

Instruments of the Social Capital Assessment Tool

This document presents the full text of the interview guides and the questionnaires of the Social Capital Assessment Tool, as presented in Annex 1 of *Understanding and Measuring Social Capital*.

The document consists of five sections:

- 1A. Community Profile and Asset Mapping — Interview Guide
- 1B. Community Questionnaire
- 1C. Household Questionnaire
- 1D. Organizational Profile Interview Guides
- 1E. Organizational Profile Scoresheet

Annex 1A

Community Profile And Asset Mapping— Interview Guide

The community profile is elicited through a series of group interviews conducted in the community during the initial days of field work. The community profile allows the research team to become familiar with community characteristics and issues relating to social capital for reference in later phases of the data collection. The group interviews establish a consensus definition of the “community” in which the research takes place. This definition will be used throughout the community profile exercise and will serve as reference for the interviews of the household survey. It will also define the catchment area of institutions for the organizational profile.

Several participatory methods are used to develop the community profile. In addition to a focus group format, the data collection includes a community mapping exercise followed by an institutional diagramming exercise. The primary data source material generated by these interviewing, mapping, and diagramming exercises are:

- Community maps, indicating location of community assets and services
- Observational notes of group process and summary of issues discussed
- List of positive characteristics of community assets and services
- List of negative characteristics of community assets and services
- List of all formal and informal community institutions
- Case study of community collective action
- Institutional diagrams (Venn) of relative impact and accessibility
- Institutional diagrams (web) of institutional network relationships

Between two and eight group interviews should be conducted in each community. Each group should have 5–12 participants. At least two group interviews should be carried out with women and men separately. Groups may be stratified on other sociodemographic characteristics that may be important within the community context, such as age or ethnicity. Mixed group interviews can also be conducted to assess levels of consensus, but these should be in addition to separate groups.

Each group should have a moderator and two observers. The moderator’s role is to facilitate the discussion, probe on key issues, elicit comments from all participants, and focus the discussion on the issues of interest without seeming to interrupt or ignore extraneous comments from participants. The observers’ role is to take notes on the content of the discussion and process of group dynamics.

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

The team should have the following materials available: interview guide, pads of notepaper, writing pens, flip-chart paper, markers (several colors), colored paper circles of different sizes, tape, scissors.

1. DEFINITION OF COMMUNITY AND IDENTIFICATION OF COMMUNITY ASSETS

Bring large sheets of paper and several color markers. Ask the group to draw a map of their village or neighborhood that shows the settlement pattern, sites for productive activities, and locations of various assets and services in the community. A second group may be asked to make modifications to the map developed by the first group or, if they prefer, draw their own. The map is a key reference point for the discussion and should be used throughout the interview process to stimulate discussion, identify critical issues, clarify discussion points, and so on.

- 1.1 How do you define this village/neighborhood?
(Probe on geographical boundaries, place names, and other reference points. Establish consensus on the geopolitical definition of "community" for later use in the household survey.)
- 1.2 Where is/are the...
 - ...primary school? Secondary school? Childcare centers? Other schools?
 - ...health services (both formal and informal)?
 - ...sources of water?
 - ...waste and garbage disposal sites?
 - ...sources of electric lighting?
 - ...public telephones?
 - ...main streets/roads?
 - ...principal means of transportation?
 - ...markets, shops, and other commercial establishments?
 - ...churches (places of worship)?
 - ...cultural and recreational areas? (Where do you spend your free time?)
 - ...areas that are less safe?RURAL:...irrigation systems?
- 1.3 How many years has this village/neighborhood been in existence? Has the village/neighborhood grown, gotten smaller, or stayed the same in the last five years? Who are the people most likely to come into or leave the community?
(In the case of significant in- or out-migration, have the group draw a second map showing patterns of migration, new settlement, and expansion of community boundaries and land use.)

2. COLLECTIVE ACTION AND SOLIDARITY

- 2.1 People from the same village/neighborhood often get together to address a particular issue that faces the community, fix a problem, improve the quality of life, or something similar. Which of the following issues has your village/neighborhood tried to address in the last three years?

(Probe: education, health, public services, roads and transportation, markets, credit, recreational and cultural resources, security, child care, irrigation, agricultural services.)

- 2.2 Do you think that everyone in this village/neighborhood has equal access to _____?

(Probe: same services as mentioned under 2.1)

Is this also true for the poorest members of the community?

- 2.3 Have there been any efforts by the community to improve the quality of the _____ *(service or benefit)* or overcome a problem? Can you describe one instance in detail? (Refer to this case study for specifics of the following questions.) Were there community groups that played an important role? What kinds of responses did you get from the local government? From other organizations? From the rest of the community? What kinds of obstacles did you have to deal with? What was the outcome of the effort?

(Probe for locus of leadership, resources tapped, sources of resistance, who benefited or suffered from the outcome, the kind of follow-up that occurred as a result of the effort, and the mechanisms employed to ensure sustainability of the effort.)

- 2.4 Has this village/neighborhood ever attempted to make improvements but failed? Why do you think the attempt failed? What would you have done differently to make the effort more successful?

(Probe for constraints on collective action; identify the roles of government, community organizations, and secondary institutions in influencing outcomes; and discuss the relationship between the community, representative organizations, local government, and other civil society actors.)

3. COMMUNITY GOVERNANCE AND DECISIONMAKING

- 3.1 Who are the main leaders in this community?

(Probe formal and informal leadership.)

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- 3.2 How do they become leaders? How are new leaders selected?
- 3.3 How are decisions made within this community? What is the role of the community leaders? How are community members involved?
(Probe on role of traditional leaders, informal leaders, elites.)

4. LIST OF COMMUNITY INSTITUTIONS

- 4.1 What are the groups, organizations, or associations that function in this village/neighborhood?
- Have the group list all the organizations, formal and informal, that exist in the community. Make sure all different types of organizations are included (agriculture, credit, religious, recreational, health, education, etc.) and that the list is as complete as possible. Have the group go through the list and identify which institutions are most important in meeting the community's needs. Make sure the list is written with plenty of space between each item.*
- 4.2 Which groups play the most active role in helping improve the well-being of community members?
- 4.3 How did this group or organization get started (government initiated, through government donations, NGO donations, grassroots initiative, etc.)?
- 4.4 How are the leaders selected (election, appointment, inheritance)? How stable is the leadership (frequent or sudden changes, normal progressive change, or never changes)? Is leadership generally harmonious or conflictive?
- 4.5 How are decisions made within these groups or organizations?

