Feed the Future

Survey Implementation

Document

Household Listing Manual

Zone of Influence Survey

[COUNTRY] [YEAR]

February 2018

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# Abbreviations

EA enumeration area

GPS Global Positioning System

PII personally identifiable information

USAID United States Agency for International Development

ZOI Zone of Influence

# 

# 1. Introduction

This manual provides detailed instructions on how to implement a critical component of USAID’s Feed the Future Zone of Influence surveys: the household listing.

The household listing is the foundation of the scientific process used to select the survey sample; the integrity of the entire survey operation rests on the production of a rigorous, accurate household listing. As such, the household listing teams play a critical role in ensuring the success of this important food security survey.

## 1.1 Purpose of the survey

Feed the Future is the U.S. government’s global food security initiative that seeks to reduce poverty, hunger, and undernutrition among women and children and to increase, resilience, income, women’s empowerment, dietary diversity, and appropriate feeding practices. Feed the Future’s programmatic efforts are concentrated in zones of influence (ZOI) in a number of countries, including [COUNTRY].

Progress in achieving Feed the Future’s objectives is tracked using information collected through representative cluster sample surveys called ZOI Surveys. These surveys are designed to provide estimates for key Feed the Future indicators related to poverty, agriculture, nutrition, hunger and resilience, with a 95 percent confidence level.

A typical schedule for implementing a ZOI Survey is shown in Figure 1; the listing operation is implemented in month six, with the main fieldwork taking place about two months later.

Figure 1: Schedule for Conducting a Zone of Influence Survey

|  | | **Feed the Future Zone of Influence Survey Tasks and Timeline** | | **MONTH** | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | | 1 | | 2 | | 3 | | 4 | | 5 | | 6 | | 7 | | 8 | | 9 | | 10 | | 11 | | 12 | | 13 | | 14 | | 15 | | 16 | | 17 | | 18 | | 19 | | 20 | |
| 1 | | Activity planning | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 2 | | Inception visit | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 3 | | Develop plan for obtaining ethical review from federalwide-certified and in-country IRB | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 4 | | Prepare the study design and accompanying implementation plan | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 5 | | Develop and issue RFP (if required) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 6 | | Prepare the sampling design | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 7 | | Coordinate with national statistical office to select PSUs | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 8 | | Prepare the analysis plan | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 9 | | Undertake country-specific customization of the core questionnaire (paper version) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 10 | | Questionnaire translation (paper version) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 11 | | Submit application for review to the IRB | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 12 | | Establish range values for purposes of implementing range checks | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 13 | | Prepare unit conversion tables | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 14 | | Subcontract to local partner organization | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 15 | | Implement questionnaire pretest | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 16 | | Material provisioning (tablets, scales, and height boards) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 17 | | Develop pretest and pilot protocols | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 18 | | Questionnaire programming (either for tablets or for data entry program) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 19 | | Preparation of manuals: | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 19a - Interviewer Manual | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 19b - Supervisor Manual | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 19c - Fieldwork Organization Manual | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 19d - GPS Manual | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 19e - Quality Control and Support Team Manual (rotating supervisory team) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 19f - Listing Manual | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 20 | | Develop field check tables | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 21 | | Prepare data structure and codebook | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 22 | | Develop and code programming specifications (tablets only) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 23 | | Prepare data cleaning plan | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 24 | | Develop data monitoring plan | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 25 | | Develop fieldwork management and monitoring plan | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 26 | | Develop interviewer training plans and supporting materials | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26a - Training plan | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26b - Agenda (facilitator and trainee versions) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26c - Attendance sheets | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26d – Quizzes | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26e - Role play exercises | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26f - Demonstration of field check tables and interpretation | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26g - Demonstration of real-time remote fieldwork monitoring (if planned) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26h - Tablet training materials (if relevant) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26i - Agriculture-specific training materials | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26j - Anthropometry training materials (if relevant) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26k - Biomarker training materials (if relevant) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26l - Supervisor training materials (incl. assignment and control sheets) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26m - Data entry staff and supervisor training plan and materials | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
|  | | 26n - IT staff training plan and materials (if relevant) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 27 | | Implement listing operation | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 28 | | Implement cleaning of listing data and selection of households (on a rolling basis) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 29 | | Ensure that IRB approval has been received | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 30 | | Implement training of trainers | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 31 | | Implement pretest (as part of training of trainers) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 32 | | Implement main training | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 33 | | Implement pilot (as part of main training) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 34 | | Implement data entry/data management pilot as part of all-systems fieldwork pilot | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 35 | | Prepare data weighting protocol | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 36 | | Implement fieldwork | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 37 | | Generate field check tables | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 38 | | Weight the data | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 39 | | Prepare protocol for rendering data suitable for public use | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 40 | | Clean the data | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 41 | | Prepare data quality assessment memo | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 42 | | Analyze the data | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 43 | | Prepare final report tables | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 44 | | Draft final report text | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 45 | | Prepare internal use data files (maintains some PII, e.g., GPS coordinates) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 46 | | Prepare public use data files (excludes PII) | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| 47 | | Enter values in Feed the Future Monitoring System | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |
| Notes: RFP – request for proposal; PSU – primary sampling unit; IRB – institutional review board; PII – personally identifiable information | | | | | | | | | | | | | | | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |  | |

\* This Gantt chart is predicated on the availability of existing core survey documentation: questionnaire, manuals, data entry program, etc. that need only be customized according to country-specific details. Addition of new questions, modules, or procedures will require considered revision and extension of the timeline represented in this chart.

## 1.2 Steps in selecting the sample for a ZOI Survey

Three main steps are involved in selecting a representative sample of households to interview for a ZOI Survey:

* Step 1: Select a representative sample of survey clusters.
* Step 2: Create an accurate, comprehensive list of all households in each cluster.
* Step 3: Randomly select households to be interviewed in each cluster.

The focus of this manual is on Step 2, the household listing procedure.

## 1.3 Confidentiality

Information obtained during the listing operation will be used to select specific households for participation in the survey. The names of responsible household members and information about the location of the household’s dwelling will be securely stored on paper forms until the end of the listing process. At the end of the listing, these forms will be provided to the [SURVEY DIRECTOR] who will be responsible for entering the data on these forms into a database. The database will be used to randomly select households to be interviewed. This information will not be used for any other purpose.

**Keep Information about Community Members Safe and Secure!**

Make sure you treat the household listing forms with great care; they contain confidential information, such as names and addresses, about community members.

