

**Question 19:** The final column asks whether the primary participants in the conflict were youth, non-youth, or both youth and non-youth. In some rare cases, a respondent may not wish to answer this question, as it singles out the youth as being troublemakers, or they believe that the information could be turned over to the police. If this happens, assure firstly that all survey responses will be kept strictly confidential. The reason that we are asking these questions is to determine where future programs should be targeted. If it is the case that the youth are mainly involved in the violence, then future outreach programs will be targeted at the youth. If the survey reveals that violence is not initiated mainly by the youth, then future programs can target communities as a whole.

**Example 1:** The following example represents a respondent who listed a violent fight between two families in the village, but no other incidents of violence. In this example, there is a land conflict between two extended families over the border between two fields. The argument escalated when two groups of young people from the families got into a physical fight after drinking during a village festival. One person was hurt, and in retaliation, a few of the youth from this family burned a fence and destroyed some property at the home of the other family. At this point the village elders stepped in and arranged compensation to settle the dispute. The families continue to avoid each other, but there is no threat of the violence being renewed. The community conflict table would appear as follows:

I am going to ask you a couple of questions about incidents involving violence in your village/neighborhood that has occurred since <u>January 1, 2007</u> .				
	(16) How many incidents of [INCIDENT] do you recall occurring since January 1, 2007?  IF NONE, ENTER "00" & SKIP TO NEXT ROW	(17) What was the main cause of this violence? Land Conflict 1 Water Conflict 2 Other Natural Resource Conflict, specify: _____ 3 Nothing Underlying / Isolated Incident 4 Other, specify: _____ 5	(18) Do you feel like this matter has been settled to the satisfaction of those involved? Yes 1 No 2	(19) Which age group was mainly involved in the violence? Youths 1 Youths and non-youths 2 Non-youths 3
INCIDENTS				
A. Violence between individuals	0			
B. Violence between groups within the community (e.g. hamlets, families, formal/informal organizations and groups)	2	1	1	1
C. Violence between this village and another village	0			
D. Violence between citizens and the police or other security force	0			

As the incidents occurred between families, the second row, “violence between groups” should be used. According to the above description, “2” should be placed in column 1 (question 16) to indicate that there were two incidents of violence between the two groups (the fight, and the fire / property destruction), a “1” placed in column 2 (question 17), to indicate that it was primarily a land conflict, a “1” placed in column 3 (question 18), to indicate that the situation is settled, and a “1” placed in column 4 (question 19) to indicate that mainly youths were involved in the violence.

It does not matter if the violent acts are related (stemming from the same cause) or if they take place in parallel or immediately after one another. They are still seen as separate violent acts.

**Example 2:** If there are multiple incidents of unrelated violence, the number of total incidents should still be recorded in the first column (question 16). In the second column (question 17), record the main cause of the most recent incident, even if this is not the cause of all incidents. Similarly in the third column (question 18): indicate if the most recent incident has been resolved, even if not every individual incident has been resolved. Then in the final column (question 19), note who is generally involved in the most recent violence.

In the following example, a neighborhood has experienced multiple incidents of violence in the past year. There have been three fights between groups of local youths. Strong tensions still exist between these groups and there is a high potential for future violence. There was also a conflict between the adults in two families regarding an unpaid loan. Currently, the loan has been paid and the situation is settled. Also, there was a dispute between the neighborhood and the police over the administration of an aid program. This incident turned violent (rock throwing, broken vehicle windows), but has since been settled through negotiation. The community conflict table would appear as follows:

I am going to ask you a couple of questions about incidents involving violence in your village/neighborhood that has occurred since <u>January 1, 2007</u> .				
	(16) How many incidents of [INCIDENT] do you recall occurring since January 1, 2007?  IF NONE, ENTER "00" & SKIP TO NEXT ROW	(17) What was the main cause of this violence? Land Conflict 1 Water Conflict 2 Other Natural Resource Conflict, specify: _____ 3 Nothing Underlying / Isolated Incident 4 Other, specify: _____ 5	(18) Do you feel like this matter has been settled to the satisfaction of those involved? Yes 1 No 2	(19) Which age group was mainly involved in the violence? Youths 1 Youths and non-youths 2 Non-youths 3
INCIDENTS				
A. Violence between individuals	0			
B. Violence between groups within the community (e.g. hamlets, families, formal/informal organizations and groups)	4	4	2	1
C. Violence between this village and another village	0			
D. Violence between citizens and the police or other security force	1	5 - Distribution of Aid	1	2

There are four disputes listed in the “Violence between groups” category (three from the youth violence and one from the family violence). The majority of these incidents do not have an underlying cause listed by the respondent, indicating response “4”. Even though the conflict between families has been settled, the youth violence remains unsettled, so “no” is indicated in the third column, response “2”. Similarly, even though the family dispute was between adults, the majority of violent disputes involved youth, response “1”. Finally, the incident between the neighborhood and the police was over an unlisted category, and therefore should be marked as “5,” and then the specific nature of the dispute listed “distribution of aid.” The matter has been settled, response “2” and the entire community was involved, response “2”.

## Section 5B: Opinion and Perception of the Law and Justice

Each of the questions 1 through 12 consists of two statements. The format of these questions is to ask the respondents to indicate whether they agree with either Statement A or Statement B. Read both statements slowly for the respondent before they answer. If they have difficulties understanding, read the statements again. ***You should read these questions EXACTLY as they appear on the questionnaire. DO NOT restate the questions in your own words. It is important that all interviewers phrase the questions in the exact same way.*** After they have chosen A or B, indicate their choice on the questionnaire. If they indicate “both” or “neither,” gently probe for a firm choice. If the respondent stays with his or her decision of “both” or “neither” mark the response on the questionnaire using “C” for “neither” and “D” for “both.” ***DO NOT offer these choices to the respondent before they answer the question. Use “C” and “D” ONLY if the respondent insists on one of these answers. Also, be sure to clearly distinguish between times when the respondent does not know, and when they refuse to answer.***

***Opinions about Justice***

The A/B response questions in this section are designed to gain an understanding about how the respondent feels about certain legal issues. There are no right or wrong answers, and the respondent should answer about only their opinion, not what the law actually says. ***You should read these questions EXACTLY as they appear on the questionnaire. DO NOT restate the questions in your own words. It is important that all interviewers phrase the questions in the exact same way.***

Question		Commentary
1	A. Public officials are not paid enough, so it is acceptable for them to ask for additional payments beyond what is legally allowed in exchange for good service B. Public officials serve the public and it is not acceptable for them to ask for additional payments beyond allowable rates.	“Additional fees” in this case do not refer to overtime or other legally permissible fees, but rather imply bribes. It is important not to use the word “bribes” though as it may bias the response.
2	A. The main responsibility for maintaining law and order in the community is with the police. B. The main responsibility for maintaining law and order in the community is with the <i>chefe de suco</i> and the community itself.	The key point in this question is the word “main.” Many people may think that it is a joint responsibility; we are interested which of the two they believe has the <u>main</u> responsibility.
3	A. A woman should be able to speak for herself in the traditional <i>adat</i> process. B. The head of the family represents the family in the <i>adat</i> process.	This question does not refer to the times when it would be appropriate for the man to speak as head of the household. It refers to times when it would be appropriate for a woman to speak if she were permitted by her family and the council.
4	A. It is better to resolve non-violent disputes within the community. B. The formal court system is designed to be fair to all citizens, and is the best place to take non-violent disputes.	This question is designed to measure people’s trust in the legal system.
5	A. A process of land titling would help to draw definite boundaries, and reduce conflict in the community. B. A land titling process would cause more problems that it solves by stirring up old problems and offering	This question is designed to measure people’s opinions on the future land title process. It just asks their opinion, not about personal experiences.

the opportunity to steal land with fake claims.	
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***Perception of the Law and Justice System***

These questions are not designed to test the respondent’s knowledge of existing law. In fact, much of Timorese law is currently changing and many questions do not have a right or wrong answer. The directions ask the respondent to indicate which they “think is more accurate for Timor Leste today.” The questions target the respondent’s beliefs about how the law applies to their lives.