5. RELATIONSHIPS BETWEEN ORGANIZATIONS AND THE COMMUNITY

Venn diagram: Cut out (ahead of time) paper circles of three different sizes and lay them out. Ask the group to place the largest circles next to the most important organizations, the middle-sized circles next to the less important organizations, and the smallest circles next to the least important organizations. Write the name of the organization in each circle. Observers should record the group's reasoning as to why organizations are categorized as more or less important.

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Draw a relatively large square in the center of the flip-chart paper. Tell the group that this square represents themselves. Have the group place the organization-labeled circles in or around the square at the center. The closer they are to the center square, the more accessible the particular organization is to the community. Let the group discuss among themselves and facilitate as necessary. Record the resulting diagram and reasoning behind the group's discussion on each organization.

- 5.1 Of the organizations on this list, which are most important? Which are least important? Which are of medium importance?
- 5.2 Of the organizations on this list, which ones are most accessible to the community? Which are least accessible? Which are somewhat accessible?

6. INSTITUTIONAL NETWORKS AND ORGANIZATIONAL DENSITY

Flowchart diagram: Have ready a sheet of flip-chart-sized paper and markers. Facilitate a discussion among the group regarding the relationships among the identified organizations, community leaders, and the community. Probe on local government institutions, nongovernmental organizations, base organizations, and other civil society actors. Ask the group to draw each actor and, using arrows or other appropriate symbols, indicate the relationship among them. Probe links among all organizations.

- 6.1 Which organizations work together? How do they work together (hierarchically, collaboratively)?
- 6.2 Are there any organizations that work against each other (compete or have some sort of conflict)? Which ones and why?
- 6.3 Some groups may share the same members and some groups have different members. Which organizations have the same or similar membership?
- 6.4 Are there organizations that share resources?

Annex 1B

Community Questionnaire

1. COMMUNITY CHARACTERISTICS

1.1 How many years has the community been in existence?

More than 20 years	[]	1
Between 10 and 20 years	[]	2
Fewer than 10 years	[]	3

1.2 How many households are in this community?

Fewer than 25	[]	1
Between 25 and 49	[]	2
Between 50 and 99	[]	3
Between 100 and 249	[]	4
More than 250	[]	5

1.3 In the last three years, the number of people living in this community has:

Increased	[]	1
Decreased	[]	2
Remained the same	[]	3

1.4 What are the two main reasons for the increase, decrease, or lack of change?

(a) _____

(b) _____

1.5 What are the two principal economic activities for men in this community?

(a) _____

(b) _____

1.6 What are the two principal economic activities for women in this community?

(a) _____

(b) _____

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1.7 In the last three years, availability of employment has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

1.8 What is the main route that inhabitants use to reach this community, both during rainy season and dry season?

	(a) <u>Rainy</u>	(b) <u>Dry</u>
Paved road	[] 1	[] 1
Dirt road	[] 2	[] 2
Mixed paved and dirt	[] 3	[] 3
Footpath	[] 4	[] 4
Horse trail	[] 5	[] 5
Sea	[] 6	[] 6
Other (specify)	[] 7	[] 7

1.9 In the last three years, the roads leading to this community have:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

1.10 The availability of housing in this community is:

Adequate	[]	1
Deficient	[]	2

1.11 In the last three years, the quality of housing in this community has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

1.12 What are the two main reasons that housing in the community has improved, worsened, or remained the same during the last three years?

(a) _____

(b) _____

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 1.13 In the last three years, the overall quality of life of the people living in this community has: *(consider job availability, safety and security, environment, housing, etc.)*

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

- 1.14 What are the two main reasons that the quality of life in the community has improved, worsened, or remained the same during the last three years?

(a) _____

(b) _____

- 1.15 Overall, the level of living of this community may be characterized as:

Wealthy	[]	1
Well-to-do	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

- 1.16 Do people in this community generally trust one another in matters of lending and borrowing?

Yes	[]	1
No	[]	2

- 1.17 In the last three years, has the level of trust improved, worsened, or stayed the same?

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

- 1.18 Compared with other communities, how much do people in this community trust each other in matters of lending and borrowing?

More trust than in other communities	[]	1
Same as in other communities	[]	2
Less trust than in other communities	[]	3

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- 1.19 Do you agree or disagree with the following statement: People here look out mainly for the welfare of their own families and they are not much concerned with community welfare.

Strongly agree	[]	1
Agree	[]	2
Disagree	[]	3
Strongly disagree	[]	4

2. PRINCIPAL SERVICES

2A. *Electricity*

- 2A.1 What fraction of the community has household electrical service?

The entire community	[]	1
Most of the community	[]	2
About half the community	[]	3
Less than half/very few	[]	4
No one in the community	[]	5 (go to section 2B)

- 2A.2 In the last three years, the electrical service to this community has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

- 2A.3 Currently, the quality of electrical service within the homes of this community is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

- 2A.4 What are the two main problems with the electrical service?

(a) _____

(b) _____

2B. *Public Lighting*

- 2B.1 Does this community have street lights?

Yes	[]	1
No	[]	2 (go to section 2C)

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2B.2 In the last three years, the public lighting service has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

2B.3 Currently, the quality of public lighting service is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

2B.4 What are the two main problems with the public lighting in this community?

(a) _____

(b) _____

2C. *Drinking Water*

2C.1 What part of the community has pipe-borne water?

The entire community	[]	1
Most of the community	[]	2
About half the community	[]	3
Less than half/very few	[]	4
No one in the community	[]	5

2C.2 What part of the community has access to public standpipes?

The entire community	[]	1
Most of the community	[]	2
About half the community	[]	3
Less than half/very few	[]	4
No one in the community	[]	5

2C.3 In the last three years, potable water service has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2C.4 Currently, the potable water service is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

2C.5 What are the two main problems with the potable water service?