* Store forms in a secure location when not in use.
* Return the forms to the central office at the end of the listing operation.

After the survey is completed, any electronically stored personal information (PII) will be erased and all of the paper forms will be destroyed. Household members’ names and addresses will not be reported, and it will not be possible for anyone to deduce the identity of respondents from the data or reports that are produced as a result of this survey.

All data collected by the household listing staff for a ZOI Survey will be completely confidential. Household listing staff should not discuss these data with anyone other than members of their listing team. Information collected during the listing—including names of household members, household locations or addresses, or any other household identification information—should not be shared with anyone else.

## 1.4 Terms you need to understand to perform the household listing

Following are brief definitions of the terms used in this manual.

*Cluster:* The *sampling cluster,* or simply *cluster*, is the smallest area unit selected for a survey. Depending on the type of sampling frame used, the cluster could take many forms. If the sampling frame is the latest population census conducted in the country, then a cluster could be an *enumeration area* as defined by the census. If the sampling frame is the roster of villages, in the case of rural areas, then the cluster could be an entire village, a segment of the village, or a group of villages. If the sampling frame includes a list of urban blocks, then the cluster could be an urban block.

*Dwelling Unit:* A *dwelling unit* is a room or group of rooms that is normally intended to be a residence for one household, for example a thatched hut, a cement block house, an apartment, or a group of rooms in a house. Dwelling units can exist within, over, or under a structure that appears to be non-residential. It is possible for more than one household to reside in a dwelling unit.

*Enumeration Area:* An *enumeration area* (EA) is a geographical statistical unit created for a census by the national government. In urban areas, an EA can be comprised of one or more city blocks. In rural areas, an EA can be a village, part of a village, or several small villages. Note that there can be more than one sampling cluster in an EA.

*Household:* A *household* consists of adults and children that live together in the same dwelling unit. They can be related or unrelated, but they should—

* Acknowledge the same person or persons as lead decisionmakers for the household,
* Share the same housekeeping and cooking arrangements, and
* Share the same contiguous roof.

Note that you may find more than one household in a dwelling unit. If you find there is a person or persons residing in a dwelling unit with separate eating arrangements from other residents of the same dwelling unit, you should list them as separate households.

In some cases, you may find a group of people living together in the same house, but each person has separate eating arrangements (for example, a group of migrant workers who share a dwelling unit); they should be counted as separate one-person households. However, dwellings intentionally designed to shelter unrelated groups of people, such as army camps, school dormitories, refugee camps, or prisons will not be considered households for this survey.

*Map, Base:* A *base map* is a map that shows the geographical location and boundaries of an EA.

*Map, Location:* A *location map* is a map that provides a more detailed view of a cluster. This map shows roads and landmarks located within the cluster. It may also include important roads and landmarks in neighboring areas.

*Map, Sketch:* A *sketch map* is a map that is created by the Cartographers using the location map, as defined earlier. Each structure in the cluster is marked on the sketch map. The Cartographer should also indicate physical features and landmarks that are not on the location map, including mountains, rivers, roads, and electrical poles. Sketching these structures and landmarks on the sketch map helps the survey teams to locate selected dwelling units when they come to conduct interviews.

*Responsible Household Member:* This is a person who is deemed by the listing team to be mature enough to respond to basic questions about the household and its members. This person should be at least 15 years old. There can be more than one responsible household member in a household.

*Structure:* A *structure* is a free-standing residential or non-residential building. Examples of a non-residential building include a shop, a school, or a factory. Residential structures can have one dwelling unit, such as a concrete block house, or multiple dwelling units, such as an apartment building. Note that some structures can be used for both residential and non-residential purposes, such as an apartment building with shops on the first floor and dwelling units above.

## 1.5 Overview of household listing staff and responsibilities

Performing a household listing operation requires the listing team to—

* Visit every sampling cluster that was selected for the survey;
* Make a map of each cluster, including all structures and landmarks within the cluster; and
* List all structures in each cluster, all dwelling units in each structure, and all households within each dwelling unit.

To accomplish this work, listing teams will be comprised of 3 members: a Cartographer, who is responsible for completing the location and sketch maps, a Lister, who will complete the household listing form, and a Listing Coordinator, who will have overall responsibility for the correct completion of the listing in each cluster. The responsibilities of these three listing staff members are as follows:

*Listing Coordinator:* Listing Coordinators serve as the primary link between the home office and the listing teams. They are responsible for the listing operation in their assigned region (see Appendix B.7). As such, Listing Coordinators are responsible for ensuring both the progress of the listing operation and the quality of the household listings.

Listing Coordinators are responsible for—

* Preparing for listing, including providing logistical support for the team;
* Obtaining and copying the base and location maps for all the clusters selected for the survey;
* Ensuring that copies of all listing materials (listing manuals, mapping forms, and listing forms) are made in sufficient quantities to perform the household listing in all selected clusters;
* Assigning clusters to the household listing teams;
* Tracking submission of completed listing forms at the central office;
* Confirming that the completed household listings are of high quality; and
* Validating or relisting clusters to ensure accuracy.

All Listing Coordinators must have a complete and in-depth understanding of the listing process. Their ultimate responsibility is to ensure that the maps and listing forms are complete and accurate.

*Cartographer and Lister:* The Cartographer is the person who creates the maps; the Lister lists all structures in the cluster. They work together in each cluster, beginning by identifying the cluster boundaries. First, the Cartographer prepares an updated detailed location map. Next, the Cartographer prepares a detailed sketch map. At the same time, the Lister begins to systematically list all of the structures in the cluster on the Listing Form. The sketch map and the household listing form must be prepared simultaneously and the numbers of structures on the sketch map and on the Listing Form must match.

The Cartographer and Lister are responsible for communicating with the Listing Coordinator about their progress and about any problems they encounter in the field. They are also responsible for securely transferring the completed listing forms to the Listing Coordinator.

**Responsibilities of the Cartographer and Lister**

The responsibilities of the Cartographer and Lister are to—

(1) Identify the boundaries of the cluster.

(2) Draw a location map showing the location of the cluster.

(3) Draw a detailed sketch map of the cluster showing the locations of all structures.

(4) List all the households in the cluster systematically.

(5) Communicate to the Listing Coordinator problems encountered in the field.

(6) Transfer the completed listing forms to the Listing Coordinator or to the central office.