These questions are similar to those in the above section. ***You should read these questions EXACTLY as they appear on the questionnaire. DO NOT restate the questions in your own words. It is important that all interviewers phrase the questions in the exact same way.***

Question		Commentary
6	A. When pursuing a land claim in the court system, the strongest claim is an official paper land title. B. When pursuing a land claim in the court system, an official paper land title is not regarded as a stronger claim than a community-recognized traditional land claim.	This question asks only about the relative weight of claims in cases before the formal legal system, not about claims in traditional courts.
7	A. According to the constitution, the <i>adat</i> process must be within certain guidelines. B. According to the constitution, <i>adat</i> is based on local custom and therefore not subject to national standards.	This question asks about whether the traditional courts can make rulings that go against something expressed in the constitution. In other words, can the traditional legal system ban something that is specifically permitted by the constitution, or can the traditional legal system permit something that is specifically banned by the constitution.
8	A. According to national law, all household property is under the control of the head of the household. B. According to national law, property acquired by the man or woman prior to marriage remains under their personal control throughout the marriage.	This question asks about a married woman’s right to control property that belonged to her before marriage. For example, if she inherited land from her father, does it automatically fall under the control of her husband when she marries?
9	A. A woman can obtain a divorce without the approval of the man in certain circumstances. B. It is not possible for a woman to be granted a divorce without the consent of her husband.	This question simply asks whether the respondent thinks a woman can obtain a divorce without the permission of her husband. The question asks not whether it is possible in all cases, only if it is possible in certain cases.
10	A. According to national law, men and women are entitled to equal daily wage for the same tasks. B. According to national law, men and	This question asks about equity between men and women in the labor force.

	women may be paid different daily rates for the same tasks.	
11	A. According to national law, only a woman who experienced physical violence can report to someone. B. According to national law, women who experience pressure and threats can also report to someone.	This question asks if a woman can report abuse in the form of economic or emotional abuse, or if they may only experience physical abuse in order to make a formal claim.
12	A. Parents must produce a birth or baptism certificate upon enrolling their children in primary school. B. Parents are not required to produce birth or baptism certificate upon enrolling their children in school.	Simply asks whether parents are required to present a proof of identity document in order to enroll their children in primary school.

### Section 5C: Local Institutions

This section examines the respondent's confidence in various local institutions where they might settle a dispute. Most respondents will not have personal experience with many of the given institutions; we are interested in their perceptions. It is important to ask the questions regarding the respondent's general attitude towards these institutions **before** asking the question as to whether they have any personal experience with these institutions. We want to know their overall attitude without them thinking only of a specific incident.

<b>Codes:</b>					
National Police	A	State Prosecutor	G	No where / Nothing to	L
International Police	B	Judge	H	be done	
GNR	C	<i>Chefe de aldeia / Chefe</i>		Direct Negotiations	M
District Court	D	<i>de suco</i>	I	Sub-district/District	
Appellate Court	E	Traditional Leader /	J	Authority	N
		<i>Adat</i>			
Lawyer / Paralegal	F	Provedor's Office	K	Other	O

These questions should be asked horizontally. For each institution, the entire row of questions should be completed (taking into account skip patterns), before moving on to the next row.

The following is an example of four rows from this section of the module.