(a) _____

(b) _____

2D. *Home Telephone Service*

2D.1 What fraction of the community has home telephone service?

The entire community	[]	1
Most of the community	[]	2
About half the community	[]	3
Less than half/very few	[]	4
No one in the community	[]	5 (go to section 2E)

2D.2 Currently, the home telephone service is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

2E. *Communication Services*

2E.1 Does this community have public telephones?

Yes	[]	1
No	[]	2 (go to question 2E.3)

2E.2 How many public telephones are in this community?

_____ (go to question 2E.4)

2E.3 What is the distance from this community to the nearest public telephone?

Distance (in walking minutes) _____

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2E.4 In the last three years, the public telephone service in this community has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

2E.5 Currently, the public telephone service in this community is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

2E.6 What are the two main problems with the public telephone service in this community?

(a) _____

(b) _____

2E.7 Is there a post office in this community?

Yes	[]	1
No	[]	2 (go to question 2E.9)

2E.8 What is the distance from this community to the nearest post office?

Distance (in walking minutes) _____

2E.9 In the last three years, the mail service in this community has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

2E.10 Currently, the mail service in this community is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2E.11 What are the two main problems with the mail service in this community?

(a) _____

(b) _____

2E.12 What fraction of the community has access to public Internet service?

The entire community	[]	1
Most of the community	[]	2
About half the community	[]	3
Less than half/very few	[]	4
No one in the community	[]	5 (go to question 2E.14)

2E.13 Where are public Internet access services available?

Local school	[]	1
Library	[]	2
Community center	[]	3
Training center	[]	4
Internet café	[]	5
Other (specify)	[]	6 (go to section 2F)

2E.14 What is the distance from this community to the nearest public Internet access service?

Distance (in walking minutes) _____

2F. *Sewage*

2F.1 What fraction of the community is served by a public sewage system?

The entire community	[]	1
Most of the community	[]	2
About half the community	[]	3
Less than half/very few	[]	4
No one in the community	[]	5 (go to question 2F.6)

2F.2 In the last three years, the quality of the public sewage system in this community has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2F.3 Currently, the public sewage system is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

2F.4 What are the two main problems with the public sewage system in this community?

(a) _____

(b) _____

2F.5 Do the streets of this community have sufficient sewers and drains to handle excess water and prevent flooding when it rains?

Yes	[]	1
No	[]	2

2F.6 What other sewage and waste water systems are used in this community?

	<u>Yes</u>	<u>No</u>
a. Latrine	[] 1	[] 2
b. Septic tanks	[] 1	[] 2
c. River or sea	[] 1	[] 2
d. Other (specify)	[] 1	[] 2

2G. *Garbage Collection*

2G.1 What fraction of the community is served by a garbage collection service?

The entire community	[]	1
Most of the community	[]	2
About half the community	[]	3
Less than half/very few	[]	4
No one in the community	[]	5

2G.2 In the last three years, the quality of the garbage disposal in this community has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2G.3 In the homes that do not receive garbage collection service, what is the main solid waste disposal method?

- | | | |
|-----------------------|-------|---|
| Burn it | [] | 1 |
| Throw on own lot | [] | 2 |
| Throw on others' lots | [] | 3 |
| Throw into river/sea | [] | 4 |
| Bury it | [] | 5 |
| Pay to haul away | [] | 6 |
| Other (specify) | [] | 7 |

2H. *Public Market*

2H.1 Does this community have a public market?

- | | | |
|-----|-------|-------------------------|
| Yes | [] | 1 (go to question 2H.3) |
| No | [] | 2 |

2H.2 The walking distance from the community to the nearest market is:

Distance (in walking minutes) _____ (go to section 2I)

2H.3 The market is open:

- | | | |
|-----------------------|-------|---|
| Every day | [] | 1 |
| Some days of the week | [] | 2 |
| One day per week | [] | 3 |
| Other (specify) | [] | 4 |

2H.4 In the last three years, the quality and service of this market has:

- | | | |
|-------------------|-------|---|
| Improved | [] | 1 |
| Worsened | [] | 2 |
| Remained the same | [] | 3 |

2H.5 How many people in the community use the market?

- | | | |
|--------------------------|-------|---|
| The entire community | [] | 1 |
| Most of the community | [] | 2 |
| About half the community | [] | 3 |
| Less than half/very few | [] | 4 |

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2I. *Transportation*

2I.1 Is this community served by a public transport system?

Yes	[]	1 (go to question 2I.3)
No	[]	2

2I.2 The walking distance to the nearest community with public transportation is:

Distance (in walking minutes) _____ (go to question 2I.7)

2I.3 Public transportation is available:

Every day	[]	1
Some days of the week	[]	2
One day per week	[]	3
Other (specify)	[]	4

2I.4 In the last three years, the quality and service of public transportation has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

2I.5 Public transportation is used by:

The entire community	[]	1
Most of the community	[]	2
About half the community	[]	3
Less than half/very few	[]	4
No one in the community	[]	5

2I.6 What two main changes can be made to improve public transportation to this community?

(a) _____

(b) _____

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2I.7 What other types of transportation do people in this community use to go to neighboring communities? (List the two most important ones).

(a) (b)

--	--

Walking	1
Bicycle	2
Horse	3
Canoe/boat	4
Car	5

2J. *Recreation*

2J.1 Does this community have sports fields or recreational areas?

Yes	[]	1
No	[]	2 (go to question 2J.3)

2J.2 In the last three years, the condition of the sports fields and recreational areas has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

2J.3 Does this community have separate children's play areas?

Yes	[]	1
No	[]	2 (go to section 2K)

2J.4 In the last three years, the condition of these children's play areas has:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

2K. *Security*

2K.1 Does this community have a security or police force?