## 1.6 Supplies needed to complete the household listing operation

Each listing team will need the following supplies:

* Household Listing Manual (one for each team member)
* A notebook for recording progress or problems
* Pencils and erasers
* Base and location maps of the selected clusters (one base map and one location map for each cluster that the team has been assigned to list)
* Household listing forms in sufficient quantity to complete the work in all assigned clusters:
  + LIST/1 Listing Summary Form
  + LIST/2 Cluster Location Form
  + LIST/3 Cluster Sketch Map Form
  + LIST/4 Household Listing Form
  + LIST/5 Cluster Characteristics Form
  + LIST/6 Cluster Segmentation Form
* Letters of introduction
* Clipboards, briefcases, backpacks, notebooks
* Paper clips, staplers and staples, tape
* Waterproof containers and envelopes to store paperwork and completed listing forms
* First aid kit
* Cell phone with SIM card and charger

# 2. Household listing procedures

The household listing operation requires several steps: preparing for going to the field, locating each cluster, preparing the location and sketch maps for each cluster, listing all of the structures found in each cluster, and transferring completed listing forms to the central office. A description of these steps follows.

## 2.1 Preparation

Preparing for fieldwork requires that the Listing Coordinator—

* Obtain preliminary base and location maps from the Fieldwork Director for each area where his or her team will be working;
* Become familiar with the area where the team will be working and determine the best arrangements for travel and accommodations;
* Contact local authorities to inform them about the listing activity and the upcoming survey, and to gain their support and cooperation;
* Obtain all supplies and equipment necessary for the team to complete its assigned work;
* Obtain all monetary advances to cover expenses for the team; funds should be distributed according to the procedures established by the Fieldwork Director, if these have not been included in the per diem that is given directly to the listing team;
* Obtain letters of introduction to be given to local, district, and regional officials providing sufficient authority to conduct the listing; and
* Arrange for telephone and email communications before leaving for the field. Daily contact by phone is required for support and supervision of the team by central office staff.

Careful preparation by the Listing Coordinator is essential to support the work of the listing team and to ensure contact with the central office throughout the listing period.

The Listing Coordinator is also responsible for keeping track of the progress in all of the assigned clusters using the LIST/1 Listing Summary Form (see Appendix B.1). This document may be requested at some point by senior survey management to ensure quality control, but is mainly used to help the Listing Coordinator monitor the listing progress.

## 2.2 Locating the cluster correctly

The Listing Coordinator will provide the listing team with a base map showing the cluster. The cluster is identified by a code, such as cluster code 002. When the team arrives, members will use the base map to identify all of the boundaries of the cluster. In most clusters, the boundaries follow easily recognizable natural features, such as streams or lakes, and constructed features, such as roads or railroads.

Some boundaries, however, may not be readily identifiable, especially in rural areas. In that case, the team should seek assistance from local authorities to identify the boundaries. Locating and determining these boundaries calls for some ingenuity, particularly in rural areas. The following procedure is suggested:

1. Identify on the map the road that is used to reach the cluster. When a listing team reaches what appears to be the cluster boundary, this should be verified by checking the location of actual roads, terrain features, and landmarks against the location on the map. Boundaries can be streets, alleys, streams, power cables, walls, and rows of trees.
2. Do not depend on one single feature to identify the cluster; rather, use as many as possible. You can also check the general shape of the cluster and sometimes there will be a written description of cluster. It is important to locate all of the cluster boundaries before you begin listing. For example, if the cluster is a rectangular block, the names of three boundary streets is not enough to unequivocally identify the cluster; check all four boundary streets.
3. It is usually possible to locate unnamed roads or imaginary lines by asking people living in the vicinity. In most cases, these people will know where the villages are and, by locating the villages, you can usually determine where the boundaries run. Local authorities may be helpful, as well as residents.
4. While there are cases in which boundaries shown on the map no longer exist (for example, they have been demolished), or have changed location (for example, a road has been relocated or a river has changed course), do not be hasty in concluding the cluster can no longer be identified. If you cannot identify all the boundaries of a cluster, discuss this with the Listing Coordinator or the Fieldwork Director before going on to the next cluster.

Before doing the listing, the team should tour the cluster to determine an efficient travel route for listing all the structures. If the cluster is very large—greater than 300 households—the cluster will need to be segmented (see Appendix A).

## 2.3 Segmentation of large clusters

Clusters with a very large population size or numbers of households must be subdivided into several small segments, only one of which will be included in the survey. In this case, the cluster corresponds to a segment of the originally selected cluster. The specific clusters that need segmenting will generally be communicated in advance to the listing teams, as well as the number of segments to be made in each large cluster. Generally, if a cluster has more than 300 dwelling units, it will need to be segmented.

If you unexpectedly encounter a cluster with more than 300 dwelling units, inform your Listing Coordinator. He or she will confirm with the home office that segmentation is required. You will then follow the instructions on cluster segmentation provided in Appendix A.

## 2.4 Preparing the location and sketch maps

This section discusses the steps the Cartographer needs to take to prepare the location and sketch maps.

The Cartographer should create a **location map** on the LIST/2 Cluster Location Form (see Appendix B.2). A location map shows the relative location of landmarks, public buildings such as schools, places of worship, and markets in and around the cluster, and main roads leading to the cluster, to help the interviewer teams re-locate the cluster during the main fieldwork (see Figure 2, sample location map). At the top of the Cluster Location Form, the Cartographer will fill in the identification box for the cluster. All the information needed for filling in the identification box will be provided by the Listing Coordinator. In the space provided, the Cartographer will draw a map showing the location of the cluster and include instructions on how to get to the cluster. The Cartographer will include all useful information to help find the cluster and its boundaries directly on the map and in the space reserved for observations. The map uses standard symbols to represent various types of structures and landmarks, as shown in Figure 3.

Next, the Cartographer will draw a **sketch map** of all structures found in the cluster on the LIST/3 Cluster Sketch Map Form (see Appendix B.3). Unlike the location map, which shows only the structures most useful in identifying the cluster’s boundaries, the sketch map shows all structures in the cluster, including vacant structures and structures under construction. Each structure should be numbered. An example of a cluster sketch map is shown in Figure 4.

It is important for the Cartographer and the Lister to work together and coordinate their activities because the structure numbers that the Cartographer indicates on the sketch map must correspond to the serial numbers assigned by the Lister on the listing form for the same structures.