	(1) How satisfied are you with [INSTITUTION]?	(2) Generally speaking, why are you not satisfied? SELECT MAIN REASON	(3) To whom else would you ask for help if [INSTITUTION] were not doing its job properly?	(4) Have you, or anyone in your household, ever had a personal experience with [INSTITUTION]?
I am now going to ask you about how satisfied you are with different local institutions where you might take a disagreement between people.	Very Satisfied 1 ▶ 3	Disputes are not settled 1	National Police A Chefe de aldeia / Chefe de suco I	
	Fairly Satisfied 2 ▶ 3	The process is unfair 2	International Police B Traditional Leader / Adat J	
	Fairly Unsatisfied 3	It cost too much 3	GNR C Provedor's Office K	
	Very Unsatisfied 4	The process takes too long 4	District Courts D No where / Nothing to be done L	
	Not available here 5 ▶ Next Row	Other, specify: _____ 5	Appellate Court E Direct Negotiations M	
			Lawyer / Paralegal F Sub-district / District Authority N	YES 1
			State Prosecutor G Other, specify: _____ O	NO 2
			Judge H _____	
			CIRCLE ALL THAT APPLY	
INSTITUTION				
A. Traditional <i>adat</i> process / Traditional leader	2		A B C D E F G H I J K L M N O	2
B. Chefe de aldeia / Chefe de suco	3	4	A B C D E F G H I J K L M N O	1
E. International Police	3	1	A B C D E F G H I J K L M N O	2
G. Paralegal / Lawyer / Legal aid NGO	5		A B C D E F G H I J K L M N O	

**Example 1 (A. Traditional *adat* process / Traditional Leader):** In question 1, the respondent indicates that she is “fairly satisfied” with the process, choice “2” from the list at the top of the column. The question 2 is then skipped. In question 3, the respondent indicates that if she had a problem with the traditional *adat* process that she would bring the matter to either the police or to the *chefe de aldeia*. In question 4, she indicates that neither she, nor any other member of her household, has any direct personal experience with the *adat* process.

**Example 2 (B. Chefe de aldeia / Chefe de suco):** In question 1, the respondent indicates that he is fairly unsatisfied with their performance of their responsibilities, choice “3”. In question 2, when asked why he is not satisfied, the respondent says that the *chefe de suco* takes too long to resolve disputes (choice “4” in the list above). If the respondent had indicated more than one of the choices, you should probe to find out which one is the main reason, and indicate only one of the choices. In question 3, the respondent indicates that he would appeal to the sub-district authorities if he believed the *chefe de suco* was not fulfilling its responsibilities.

In question 4, the respondent indicates that he, or another member of his family, has had a direct experience with the *chefe de suco*. We ask this question so we can better understand who is satisfied or dissatisfied with the *chefe de suco*

**Example 3 (E. International Police):** In question 1, the respondent indicates that he is “fairly unsatisfied” with the international police. In question 2, he lists the reason as choice “1”, “disputes are not settled,” because the respondent feels that the international police are only interested in settling the immediate situation and not solving the underlying dispute. In question 3 the respondent indicated that there is no one to appeal to if the international police are not adequately carrying out their responsibilities, and that he must just live with the situation. He also indicates that neither he, nor anyone else in his household, has had experience with the international police.

**Example 4 (G. Paralegal / Lawyer / Legal Aid NGO):** In the row dealing with “court/judges”, the respondent indicates that those services are not available in her village. In this case, write “5” in the appropriate cell and the rest of the row blank. Move to the next row (institution) and ask questions 2-3. Make sure to use code “5” for all services to which the respondent does not have access.

### *Hypothetical Disagreements*

Because most respondents will not have a direct experience of having a dispute, it is necessary to ask about hypothetical situations to discover their preferences for resolving disputes. This is the purpose of questions 4 and 5. Note that part of the section uses the same letter codes as the one above it.

<b>Codes:</b>					
National Police	A	State Prosecutor	G	No where / Nothing to	L
International Police	B	Judge	H	be done	
GNR	C	<i>Chefe de aldeia / Chefe</i>		Direct Negotiations	M
District Court	D	<i>de suco</i>	I	Sub-district/District	
Appellate Court	E	Traditional Leader /	J	Authority	N
		<i>Adat</i>			
Lawyer / Paralegal	F	Provedor's Office	K	Other	O

Read the introduction on the questionnaire. Then read the first hypothetical case (line A). Ask the respondent if where he or she would take this case (question 5) and, if decided to use the formal legal system, who would be the first person to contact (question 6). Then read the second hypothetical situation (line B), asking questions 5 and 6 and so on for each of the cases (lines). Remember the codes are taken from question 3 above.