Yes	[]	1
No	[]	2 (go to section 3)

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2K.2 This service is provided by:

- | | | |
|-------------------|-------|---|
| The police | [] | 1 |
| The community | [] | 2 |
| A private company | [] | 3 |

2K.3 This security service is provided to:

- | | | |
|--------------------------|-------|---|
| The entire community | [] | 1 |
| Most of the community | [] | 2 |
| About half the community | [] | 3 |
| Less than half/very few | [] | 4 |

2K.4 In the last three years, the quality of the security service has:

- | | | |
|-------------------|-------|---|
| Improved | [] | 1 |
| Worsened | [] | 2 |
| Remained the same | [] | 3 |

3. LABOR MIGRATION

3.1 Are there members of this community who go to other places to work during certain periods of the year?

- | | | |
|-----|-------|------------------------|
| Yes | [] | 1 |
| No | [] | 2 (go to question 3.6) |

3.2 Do more women than men leave to work? Do more men than women leave to work? Or equal numbers of women and men?

- | | | |
|---------------------|-------|---|
| More women than men | [] | 1 |
| More men than women | [] | 2 |
| Equal numbers | [] | 3 |

3.3 Where do they go to work primarily?

- | | | |
|------------------------------------|-------|---|
| To a city in this region | [] | 1 |
| To a city in another region | [] | 2 |
| To a city in another country | [] | 3 |
| To a rural area in this region | [] | 4 |
| To a rural area in another region | [] | 5 |
| To a rural area in another country | [] | 6 |

3.4 What are the two principal jobs women leave for?

(a) _____

(b) _____

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3.5 What are the two principal jobs men leave for?

(a) _____

(b) _____

3.6 Are there people from other communities who come to work in this community?

Yes	[]	1
No	[]	2 (go to section 4)

3.7 What are the two principal jobs they come for?

(a) _____

(b) _____

4. EDUCATION

4A. *Preschool*

4A.1 Does this community have a public preschool?

Yes	[]	1 (go to question 4A.3)
No	[]	2

4A.2 How far from the community is the nearest public preschool?

Distance (in walking minutes) _____ (go to section 4B)

4A.3 Is the number of preschools in this community sufficient to serve the number of young children in the community?

Yes	[]	1
No	[]	2

4A.4 Is the number of teachers in these preschools sufficient for the number of children?

Yes	[]	1
No	[]	2

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4A.5 The physical condition of the preschool is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

4A.6 What percentage of young children attend public preschools?

All children	[]	1 (go to section 4B)
Most children	[]	2
About half of the children	[]	3
Less than half	[]	4
Very few/none	[]	5

4A.7 What are the two principal reasons that young children from this community do not attend public preschool?

(a) _____

(b) _____

4B. *Primary School*

4B.1 Does this community have a public primary school?

Yes	[]	1 (go to question 4B.3)
No	[]	2

4B.2 How far from the community is the nearest public primary school?

Distance (in walking minutes) _____ (go to section 4C)

4B.3 Is the number of primary schools in this community sufficient to serve the number of school-age children in the community?

Yes	[]	1
No	[]	2

4B.4 Is the number of teachers in these schools sufficient for the number of students?

Yes	[]	1
No	[]	2

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4B.5 The physical condition of the primary school is:

Very good	<input type="checkbox"/>	1
Good	<input type="checkbox"/>	2
Average	<input type="checkbox"/>	3
Poor	<input type="checkbox"/>	4
Very poor	<input type="checkbox"/>	5

4B.6 What percentage of eligible school-age children attend public primary schools?

All children	<input type="checkbox"/>	1 (go to section 4C)
Most children	<input type="checkbox"/>	2
About half of the children	<input type="checkbox"/>	3
Less than half	<input type="checkbox"/>	4
Very few/none	<input type="checkbox"/>	5

4B.7 What are the two principal reasons that school-age children from this community do not attend public primary school?

(a) _____

(b) _____

4C. *Secondary School*

4C.1 Does this community have a public secondary school?

Yes	<input type="checkbox"/>	1 (go to question 4C.3)
No	<input type="checkbox"/>	2

4C.2 How far from the community is the nearest public secondary school?

Distance (in walking minutes) _____ (go to section 4D)

4C.3 Is the number of secondary schools in this community sufficient to accommodate the number of secondary-school-age students in the community?

Yes	<input type="checkbox"/>	1
No	<input type="checkbox"/>	2

4C.4 Is the number of teachers in the secondary schools sufficient for the number of students?

Yes	<input type="checkbox"/>	1
No	<input type="checkbox"/>	2

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4C.5 The physical condition of the secondary school is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

4C.6 What percentage of secondary-school-age children attend public secondary schools?

All children	[]	1 (go to section 4D)
Most children	[]	2
About half of the children	[]	3
Less than half	[]	4
Very few/none	[]	5

4C.7 What are the two principal reasons that secondary-school-age children from this community do not attend public secondary school?

(a) _____

(b) _____

4D. *Adult Education*

4D.1 Is there an adult literacy campaign or program for the community?

Yes	[]	1
No	[]	2

4D.2 Are there job training programs for this community?

Yes	[]	1
No	[]	2

5. HEALTH

5.1 What are the three principal health problems affecting children under six years of age in this community?

(a) _____

(b) _____

(c) _____

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

5.2 What are the two principal health problems affecting adult men in this community?

(a) _____

(b) _____

5.3 What are the two principal health problems affecting adult women in this community?

(a) _____

(b) _____

5.4 Does this community have a health clinic or hospital?

Yes	[]	1 (go to question 5.6)
No	[]	2

5.5 How far is the nearest public health clinic or hospital?

Distance (in walking minutes) _____ (go to question 5.7)

5.6 Does the health clinic or hospital regularly have sufficient:

	<u>Sufficient</u>	<u>Insufficient</u>	<u>None</u>
a. Basic medicines	[] 1	[] 2	[] 3
b. Equipment/instruments	[] 1	[] 2	[] 3
c. Patient beds	[] 1	[] 2	[] 3
d. Ambulances	[] 1	[] 2	[] 3
e. Physicians	[] 1	[] 2	[] 3
f. Nurses	[] 1	[] 2	[] 3
g. Other health staff	[] 1	[] 2	[] 3

5.7 Does this community have a family planning program?

Yes	[]	1
No	[]	2 (go to section 6)