Figure 2: Example of a Completed (List/2) Cluster Location Form

LIST/2: FEED THE FUTURE ZONE OF INFLUENCE SURVEY CLUSTER LOCATION FORM

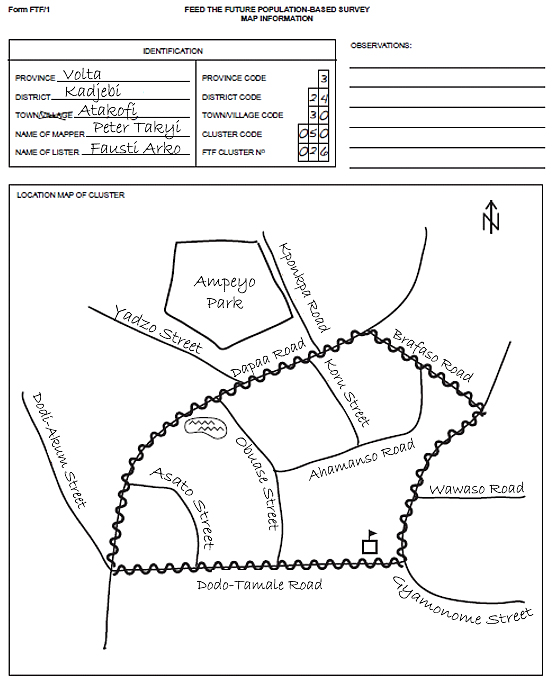
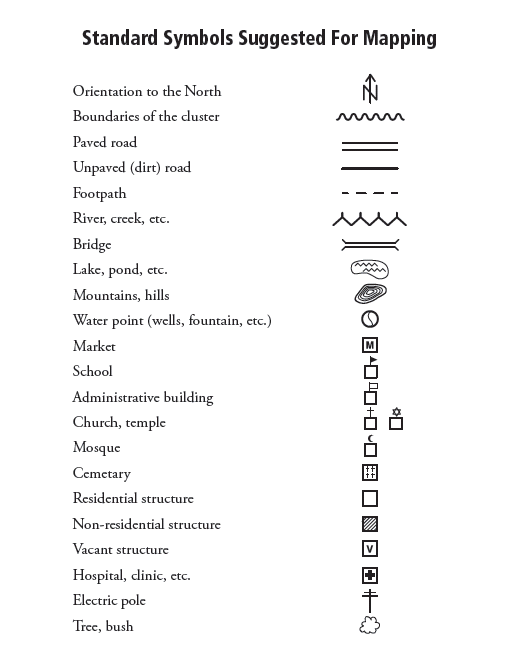


Figure 3: Suggested Symbols for Mapping



The mapping of the cluster and the listing of the households should be done in a systematic manner to avoid missing any households or creating duplicate listings.

If a cluster consists of a number of blocks, then the team should finish each block before going to the adjacent one. In each block, start at one corner of the block and move clockwise around the block.

In rural areas, where structures are frequently found in small groups, the team should work in one group of structures at a time, starting at the center of each group of structures (choosing any landmark, such as a school, to be the center), and moving around the landmark clockwise.

On the sketch map, the Cartographer should mark the starting point with a large X. For each structure observed, the Cartographer will draw a small square on the map to represent its location. Beginning at the starting point marked by the X, the Cartographer will number all structures in sequential order beginning with "1."

When there is a break in the continuity of the structures, such as when moving from one block to another, use an arrow to indicate how the numbers proceed from one set of structures to another. See the use of arrows in Figure 4 for examples on how to do this.

Although it may be difficult to pinpoint the exact location of a structure on the map, even an approximate location is useful for finding the structure in the future. The Cartographer will include on the sketch map all landmarks such as a park, public buildings such as a school or community center, and streets or roads. It is important to include all non-residential structures on the map, such as a place of worship or a blacksmith workshop, and to distinguish them from residential structures by using the appropriate symbols.

The Cartographer may wish to add landmarks that are just outside the cluster boundaries if they could help locate structures inside the cluster.

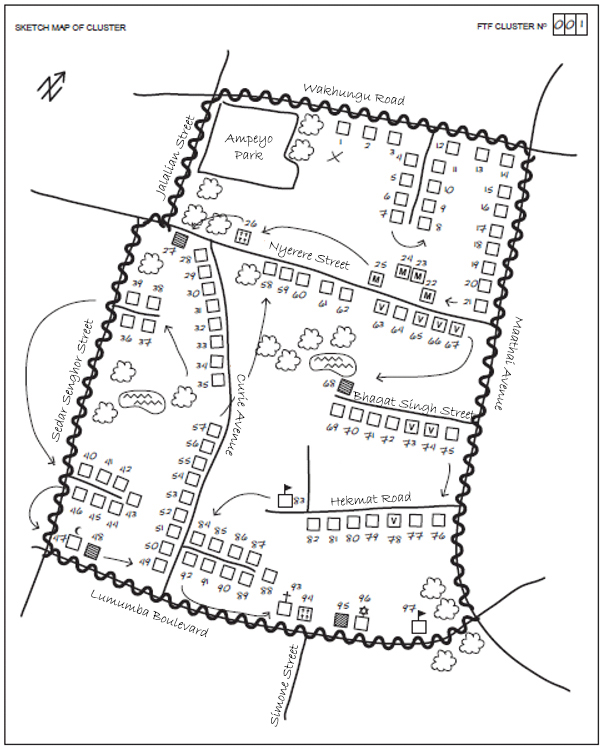
**Checklist: Mapping Structures on the Sketch Map**

* Mark your starting point with a large X.
* For each structure observed, draw a small square to represent its location.
* Beginning at the starting point marked by the X, number each structure in sequential order, beginning with "1."
* Use arrows to indicate how the numbers proceed from one set of structures to another when there is a break in the continuity of the structures on the map.
* Make sure all landmarks, public buildings, non-residential structures, and roads are represented on the map.
* Identify and record the use of all non-residential structures in the cluster.

Figure 4: Example of a Completed (List/3) Cluster Sketch Map Form

LIST/3: FEED THE FUTURE ZONE OF INFLUENCE SURVEY CLUSTER SKETCH MAP FORM

Cluster 026



### Listing apartment buildings and multi-unit structures

For multi-unit buildings—structures that contain more than one dwelling unit—the Cartographer should sketch the layout of the apartments on a separate piece of paper. For example, if the structure is one level, the Cartographer should sketch the location of each apartment on one sheet of paper. If a structure has multiple floors, the Cartographer should draw sketches for each floor, indicating the dwelling units on that floor.