In the example below, in the first situation, the respondent indicates that if his brother was beaten up by a group of youths from a neighboring village, that he would first approach the traditional leaders. When asked who he would engage if he were to approach the formal legal sector, he indicates the police.

In the second situation, the respondent indicates that he would approach a traditional leader first if he experiences a property dispute with another household. The respondent also indicates that he would approach the traditional leader if he wanted to engage the formal legal system. This choice is technically incorrect as traditional leaders are not part of the formal legal system, but do not correct the respondent. This question is to judge both their preferences and knowledge about the formal legal system.

	(5) Where would you take this dispute?	(6) If you decided to engage in the formal legal sector, who would be the first person you approached?
A. Your younger brother was beaten up by a group of youths from a neighboring village.	H	A
B. Your household is experiencing a property boundary dispute with another household.	H	H

## **Section 5D: Dispute Resolution**

### *Dispute Incidence*

The first four columns of the table (questions 1 through 4) ask the respondent to give very basic details about common disputes they may have experienced in the last two years. They should

only list disputes that their households have experienced directly, not those they have heard about from others. This is extremely important as it will allow for a more accurate picture of the incidence of disputes, and prevent the counting of the same dispute multiple times. Unlike earlier parts of the section, this part refers to incidences experienced by the respondent and/or any other members of his or her household. Note the reference period for this section is the last two years. For example, if the survey is being done in May, this would mean from May of 2006 through April of 2008.

**Ask all questions in column (1) before moving on to the final three columns (2)-(4) which ask further detail about property damage, injury and death. Ask questions (2)-(4) for all disputes which the respondent indicated experiencing in question (1) before moving on to questions (5)-(7), which asks the respondent to classify the disputes relative importance and provide greater detail.**

The order of the questions follows the diagram below:

COMPLETE (1) (ASKING ABOUT ALL THE PROBLEMS) BEFORE MOVING ON TO (2)-(4).		AFTER YOU HAVE FINISHED COMPLETELY WITH (1), READING ALL DISPUTES, ASK QUESTIONS (2)-(4) FOR THOSE INDICATED AS "YES" IN (1).			AFTER YOU HAVE COMPLETED (2) - (4) FOR ALL DISPUTES, ASK FOLLOWING QUESTIONS.		
	(1)	(2)	(3)	(4)	(5)	(6)	(7)
	Have you or anyone in your household experienced a dispute with [DISPUTE] in the past year? Yes 1 No 2	Did the problem result in property damage? Yes 1 No 2	Did the problem result in injury to anyone? Yes 1 No 2	Did the problem result in death? Yes 1 No 2	Which of the following disputes that you experienced have had the most impact on your household. LIST UP TO 3. USE LETTER TO DISPUTE.	Who was primary party this dispute was with? [USE CODES FROM BOTTOM OF PAGE.]	Please briefly describe this dispute in a few sentences. Include: the time of origin and a few specifics on what was in dispute.
DISPUTE							
Resource							
A. Land	1	2	3	4	5	6	7
B. Water							
C. Forestry							
D. Agricultural Production Rights							
Family							
E. Child Custody / Support	3	4	5	6	7	8	9
F. Contested Inheritance							
G. Domestic Violence							
H. Bride Price							
Financial							
I. Enforcement of Business Agreement	3	4	5	6	7	8	9
J. Repayment of Loans							
K. Physical Assault							
L. Theft							
Development Project Disputes							
M. Distribution of Aid	3	4	5	6	7	8	9
N. Access to Development Resources							
O. Compensation associated with a development project or social program							
P. Village decision made by local authority							
Government Decision Making							
Q. Decision made by sub-district or district authority	3	4	5	6	7	8	9
R. Other, specify _____							
	IF ALL "2" ► 24						
					CODES FOR DISPUTES		
					Family Member 1	Company / Plantation 4	Other, specify 7
					Other Individual 2	Village Government 5	
					Other Village 3	Provincial or National Government 6	

Also, make sure to indicate all the disputes that the household experiences. If the household does not indicate having experienced any disputes, skip to question (24).