5.8 Who offers the program?

Government	[]	1
NGO	[]	2
Private facility	[]	3
Other (specify)	[]	4

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

6. ENVIRONMENTAL ISSUES

6.1 Does this community have:

	<u>Yes</u>		<u>No</u>	
a. Garbage dumping that contaminates rivers or wells	[]	1	[]	2
b. Garbage dumping that contaminates the ocean	[]	1	[]	2
c. Junk yards or scrap heaps	[]	1	[]	2
d. Standing water or stagnant pools	[]	1	[]	2
e. Slaughterhouses that dump waste in public places	[]	1	[]	2
f. Mechanics who dump waste oil in soil or water	[]	1	[]	2
g. Polluting industries	[]	1	[]	2
h. Clear-cutting or forest burns	[]	1	[]	2
i. Mining	[]	1	[]	2
j. Other (specify)	[]	1	[]	2

6.2 Overall, the current environmental condition of the community is:

Very good	[]	1
Good	[]	2
Average	[]	3
Poor	[]	4
Very poor	[]	5

6.3 In the last three years, the environmental conditions in the community have:

Improved	[]	1
Worsened	[]	2
Remained the same	[]	3

6.4 What are the two main actions that could be taken to improve the environmental conditions in this community?

(a) _____

(b) _____

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

7. AGRICULTURE (only in rural areas)

7.1 What are the three principal agricultural or livestock activities undertaken in this community?

(a) _____

(b) _____

(c) _____

7.2 Where do the inhabitants of this community generally sell their livestock and produce? (*List up to three venues by order of importance.*)

a	b	c
<input type="text"/>	<input type="text"/>	<input type="text"/>

- | | |
|--|------------------------|
| Community market | 1 |
| Market in neighboring areas | 2 |
| Domestic middlemen | 3 |
| Exporters | 4 |
| Public institutions | 5 |
| Cooperatives | 6 |
| Local stores and shops | 7 |
| Other (specify) | 8 |
| Only self-consumption/
no outside sales | 9 (go to question 7.4) |

7.3 What are the two most important problems facing members of this community for getting their products to the market and earning a profit?

(a) _____

(b) _____

7.4 Do the agricultural workers/producers in this community receive technical assistance?

- | | | |
|-----|------------------------------|------------------------|
| Yes | [<input type="checkbox"/>] | 1 |
| No | [<input type="checkbox"/>] | 2 (go to question 7.6) |

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

7.5 Who is the main provider of this technical assistance? (*Probe whether the institution is public or private.*)

7.6 Does this community have any type of agricultural cooperative?

Yes	[]	1
No	[]	2

7.7 Does this community have any institution or person (either in the community or nearby) that provides credit and loans to agricultural producers?

Yes	[]	1
No	[]	2 (go to question 7.9)

7.8 What are the three main persons or institutions that provide credit or loans to agricultural producers in this community?

a	b	c
<div></div>	<div></div>	<div></div>

National banks	1
Agricultural/development banks	2
Private banks	3
Agricultural credit unions or cooperatives	4
Private individuals	5
Export businesses	6
Packing businesses	7
Producer associations	8
Warehouses or middlemen	9
Other (specify)	10

7.9 Do the agricultural producers of this community receive loans or credits from individuals or institutions in other cities or regions?

Yes	[]	1
No	[]	2

7.10 What percentage of the agricultural producers in this community use loans or credits to support their activities?

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

7.11 What are the two principal problems facing the agricultural producers of this community in terms of receiving loans and credits?

(a) _____

(b) _____

7.12 In the last three years, the harvests/yields have:

Increased	[]	1
Decreased	[]	2
Remained the same	[]	3

7.13 In the last three years, the sales of agricultural/livestock products in this community have:

Increased	[]	1
Decreased	[]	2
Remained the same	[]	3

8. COMMUNITY SUPPORT

8.1 Which of the following organizations exist in this community?

	<u>Yes</u>	<u>No</u>
a. Community development committee	[] 1	[] 2
b. Cooperative (fishing, agriculture, crafts)	[] 1	[] 2
c. Parent-teacher association	[] 1	[] 2
d. Health committee	[] 1	[] 2
e. Youth group	[] 1	[] 2
f. Sports group	[] 1	[] 2
g. Cultural group	[] 1	[] 2
h. Civic group	[] 1	[] 2
i. Other (specify)	[] 1	[] 2

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

8.2 Which persons or organizations help or support these community-based organizations?

	<u>Yes</u>		<u>No</u>	
a. Local government	[]	1	[]	2
b. National government	[]	1	[]	2
c. Politicians	[]	1	[]	2
d. Religious organizations	[]	1	[]	2
e. School/teachers	[]	1	[]	2
f. Nongovernmental organizations	[]	1	[]	2
g. Business group	[]	1	[]	2
h. Service club	[]	1	[]	2
i. Prosperous citizens	[]	1	[]	2
j. The community as a whole	[]	1	[]	2

8.3 What buildings do people in this community regularly use for meetings and gatherings?

	<u>Yes</u>		<u>No</u>	
a. Community center	[]	1	[]	2
b. Personal homes	[]	1	[]	2
c. Homes of political leaders	[]	1	[]	2
d. Homes of other local leaders	[]	1	[]	2
e. Churches or religious buildings	[]	1	[]	2
f. Health center/school	[]	1	[]	2
g. Government buildings	[]	1	[]	2
h. Business/commercial buildings	[]	1	[]	2
i. Other (specify)	[]	1	[]	2

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

8.4 Which members of the community participate most in solving the issues facing the community?

(a) By gender

Men	[]	1
Women	[]	2
Men and women equally	[]	3
Neither participate	[]	4

(b) By age

Youth and adolescents	[]	1
Adults	[]	2
Older persons	[]	3
Youth, adults, and elders equally	[]	4
None participate	[]	5

(c) By employment status

Workers	[]	1
Unemployed or nonworkers	[]	2
Workers and nonworkers equally	[]	3
Neither participate	[]	4

8.5 In the last three years, has the community organized to address a need or problem?

Yes	[]	1
No	[]	2 (go to question 8.8)

8.6 Around what issue(s) did the community organize?

(a) _____

(b) _____

8.7 Was/were the initiative(s) successful?

	<u>Yes</u>	<u>No</u>	<u>Ongoing</u>
a. Initiative #1	[] 1	[] 2	[] 3
b. Initiative #2	[] 1	[] 2	[] 3

8.8 What are the two main problems or needs that community members feel must be addressed or solved?

(a) _____

(b) _____

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

8.9 Are there any specific assistance programs to this community?

Yes [] 1
No [] 2 (go to question 8.11)

8.10 What are the two main programs and the institutions that support them?

(a) Program/institution _____

(b) Program/institution _____

8.11 Do any of the following problems exist in this community? If yes, who is the most affected or at-risk group (by age, gender, caste, ethnic group, etc.)?