In addition to numbering the multi-unit structure, each dwelling unit within the multi-unit structure must be numbered. Use the following standard numbering scheme to number the dwelling units in the multi-unit structure:

* Right to left, in relation to the main entrance, and
* If more than one floor, bottom to top.

Keep in mind that, especially in urban areas, individual dwelling units may contain more than one household. If multiple households are found within a single dwelling unit, then each of the households will need to be assigned a serial number.

The Cartographer should attach these apartment sketches to the other maps and listing sheets.

### Listing compounds

A household consists of all people, including adults and children, who live together under the same roof, share cooking or housekeeping arrangements, and recognize the same lead decisionmakers in the household.

The listing team may encounter a situation where family members live in distinct huts within a compound. In this case, each hut within the compound should be listed as a separate household because the huts have separate roofs. Each hut needs to be drawn on the map and numbered as an independent structure.

### Using shape files and satellite imagery

For some countries, listing teams will receive shape files for the sampled clusters. Boundaries will be based on the GPS coordinates for these shape files. Where feasible, we plan to overlay satellite images based on these coordinates, so that the listing team can see a map showing the structures that are in the cluster. In this situation, the listing team may be able to save some time and improve the accuracy of its work. Instead of drawing sketches for all of the structures, the team can number the images of the structures shown on the satellite map.

If teams are working with a satellite image-based map, the listing team should follow the same general listing procedures described in this manual. Specifically, the team will need to verify each structure and record dwelling units and households on its listing sheet.

In addition, satellite maps may not be current photographs—they may show a snapshot view made several months ago; therefore, some structures could be missing, and the listing team will need to draw it in on the map. There may also be structures that have been recently demolished. In that situation, the listing team should mark the structure with big X.

In addition, if the listing team encounters a multi-unit structure, the Cartographer will still need to draw the layout of the apartments within the structure on a separate piece of paper, as described earlier.

## 2.5 Listing the households

The Lister will use the LIST/4 Household Listing Form (see Appendix B.4) to record all structures, dwelling units, and households found in the cluster. The Lister will begin by entering the identification codes of the cluster on the form, and then complete the rest of the form following these instructions:

* **Column (1)** **Serial number of structure:** For each structure, record the same serial number that the Cartographer entered on the sketch map. If the structure is an apartment building or a block of flats, assign one serial number to the entire structure because only one square with one number appears on the sketch map, and complete columns 1–7 for each apartment and dwelling unit individually. Each apartment should have its own address, which is the apartment number/or description of the apartment’s location. Do not forget to list vacant structures and structures under construction, as well as structures where the household members refuse to cooperate, or where household members are not at home at the time of the listing.
* **Column (2)** **Residence Y/N:** Indicate whether the structure is used for residential purposes, such as eating and sleeping, by writing Y for "Yes" or, in cases where a structure is used *only* for commercial or other purposes, by writing N for "No." Structures used for both residential and non-residential purposes, such as a combination of store and home, should be classified as residential (mark Y in column 2). Make sure to list any dwelling unit found in a non-residential structure, such as a security guard living inside a factory. If the structure is not residential, record N in column 2 and leave columns 4, 5, and 6 blank. In column 7, Observations, describe the current use of the structure, such as a school or business.
* **Column (3)** **Address or description of structure/dwelling unit:** Record the street address of the structure/dwelling unit, if available. Where structures do not have visible street addresses, give a description of the structure/dwelling unit and any details that can help the survey team locate it, such as “in front of the school” or “next to the store.” As mentioned earlier, if the structure is non-residential, leave columns 4, 5, and 6 blank, but add notes in column 7 on the type of non-residential construction.
* **Column (4)** **Serial number of dwelling unit:** For each dwelling unit, record the serial number assigned to each dwelling unit found in the structure. Note that there can be more than one dwelling unit in a structure, such as an apartment building. The first dwelling unit in the structure will always have number "1." lf there is a second dwelling unit in the structure, then the second dwelling unit should be recorded on the next line. If there is a second dwelling unit in the structure, a "2" should be recorded in column 2.
* **Column (5)** **Name of responsible adult:** You will try to obtain the name of a responsible adult in the household for any residences (where the answer in column 2 is “Yes”). The Lister needs to ask someone in the household: “Please tell me the name of a responsible adult in this household.” If no one is home at the dwelling unit, you can try to obtain this information by asking a neighbor. Remember that there can be more than one household in a dwelling unit. Each household should have a separate line on the listing sheet. If the dwelling unit is known to be vacant, write “vacant” in this column. If you are unable to determine the name of a responsible adult for the household, write “unknown” in column 5.
* **Column (6) Serial number of household in the dwelling unit:** This is the serial number assigned to each household found in the dwelling unit; there can be more than one household in a dwelling unit. This should include the sequential number of all individual households that were found in the dwelling unit. Multiple households found within the same dwelling unit must be numbered separately. If more than one household resides at the same address, such as within the same apartment or dwelling unit, each household must be listed separately in columns 1–6, with additional notes in column 7 to help clarify the status and location of the different households, as needed. The first household in the dwelling unit will always have number “1.” lf there is a second household in the dwelling unit, then this household should be recorded on the next line, a “2” should be recorded in column 6, and it should be noted in column 7.

[Are there any unusual household structures in the country? Advise on any situation that may pose difficulties in determining status for listing.]

To determine if multiple households are living in a dwelling unit, the Lister needs to talk to someone in the dwelling and ask the following questions, found on the bottom of LIST/4 Household Listing Form (see Appendix B.4):

1. Ask: “How many families live here?”

If more than one family is living in the dwelling unit, it is possible that more than one household is living in the dwelling unit.

Note that a single person who is living in the dwelling with the family, but who does not share cooking arrangements and does not recognize a common authority for household decisionmaking, should be considered a separate family or household, even though it is only one person.

1. If you find:
   1. There is only one family, you do not need to ask any further questions about other households residing in the dwelling.
   2. There is more than one family, then you should ask the following questions:
      1. “Do the two families acknowledge the same person or persons as lead decisionmakers for the household?”
      2. “Do the two families share the same housekeeping and cooking arrangements?”
      3. “Do the two families share the same contiguous roof?”