The following offers examples of various types of disputes that could be included in each of the categories:

Question	Example
<i>Resource</i>	
A. Land	Boundaries, Ownership, Right to Use, Common Land
B. Water	Irrigation, Pollution, Diversion of Rivers/Streams, Ability to Use Pumps/Water Stands
C. Forestry	Over-cutting, Depletion of Common Resources, Restrictions on Use of Forest

D.	Agricultural Production Rights	Destruction of Crops, Fair Market Prices for Crops, Access to Markets
<i>Family</i>		
E.	Child Custody / Support	Payment for Child Support, Child Custody, Child Visitation (Note: these disputes do not necessarily have to involve two people living in the household, they could involve one person living in the household and another living outside of it.)
F.	Contested Inheritance	Contested Inheritance of Money or Property
G.	Domestic Violence	Physical, Emotional or Economic Abuse of Household Member, including Children (Note: not necessarily inflicted by someone living in household.)
H.	Bride Price	Dispute over the Setting or Payment of Bride Price
<i>Financial</i>		
I.	Enforcement of Business Agreement	Payment of Contract, Delivery of Goods
J.	Repayment of Loans	Not necessarily between an individual and a formal institution. More likely between two individuals or an individual and an informal institution or money lender.
<i>Crime / Dispute Between Individual</i>		
K.	Physical Assault	Physical Assault by Another Individual or Group
L.	Theft	Robbery or Burglary
<i>Development Project Disputes</i>		
M.	Distribution of Aid	Distribution of Aid Allocated to Region / Community by Government or Other Donor. (Dispute could be at the national level (aid does not reach village), or at the local level (aid is not distributed / not distributed equitably.)
N.	Access to Development Resources	Ability to Petition Local / Sub-District / National Government for Development Resources
O.	Compensation associated with a development project or social program	Dispute of the Provision or Payment of Project or Program (Examples of social programs include \$2 A Day, and School Feeding Program)
<i>Government Decision Making</i>		
P.	Village decision made by local authority	Any Village Authority Level Decision Not Included in the List Above
Q.	Decision made by sub-district or district authority	Any Sub-District or National Authority Level Decision Not Included in the List Above
<i>Other</i>		
R.	Other, specify	

In some cases, there may be disputes that could qualify in multiple categories. Examples could include a contested inheritance dispute involving a plot of land, or a distribution of aid dispute that relates to a decision made by a village authority. In these cases, list the dispute **only once** and under the category in which the respondent originally identifies it. Other information concerning who the dispute was with and other details should be noted clearly in questions (6) and (7).

**Examples:** The following example could occur in the first section of the chart, “problems dealing with natural resources”. In this example, the respondent has not experienced problems with forestry or agricultural production rights. He or she has, however, experienced a water

dispute with a local plantation and a land conflict with a neighbor. In the case of the land dispute, he and the neighbor got into a physical fight, and afterwards the neighbor destroyed some of his farm implements in revenge.

COMPLETE (1) (ASKING ABOUT ALL THE PROBLEMS) BEFORE MOVING ON TO (2)-(4).		AFTER YOU HAVE FINISHED COMPLETELY WITH (1), READING ALL DISPUTES, ASK QUESTIONS (2)-(4) FOR THOSE INDICATED AS "YES" IN (1).		
	(1)	(2)	(3)	(4)
DISPUTE	Have you or anyone in your household experienced a dispute with [DISPUTE] in the past year?  Yes 1 No 2	Did the problem result in property damage?  Yes 1 No 2	Did the problem result in injury to anyone?  Yes 1 No 2	Did the problem result in death?  Yes 1 No 2
<i>Resource</i>				
A. Land	1	2	1	1
B. Water	1	2	2	2
C. Forestry	2			
D. Agricultural Production Rights	2			