	<u>Yes</u>	<u>No</u>	<u>Most affected group</u>
a. Burglaries	[] 1	[] 2	_____
b. Robberies	[] 1	[] 2	_____
c. Assaults	[] 1	[] 2	_____
d. Gangs	[] 1	[] 2	_____
e. Vandalism	[] 1	[] 2	_____
f. Violent disputes	[] 1	[] 2	_____
g. Alcohol abuse	[] 1	[] 2	_____
h. Substance (drug) abuse	[] 1	[] 2	_____
i. Teen pregnancy	[] 1	[] 2	_____
j. Domestic violence	[] 1	[] 2	_____
k. Child abuse	[] 1	[] 2	_____
l. Prostitution	[] 1	[] 2	_____
m. Other problems (specify)	[] 1	[] 2	_____

Annex 1C Household Questionnaire

Length of interview

Time initiated: _____

Time terminated: _____

1. IDENTIFICATION OF SELECTED HOUSEHOLD:

1.1. Province/state _____

1.2. District _____

1.3. Subdistrict _____

1.4. Town/village _____

1.5 Type of area: Urban []
 Rural nonindigenous []
 Indigenous []
 Difficult access []

1.6 Location: Unit _____
 Number _____

1.7 Address of selected household:
 Community _____
 Street _____
 House number _____
 Other details _____

Interviewer: _____ Supervisor: _____

2. HOUSING CHARACTERISTICS AND HOUSEHOLD ROSTER

2.1 Type of house (*observation only*)

Individual house	[]	1
Open roof and patio	[]	2
Apartment	[]	3
Room within a larger house	[]	4
Other (specify)	[]	5

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 2.2 What construction material is used for the majority of the exterior walls of the house or building?

Cinderblock/brick/stone/ concrete/cement	[]	1
Fiberglass	[]	2
Wood	[]	3
Adobe/wattle and daub	[]	4
Cane/straw/sticks	[]	5
No walls	[]	6
Other (specify)	[]	7

- 2.3 What is the construction material of most of the roof of this house?

Concrete/cement	[]	1
Tiles	[]	2
Metal (zinc, aluminum, etc.)	[]	3
Wood	[]	4
Straw or thatch	[]	5
Other (specify)	[]	6

- 2.4 What is the construction material of most of the floor of this house?

Concrete/cement	[]	1
Tiles, brick, granite	[]	2
Wood	[]	3
Vinyl	[]	4
Earth, sand	[]	5
Cane	[]	6
Other (specify)	[]	7

- 2.5 How many rooms are used by this household for sleeping only?

- 2.6 What type of sanitary services does this household use?

Connected to sewage system	[]	1
Connected to septic tank	[]	2
Latrine	[]	3
None	[]	4
Other (specify)	[]	5

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2.7 What is the primary source of water for this household?

- | | | |
|--------------------|-----|---|
| Piped water system | [] | 1 |
| Private well | [] | 2 |
| Public well | [] | 3 |
| Open tap or faucet | [] | 4 |
| River or stream | [] | 5 |
| Other (specify) | [] | 6 |

2.8 How does this household dispose of most of its garbage?

- | | | |
|-------------------------------|-----|---|
| Public garbage service | [] | 1 |
| Private garbage service | [] | 2 |
| Throw in vacant lots | [] | 3 |
| Throw in river, stream, ocean | [] | 4 |
| Burn and/or bury | [] | 5 |
| Other (specify) | [] | 6 |

2.9 What type of lighting does this household use?

- | | | |
|--|-----|---|
| Electricity (public source) | [] | 1 |
| Electricity (private source) | [] | 2 |
| Electricity (combination public and private) | [] | 3 |
| Only kerosene, gas, candles | [] | 4 |
| Other (specify) | [] | 5 |

2.10 This home is

- | | | |
|--------------------------------|-----|---|
| Owned and completely paid for | [] | 1 |
| Owned with a mortgage | [] | 2 |
| Rented | [] | 3 |
| Given in exchange for services | [] | 4 |
| Squatter | [] | 5 |
| Other (specify) | [] | 6 |

- NOTE:**
- List all the people in the household first and then ask questions 2.12 to 2.20.
 - The household is defined as all the people usually living together in this dwelling and sharing expenses.

N u m b e r	2.11 List names of all individuals in household	2.12 What is "____"'s relationship to household head?	2.13 Sex	2.14 How old is "____"?	2.15 What is "____"'s marital status?	2.16 Is "____"'s spouse currently a member of the household?	2.17 Occupation	2.18 Currently employed?	2.19 Completed education level?	2.20 How long have you lived in this community?
	(List household head first, use first names only)	(use code box)	Male 1 Female . 2		Married..... 1 Common-law... 2 Divorced..... 3→2.17 Widow(er) 4→2.17 Never married . 5→2.17	If yes, use number of spouse If no, write 99	(Use code box)	Yes..... 1 No..... 2	(Use code box)	
	Name	Code		Years			Code			Years
01										
02										
03										
04										
05										
06										
07										
08										
09										
10										

Code box for Question 2.12

Head..... 01	Grandchild..... 08	Cousin..... 15
Wife/husband..... 02	Grandparent..... 09	Other relative..... 16
Son/daughter..... 03	Father-in-law/mother-in-law 10	Children from another family.. 17
Father/mother..... 04	Son-in-law/daughter-in-law. 11	Other relative..... 18
Sister/brother..... 05	Sister-in-law/brother-in-law 12	Renter..... 19
Stepson/stepdaughter ..06	Nephew/niece..... 13	Other non-relative..... 20
Stepfather/stepmother .07	Uncle/aunt..... 14	