If the answer to any of these questions (i-iii) is “No,” then list the other family or families as separate households residing in the same dwelling. Add the name of a responsible adult in column 5 for that family. Also, note in column 7, Notes/Observations, that there are two households in the dwelling unit.

* **Column (7) Notes/Observations:** This space is provided for any special remarks that might help the interviewing team locate the structure or identify the household during the main survey fieldwork. It is particularly important to include a note if more than one household lives in a dwelling unit. For non-residential structures, this column can be used to describe the use of the structure, such as store or school.

The listing team should be careful to locate hidden structures and dwelling units. In some areas, structures have been built so haphazardly that they can easily be missed. If there is a pathway leading from the listed structure, check to see if the pathway goes to another structure. People living in the area may help in identifying the hidden structures.

An example of a completed LIST/4 Household Listing Form is shown in Figure 5. Instructions on which columns to complete for residences and non-residences, discussed earlier, are included at the top of the form.

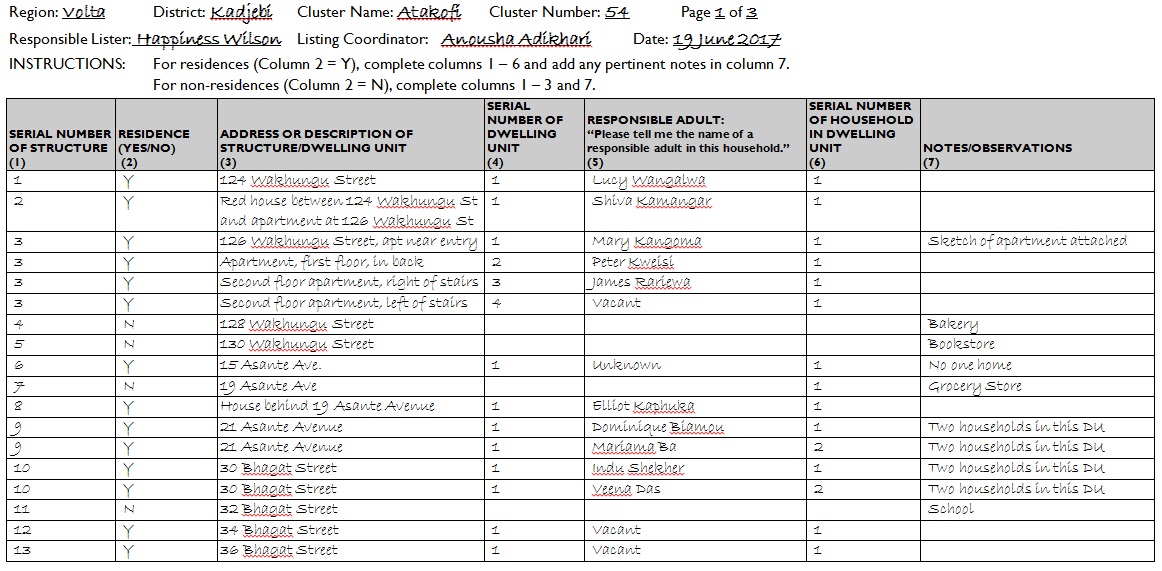
Every cluster must have its own comprehensive set of listing forms (LIST/1–LIST/7; see Appendix B). When these are completed, they should be assembled by the Listing Coordinator to ensure that the entire cluster has been included and that there are no duplications. The listings on the Household Listing Forms should be carefully compared to the sketch map to ensure that every structure on the sketch map is listed on a household listing form and that every structure on the household listing form can be located on the sketch map.

Remember that later, each of the selected households will be visited and members will be asked to participate in the survey. To ensure that the survey produces representative, unbiased data, *it is extremely important that every household in selected clusters is included in this household listing*.

**To ensure that the survey produces representative and unbiased data, it is extremely important that every household in each selected cluster is included in this household listing.**

Figure 5: Example of a Completed Household Listing Form

**(LIST/4) HOUSEHOLD LISTING FORM, Feed the Future Zone of Influence Survey - COUNTRY NAME, YEAR**



## 2.6 Recording cluster characteristics

The listing team should record the characteristics of each cluster on the LIST/5 Cluster Characteristics Form (Appendix B.5). This includes (1) the languages spoken in the cluster, (2) whether cell phone service is available and, if so, the name of the service providers that have coverage in the area, (3) whether the Internet is available and, if so, where it can be accessed, and (4) about how long it takes for farmers to walk to their plots. This information is very useful during the interviewing phase of the study.

# 3. Quality control

Before leaving any cluster, the listing team should check to be sure that it has listed all the households or dwellings on the LIST/3 Cluster Sketch Map Form and on the LIST/4 Household Listing Form for that cluster. Compare the information recorded on the household listing form to the sketch map to be sure the structure numbers are the same on both. Enter the summary information—the number of dwelling units and the number of households—from the LIST/4 Household Listing Form onto the LIST/1 Listing Summary Form before leaving the cluster.

You will provide your maps and listing form to your the Listing Coordinator, who will then review the quality of your work.

**Reviewing quality of maps.** The Listing Coordinator will carefully review the sketch maps to ensure that every structure can be located. Field teams that conduct the survey will need to find dwelling units based on these maps, so the Listing Coordinator will assess how easily the map can be read to identify structures.

**Ensuring consistency between maps and listing.** The Listing Coordinator will compare the sketch map to the listing to ensure that all structures in the entire cluster have been included on the listing, that there are no duplications, and that structure numbers are the same on the map and the listing form.

**Reviewing quality of listing.** The Listing Coordinator will perform a quality check of the listing. The Listing Coordinator will randomly select 10 percent of the structures in each cluster and list those structures himself or herself. The Listing Coordinator will compare what is listed on the listing form with what he or she finds when visiting a selected structure.

The Listing Coordinator will perform these quality control checks before the team has left the cluster. If errors are found because the listing team did not follow the proper protocol, the whole cluster will be relisted. If any errors are found that are specific to one or two households, such as incorrectly entering the name of a responsible adult in a household, corrections will be made on the household listing form, and no relisting will be necessary.

# 4. Community outreach

The work of the listing team will also serve to introduce the Feed the Future survey to the communities selected for participation. While working in each cluster, the listing team should talk to community members and help them become familiar with the survey, which, in turn, will help ensure that the community is ready to receive the interviewing teams when they arrive to perform the interviews with selected households.