(5)
Which of the following disputes that you experienced have had the most impact on your household. LIST UP TO 3. USE LETTER TO DISPUTE.
(A) First: <div style="border: 1px solid black; width: 40px; height: 30px; margin: 5px auto; text-align: center; line-height: 30px;">A</div>
(B) Second: <div style="border: 1px solid black; width: 40px; height: 30px; margin: 5px auto; text-align: center; line-height: 30px;">B</div>
(C) Third: <div style="border: 1px solid black; width: 40px; height: 30px; margin: 5px auto;"></div>

**Question 5** in the table asks the respondent to indicate which of the three disputes that he experienced were the most important. This does not mean the one that occurred most frequently or the one that cost him the most money, though in many cases it may be the same dispute. It means the one that caused him the most concern. When reading this question, read the list of disputes the respondent said he had experienced in the last two years and ask him to rank the top three in importance. If he has only listed two disputes, ask him to rank those two. If he has not listed any disputes, this question is skipped. To indicate the dispute, use the letter that precedes it in the list. (Example, A for Land, B for Water, C for Forestry...)

In this example, the respondent lists the land dispute as being more important than the water dispute. Though they do in this case, the letters do not have to go in alphabetical order. The dispute that the respondent indicates as the most important must be listed first. Also, in this example, the respondent indicated experiencing only two disputes. If he had experienced only one, only the first box would be filled in. If he had experienced three or more, all three of the boxes would be completed.

**Questions 6 and 7** record more details about the two most important disputes experienced by the household. **Question 6** asks who the dispute was with (use codes from bottom of page).

CODES FOR DISPUTES		
Family Member	1	Company / Plantation
Other Individual	2	Village Government
Other Village	3	Provincial or National Government
		Other, specify
		7

**Question 7** is an open ended question that asks for greater detail. You should be sure to record the origin of the conflict. Below are a number of good examples and bad examples of dispute descriptions.

### **Good Examples**

For a dispute involving a water dispute with other individuals:

There is an on-going argument since 2005 with neighbors about using a nearby stream to irrigate crops.

For a dispute about “Compensation associated with a development project or social program” with the provincial or national government:

There should be a school feeding program at the primary school, but no food has been sent this year.

### **Bad Examples**

For a child custody/support dispute involving a family member:

It was a family problem.

For a physical assault involving another individual:

My son got hurt.

For the “Enforcement of a business agreement” involving another individual:

I was cheated.

### **Dispute Tree (Questions 8-24)**

The next block of questions is nicknamed the “dispute tree” because the responses lead to different “branches” of the tree. This section of the questionnaire has the most complicated skip codes, and you should take extra time to familiarize yourself with them before you begin.

The “dispute tree” consists of a set of 16 questions, each one relating to a different aspect of the main problem or dispute the respondent has experienced in the last two years. If the respondent indicates that he or she has not experienced any problems or disputes in the last two years, these pages are skipped and you should move directly to the next respondent.

**Question 8** asks if help was sought in resolving the dispute. We are using a very broad definition of help in this case. Any help, ranging from asking a neighbor to help mediate to contacting the police, should be marked as “1” on the questionnaire, and then skip to question 10 for more details on where the help was sought.

**Question 9** If the respondent says that he or she did not seek help this question asks for the reasons behind this decision. In some cases, more than one response would be appropriate. For example, perhaps someone would not want to take a matter to the police because the other party is very powerful. He or she would feel that there was no chance of winning and that pursuing the

matter might cause problems for his or her family. In this case, you should probe to find out which of these reasons is the most important. Would the person be willing to pursue the matter, even though he or she did not think it possible to win, if it were not also for the fact that he or she might lose his or her job, for example? Would the person be willing to risk a job if he or she thought it was possible to win the dispute?

**Question 10** asks about the first person approached to help solve this problem. This may not be the person that ultimately solved the problem, but rather the first person they approached. The main focus of this question is to determine to whom people prefer to take actual problems.