Code box for Question 2.17

Farmer..... 1	Private sector:
Fisherman..... 2	Unskilled..... 6
Trade..... 3	Skilled..... 7
Manufacturing:	Public sector:
Artisan..... 4	Unskilled..... 8
Industrial..... 5	Skilled..... 9
	Other..... 10

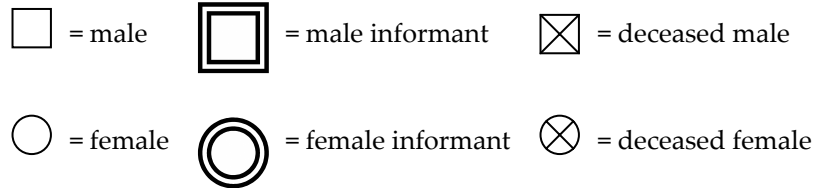
Code box for Question 2.19

Illiterate, no schooling ..1
Literate, no schooling...2
Primary incomplete.....3
Primary complete.....4
Secondary incomplete...5
Secondary complete.....6
Vocational college.....7
University.....8
Other.....9

3. GENOGRAM

(Using symbols below, record here family composition, household composition, organizational affiliation, and level of involvement. An example is on the next page.)

Genogram symbols



= = legal marriage
common-law marriage

b.19__ date of birth

≠ = divorced
dissolution of union

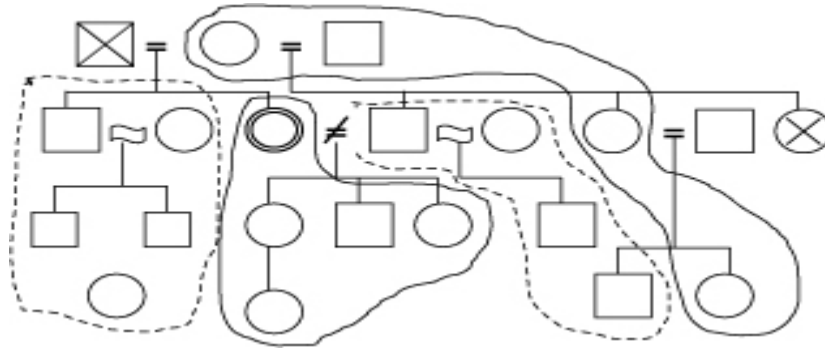
d.19__ date of death



Composition of households living in the same community as the informant's household



Composition of households living in a community different from that of the informant.

Example

This example represents the situation of a divorced woman whose household includes her three children and granddaughter. In a household within the same community live her mother (a remarried widow); her stepfather; her half-sister, currently separated from her husband; and her niece. Another half-sister died some time ago. The respondent's former husband resides in another community. His household consists of his common-law wife, their son, and the respondent's nephew. The respondent's brother lives in common-law union with two sons and a child, a girl, who is not a blood relation.

4. STRUCTURAL SOCIAL CAPITAL

Now I would like to ask you some questions about how you feel about this village/neighborhood, and how you take part in the community activities. By community, I mean _____ [insert consensus definition from community profile].

4A. Organizational Density and Characteristics

- 4A.1 Are you or is someone in your household a member of any groups, organizations, or associations? (*Probe: Who in the household belongs to which group? Are there any other groups or informal associations that you or someone in your household belongs to? Code below and record on genogram. If the household is not a member in any group, go to section 4B.*)
- 4A.2 Do you consider yourself/household member to be active in the group, such as by attending meetings or volunteering your time in other ways, or are you relatively inactive? Are you/household member a leader in the group?

Household Member (use roster code)	Name of organization	Type of organization (use codes below)	Degree of participation (use code below)
Type of organization			
Farmers'/fishermen's group	1	NGO	10
Cooperative	2	Religious group	11
Traders' association/ business group	3	Cultural association	12
Professional association	4	Political group	13
Trade union	5	Youth group	14
Credit/finance group	6	Women's group	15
Water/waste group	7	Parent group	16
Neighborhood/village association	8	School committee	17
Civic group	9	Health committee	18
		Sports group	19
		Other	20

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

<i>Degree of participation</i>	
Leader	1
Very active	2
Somewhat active	3
Not active	4

4A.3 Which of these groups is the most important to your household?
(List up to three by name and code type of organization.)

Group 1: _____ []

Group 2: _____ []

Group 3: _____ []

Now I'm going to ask you some questions about the members of these groups.

4A.4 Overall, are the same people members of these three different groups or is there little overlap in membership?

Little overlap [] 1
Some overlap [] 2
Much overlap [] 3

		Group		
		1	2	3
4A.5	Are group members mostly of the same extended family?			
	Yes 1 No 2			
4A.6	Are members mostly of the same religion?			
	Yes 1 No 2			
4A.7	Are members mostly of the same gender?			
	Yes 1 No 2			

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

		Group		
		1	2	3
4A.8	Are members mostly of the same political viewpoint or do they belong to the same political party? Yes 1 No 2			
4A.9	Do members mostly have the same occupation? Yes 1 No 2			
4A.10	Are members mostly from the same age group? Yes 1 No 2			
4A.11	Do members mostly have the same level of education? Yes 1 No 2			

4A.12 How does the group usually make decisions?

		Group		
		1	2	3
	The leader decides and informs the other group members.	1		
	The leader asks group members what they think and then decides.	2		
	The group members hold a discussion and decide together.	3		
	Other (specify)	4		

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4A.13 Overall, how effective is the group's leadership?

Group		
1	2	3

Very effective 1
Somewhat effective 2
Not effective at all 3

4A.14 Do you think that by belonging to this group you have acquired new skills or learned something valuable?

Group		
1	2	3

Yes 1
No 2

4B. Networks and Mutual Support Organizations

Now I am going to ask you some questions about how the community functions and deals with problems.

4B.1 If the primary school of this village/neighborhood went without a teacher for a long time, say six months or more, which people in this village/neighborhood do you think would get together to take some action about it?