Before the listing operation begins, the Listing Coordinator will contact the regional, district, local, and village officials to obtain their agreement to the listing being done in their area. Tact and sensitivity in explaining the purpose of the survey to the community during the listing operation will help win the cooperation needed to carry out the interviews when fieldwork begins.

The listing teams will be provided with literature in the form of [LEAFLETS, POSTERS, BROCHURES] describing the survey objectives and informing the community that interviewers will be visiting the area in the coming weeks. Ask local officials for permission to display or distribute these documents, and seek suggestions for the best locations to put them.

# Appendix A: Segmenting large clusters

Census enumeration areas (EAs), as defined and delineated by the national statistical office of the country in which the survey is taking place, are typically roughly uniform in size to facilitate equal census enumerator workloads. This is one of the great advantages of adopting EAs as first-stage sampling units. Despite this, sometimes there is rapid change (growth or reduction) in the size of some EAs’ populations between the time of the last census and the time of the survey, as ascertained by the listing operation. If a sampled EA has grown too large by the time of the listing operation, field teams need to divide the EA and subsample one part of it, a process called “segmentation.”

A rapid count of the number of households in a sampled EA on the first pass of listing should give a sense of how large the EA is. Segmentation should only take place for those EAs that are deemed so large that the listing fieldwork becomes unwieldy. While there is no exact rule to determine when an EA should be segmented, for Feed the Future ZOI Surveys, EAs that exceed 300 households in size need to be segmented. It is, however, critically important that the EA is divided into segments of roughly equal size. If an EA is divided into segments of differing sizes, self-weighting will be destroyed (under simple random sampling [SRS]), whereas equal size segmentation helps preserve self-weighting.

For ease of operation, an EA would only need to be segmented into two segments, with an ideal segment size of 150–200 households in each segment. Dividing an EA into a large number of segments—more than three—should be avoided, unless necessary, to minimize errors.

If it is determined that an EA should be segmented, it should be divided as many times as needed so that each segment is 1) comprised of less than 300 households, and 2) is roughly equal in terms of number of households. Each segment should be formed in such a way that they are as compact as possible and so that they contain households that are contiguous to one another. Then, one segment from among all the segments within the EA should be selected using the procedure described here.

**Segmentation corrects for inaccurate sampling frames for small areas.**

Although the ideal would be to have segments of approximately equal size, it is also important to adopt segment boundaries that are easily identifiable. Therefore, on the first tour of the cluster:

* Draw a location map of the entire cluster.
* Using identifiable boundaries such as roads, streams, and electric power lines, divide the EA into the designated number of roughly equal-sized segments.
* On the EA location map, show clearly the boundaries of the segments created.
* Number the segments sequentially.
* Estimate the relative size of each segment: quickly count the number of dwellings in each segment, add up the total number of dwellings in the EA, and calculate the proportion of the dwellings in the whole EA that are located in each segment.

Example: A cluster of 620 dwellings has been divided into three segments:

Segment 1: 220 dwellings, or 220/620 = 35 percent

Segment 2: 190 dwellings, or 190/620 = 31 percent

Segment 3: 210 dwellings, or 210/620 = 34 percent

Total: 620 dwellings, or 620/620 = 100 percent

On Form LIST/6 Cluster Segmentation Form (see Figure A.1, Example of a Completed Segmentation Form) write the size (number and percent) of the segments in the appropriate columns and calculate the cumulative size of all of the segments in a percentage. The cumulative size of the last segment on the list must be equal to 100.

Table A.1: Example of Cluster Segmentation

|  |  |  |  |
| --- | --- | --- | --- |
| **Segment number** | **Number of dwellings** | **Percent** | **Cumulative percent** |
| 1 | 220 | 35 | 35 |
| 2 | 190 | 31 | 66 |
| 3 | 210 | 34 | 100 |

For each large EA to be segmented, a random number between 0 and 100 will be selected in the central office and included in the file. Compare this random number with the cumulative size. Select the first segment for which the cumulative size is greater than or equal to the random number:

Random number: 67

Segment selected: Segment number 3

Proceed with the household listing operation in segment number 3, as described earlier. Draw a detailed sketch map of the selected segment and list all the households found in the selected segment.

Figure A.1: Example of Completed Segmentation Form

**List/6: Feed the Future Zone of Influence Survey Cluster Segmentation Form**

|  |  |
| --- | --- |
| ***Identification Label*** | ***Code*** |
| Region: Koulikoro | 0  4 |
| District: Diola | 0  2 |
| Cluster Name: Diongaga | 0  2  3 |
| Name of Mapper: Wolde Conte | 0  1 |
| Name of Lister: Andre Luena | 0  2 |

|  |  |
| --- | --- |
| Number of segment: | 0  3 |

|  |  |  |  |
| --- | --- | --- | --- |
| **Segment number** | **Number of households** | **Percent** | **Cumulative percent** |
| 1 | 220 | 35% | 35% |
| 2 | 190 | 31% | 66% |
| 3 | 210 | 34% | 100% |
| 4 |  |  |  |

Random number: 067

Segment selected: 03

# Appendix B: Blank listing forms

## B.1 LIST/1 listing summary form

**Listing Summary Form, Feed the Future Zone of Influence Survey - [COUNTRY NAME] [YEAR]**

Listing Coordinator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Page \_\_\_\_\_ of \_\_\_\_\_\_

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Cluster**  **Name** | **Cluster Number** | **Start Date** | **End Date** | **Number of Dwelling Units** | **Number of Households** | **Comments** |
|  |  |  |  |  |  |  |
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## B.2 LIST/2 cluster location form

**LIST/2: Feed the Future Zone of Influence Survey Cluster Location Form**

|  |  |  |  |
| --- | --- | --- | --- |
| **IDENTIFICATION** | |  | OBSERVATIONS: |
| PROVINCE \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | PROVINCE CODE |  |  |
| DISTRICT \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | DISTRICT CODE |  |  |
| TOWN/VILLAGE \_\_\_\_\_\_\_\_\_\_\_\_\_ | TOWN/VILLAGE CODE |  |  |
| NAME OF MAPPER \_\_\_\_\_\_\_\_\_\_\_ | CLUSTER CODE |  |  |
| NAME OF LISTER \_\_\_\_\_\_\_\_\_\_\_\_\_ | FTF CLUSTER NO |  |  |

LOCATION MAP OF CLUSTER

## B.3 LIST/3 cluster sketch map form

**LIST/3 Feed the Future Zone of Influence Survey Cluster Map Form**

CLUSTER

## B.4 LIST/4 household listing form

**LIST/4** **Household Listing Form, Feed the Future Zone of Influence Survey: COUNTRY NAME, YEAR** (front)

Region: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ District: \_\_\_\_\_\_\_\_\_\_\_ Cluster Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Cluster Number: \_\_\_\_\_\_\_\_\_\_\_\_ Page \_\_\_\_ of\_\_\_\_\_

Responsible Lister: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Listing Coordinator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

INSTRUCTIONS: For residences (column 2 = Y), complete columns 1–6 and add any pertinent notes in column 7.