**Question 11** asks the reasons behind this choice. In this case, *you should not read the response choices to the respondent*. Instead, allow the respondent to answer freely, and choose the code that most closely matches their response.

**Questions 12 and 13** ask for more detail about the costs and time involved in the process. It is important to remember that this refers **only** to the first person that the respondent approached to address settle this dispute, not the total costs or time involved in the overall process of resolving the dispute. In terms of cost, this question includes only the administrative fees associated with resolving the dispute, not damages or compensation.

**Question 14** asks whether the first party consulted has made a decision in this case. There are five options listed:

<b>No, the matter is still pending.</b>	This response would be appropriate if the first person that the respondent consulted is still handling the case, but no decision has yet been reached and no one else has been consulted in the matter.
<b>No, this party decided not to rule on this case.</b>	This response would be appropriate if the first person or group consulted to resolve the dispute opted not to make a decision.
<b>Yes, and the matter is resolved.</b>	This response would be appropriate if the first person or group has made a decision and the matter is closed. Neither party has decided to pursue it any further.
<b>Yes, but the decision was appealed.</b>	This response is appropriate if the first person or group made a decision and one of the parties to the dispute decided to appeal the decision, or to take the disagreement to another forum.
<b>Yes, but the matter remains unresolved.</b>	This response is appropriate if the first person or group consulted made a decision, but that decision did not end the conflict surrounding the issue, even though no other parties were consulted in settling the dispute.

Also note the skip codes following each of the choices in this section.

**Question 15** should be answered if the respondent answered **question 14** with the responses “2”, “4” or “5”. It asks if the respondent consulted another person or institution after the first person consulted failed to resolve the matter.

**Question 16** simply asks if the dispute has been resolved as of this time. This does not necessarily mean that compensation has been paid to either party, or that both parties are happy with the outcome. It only means that both groups regard the matter as closed.

**Question 17** asks who was finally able to settle the dispute. This refers to the final party that was consulted. Note that if other groups were consulted between the first group (recorded in **question 10**), and the last group (to be recorded here), those intermediate steps are not covered in this survey.

**Questions 18 and 19** are similar to question 12 and 13, but this time they refer to the whole process – including the first stages. For example, if the respondent paid \$5 to the first person he or she consulted, no money to the second person, and \$3 to the last person, then the total to be written in this box would be \$8. Again, in terms of cost, this question includes only the administrative fees associated with resolving the dispute, not damages or compensation.

**Question 19:** You should include all the time that the respondent has been involved in trying to settle the dispute.

For example, consider the following timeline:

Event	Date	Number of Days
Original Incident Occurs	June 7 <sup>th</sup>	--
Respondent first approaches <i>chefe de aldeia</i>	June 15 <sup>th</sup>	8
<i>Chefe de aldeia</i> tells the respondent that he can do nothing.	June 30 <sup>th</sup>	15
Respondent approaches the police	July 8 <sup>th</sup>	8
Matter is settled	July 15 <sup>th</sup>	7

The total would be 30 days (15+8+7=30), the total amount of time that it took from the first time the respondent asks someone to help until the final decision is reached. If the respondent cannot recall the exact amount of time, ask them for their best approximation, and convert the response into days. For example, if they respond “about one week,” you should record 7 days in the box for question 19.

**Question 20** asks if the dispute has been resolved in the respondent’s favor. The possible responses are “yes”, “no” or “split decision.” The “split decision” is appropriate if the judgment gave some compensation or recognition to the validity of both claims.

**Question 21** asks if the respondent was awarded compensation (either in the form of money, goods or in-kind service.)

**Question 22** asks if the respondent has yet received the compensation that they were awarded.

**Question 23** the final question of the section, deals with the level of satisfaction that the respondent has with the process. What is important here is not whether the respondent won or lost the case, but rather how satisfied they are with the process.

**Question 24** contains directions for continuing with the interview with other members of the household.