For non-residences (column 2 = N), complete columns 1–3 and 7.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **SERIAL NUMBER OF STRUCTURE**  **(1)** | **RESIDENCE (YES/NO)**  **(2)** | **ADDRESS OR DESCRIPTION OF STRUCTURE/DWELLING UNIT**  **(3)** | **SERIAL NUMBER OF DWELLING UNIT**  **(4)** | **RESPONSIBLE ADULT:**  **“Please tell me the name of a responsible adult in this household.”**  **(5)** | **SERIAL NUMBER OF HOUSEHOLD IN DWELLING UNIT**  **(6)** | **NOTES/OBSERVATIONS**  **(7)** |
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**LIST/4** **Household Listing Form, Feed the Future Zone of Influence Survey: COUNTRY NAME, YEAR** (back)

IN ADDITION TO ASKING FOR THE NAME OF A RESPONSIBLE ADULT, YOU NEED TO FIND OUT IF THERE ARE MULTIPLE HOUSEHOLDS WITHIN EACH DWELLING UNIT, AND RECORD THE ANSWER IN COLUMN 6 AND NOTED IN COLUMN 7. ASK THE FOLLOWING QUESTIONS TO DETERMINE IF THERE IS MORE THAN ONE HOUSEHOLD IN THE DWELLING UNIT:

1. Ask: “How many families live here?”

If there is more than one family living in the dwelling unit, it is possible that there is more than one household living in the dwelling unit.

Note that a single person who is living in the dwelling with the family, but who does not share cooking arrangements and does not recognize a common authority for household decisionmaking, should be considered a separate family or household, even though it is only one person.

1. If you find:
   1. There is only one family, you do not need to ask any further questions about other households residing in the dwelling.
   2. There is more than one family, then you should ask the following questions:
      1. “Do the two families acknowledge the same person or persons as lead decisionmakers for the household?”
      2. “Do the two families share the same housekeeping and cooking arrangements?”
      3. “Do the two families share the same contiguous roof?”

**If the answer to any of these questions (i-iii) is No, then list the other family or families as separate households residing in the same dwelling.**

## B.5 LIST/5 cluster characteristics form

**LIST/5 Cluster Characteristics Form, Feed the Future Zone of Influence Survey: COUNTRY NAME, YEAR**

Region: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ District: \_\_\_\_\_\_\_\_\_\_\_\_\_\_ Cluster Name: \_\_\_\_\_\_\_\_\_­­\_\_\_\_ Cluster Number:

Listing Coordinator: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Q1.**  What are the main languages spoken in this cluster? | Language 1:  \_\_\_\_\_\_\_\_\_\_\_\_ | Language 2:  \_\_\_\_\_\_\_\_\_\_\_\_ | Language 3:  \_\_\_\_\_\_\_\_\_\_\_\_ | Language 4:  \_\_\_\_\_\_\_\_\_\_\_­\_ | Language 5:  \_\_\_\_\_\_\_\_\_\_\_\_ | Language 6:  \_\_\_\_\_\_\_\_\_\_\_\_ |
| **Q2.**  Is cell phone service available in this cluster?  CIRCLE ONE:  YES 🡪 GO TO Q2a  NO 🡪 GO TO Q3 | **Q2a.**  If YES, who are the service providers?  (WRITE PROVIDER NAMES IN COLUMNS TO THE RIGHT) | Provider 1:  \_\_\_\_\_\_\_\_\_\_\_\_ | Provider 2:  \_\_\_\_\_\_\_\_\_\_\_\_ | Provider 3:  \_\_\_\_\_\_\_\_\_\_\_\_ | Provider 4:  \_\_\_\_\_\_\_\_\_\_\_\_ | Provider 5:  \_\_\_\_\_\_\_\_\_\_\_\_ |
| **Q3.**  Is Internet or Wi-Fi service available in this cluster?  CIRCLE ONE:  YES 🡪 GO TO Q3a  NO 🡪 END | **Q3a.**  If YES, where is it available?  (WRITE ACCESS POINT LOCATION NAMES IN COLUMNS TO THE RIGHT) | Access point1:  \_\_\_\_\_\_\_\_\_\_\_\_ | Access point 2:  \_\_\_\_\_\_\_\_\_\_\_\_ | Access point 3:  \_\_\_\_\_\_\_\_\_\_\_\_ | Access point 4:  \_\_\_\_\_\_\_\_\_\_\_\_ | Access point 5:  \_\_\_\_\_\_\_\_\_\_\_\_ |
| **Q4.**  How long does it take farmers in this community to walk to their plots? | Notes: | | | | | |

## B.6 LIST/6 cluster segmentation sorm

**LIST/6: Feed the Future Zone of Influence Survey Cluster Segmentation Form**

|  |  |
| --- | --- |
| ***Identification Label*** | ***Code*** |
| Region |  |
| District |  |
| Cluster Name |  |
| Name of Mapper |  |
| Name of Lister |  |

|  |  |
| --- | --- |
| Number of segment: |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Segment number** | **Number of households** | **Percent** | **Cumulative percent** |
| 1 |  |  |  |
| 2 |  |  |  |
| 3 |  |  |  |
| 4 |  |  |  |

Random number:

Segment selected:

## B.7 LIST/7 assignment by region

**LIST/7: Feed the Future Zone of Influence Survey Listing Team Assignment Form**

|  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **TRAVEL** | | **GEOGRAPHIC AREAS** | | | |  | **WORKING DURATION** | | | **HOUSEHOLDS** |
| **Village No.** | **Travel Date** | **Region** | **District** | **County** | **Village** | **Cluster** | **Start** | **End** | **Days** | **Number of HH Listed** |
| **Team 1** | | | | | | | | | | |
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| **Team 2** | | | | | | | | | | |
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