	<u>Yes</u>	<u>No</u>
No one in the village/neighborhood would get together (if yes, go to question 4B.3)	[] 1	[] 2
Local/municipal government	[] 1	[] 2
Village/neighborhood association	[] 1	[] 2
Parents of school children	[] 1	[] 2
The entire village/neighborhood	[] 1	[] 2
Other (specify)	[] 1	[] 2

4B.2 Who would take the initiative (act as leader)?

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4B.3 If there were a problem that affected the entire village/neighborhood, for instance (RURAL: “crop disease”; URBAN: “violence”), who do you think would work together to deal with the situation?

	<u>Yes</u>		<u>No</u>	
Each person/household would deal with the problem individually	[]	1	[]	2
(if yes, go to section 4C)				
Neighbors among themselves	[]	1	[]	2
Local government/municipal political leaders	[]	1	[]	2
All community leaders acting together	[]	1	[]	2
The entire village/neighborhood	[]	1	[]	2
Other (specify)	[]	1	[]	2

4B.4 Who would take the initiative (act as leader)?

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4C. Exclusion

4C.1 Differences often exist between people living in the same village/neighborhood. To what extent do differences such as the following tend to divide people in your village/neighborhood?

	<u>Not at all</u>	<u>Somewhat</u>	<u>Very much</u>
a. Differences in education	[] 1	[] 2	[] 3
b. Differences in wealth/ material possessions	[] 1	[] 2	[] 3
c. Differences in landholdings	[] 1	[] 2	[] 3
d. Differences in social status	[] 1	[] 2	[] 3
e. Differences between men and women	[] 1	[] 2	[] 3
f. Differences between younger and older generations	[] 1	[] 2	[] 3
g. Difference between long- time inhabitants and new settlers	[] 1	[] 2	[] 3
h. Difference in political party affiliations	[] 1	[] 2	[] 3
i. Differences in religious beliefs	[] 1	[] 2	[] 3
j. Differences in ethnic background	[] 1	[] 2	[] 3
k. Other differences (specify)	[] 1	[] 2	[] 3

4C.2 Do these differences cause problems?

Yes	[] 1
No	[] 2 (go to question 4C.5)

4C.3 How are these problems usually handled?

	<u>Yes</u>	<u>No</u>
a. People work it out between themselves	[] 1	[] 2
b. Family/household members intervene	[] 1	[] 2
c. Neighbors intervene	[] 1	[] 2
d. Community leaders mediate	[] 1	[] 2
e. Religious leaders mediate	[] 1	[] 2
f. Judicial leaders mediate	[] 1	[] 2

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4C.4 Do such problems ever lead to violence?

Yes	[]	1
No	[]	2

4C.5 Are there any services where you or members of your household are occasionally denied service or have only limited opportunity to use?

	<u>Yes</u>	<u>No</u>
a. Education/schools	[] 1	[] 2
b. Health services/clinics	[] 1	[] 2
c. Housing assistance	[] 1	[] 2
d. Job training/employment	[] 1	[] 2
e. Credit/finance	[] 1	[] 2
f. Transportation	[] 1	[] 2
g. Water distribution	[] 1	[] 2
h. Sanitation services	[] 1	[] 2
i. Agricultural extension	[] 1	[] 2
j. Justice/conflict resolution	[] 1	[] 2
k. Security/police services	[] 1	[] 2

4C.6 Do you think that there are other households in this community that have such access problems?

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4C.7 If yes, what percentage of households is excluded?

	Others excluded?	Percentage excluded?
	Yes = 1 No = 2	<25%=1 25-50%=2 51-75%=3 76-99%=4 100%=5
a. Education/schools.....	[]	[]
b. Health services/clinics.....	[]	[]
c. Housing assistance	[]	[]
d. Job training/employment.....	[]	[]
e. Credit/finance.....	[]	[]
f. Transportation.....	[]	[]
g. Water distribution	[]	[]
h. Sanitation services	[]	[]
i. Agricultural extension	[]	[]
j. Justice/conflict resolution	[]	[]
k. Security/policy services	[]	[]

4C.8 What are the reasons or criteria why some people are excluded from these services?

	<u>Yes</u>	<u>No</u>
a. Income level	[] 1	[] 2
b. Occupation	[] 1	[] 2
c. Social status (class, caste)	[] 1	[] 2
d. Age	[] 1	[] 2
e. Gender	[] 1	[] 2
f. Race/ethnicity	[] 1	[] 2
g. Language	[] 1	[] 2
h. Religious beliefs	[] 1	[] 2
i. Political affiliation	[] 1	[] 2
j. Lack of education	[] 1	[] 2

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4D. *Previous Collective Action*

4D.1 In the past year, how often have members of this village/neighborhood gotten together and jointly petitioned government officials or political leaders with village development as their goal?

Never	[]	1 (go to question 4D.3)
Once	[]	2
A couple of times	[]	3
Frequently	[]	4

4D.2 Was this action/were any of these actions successful?

Yes, all were successful	[]	1
Some were successful and others not	[]	2
No, none were successful	[]	3

4D.3 How often in the past year have you joined together with others in the village/neighborhood to address a common issue?

Never	[]	1
Once	[]	2
A couple of times	[]	3
Frequently	[]	4

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4D.4 In the last three years have you personally done any of the following things:

	<u>Yes</u>		<u>No</u>	
a. Voted in the elections	[]	1	[]	2
b. Actively participated in an association	[]	1	[]	2
c. Made a personal contact with an influential person	[]	1	[]	2
d. Made the media interested in a problem	[]	1	[]	2
e. Actively participated in an information campaign	[]	1	[]	2
f. Actively participated in an election campaign	[]	1	[]	2
g. Taken part in a protest march or demonstration	[]	1	[]	2
h. Contacted your elected representative	[]	1	[]	2
i. Taken part in a sit-in or disruption of government meetings/offices	[]	1	[]	2
j. Talked with other people in your area about a problem	[]	1	[]	2
k. Notified the court or police about a problem	[]	1	[]	2
l. Made a monetary or in-kind donation	[]	1	[]	2
m. Volunteered for a charitable organization	[]	1	[]	2

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4D.5 Have you been approached by someone personally during the last three years who asked you to do any of the following:

	<u>Yes</u>		<u>No</u>	
a. Vote in the elections	[]	1	[]	2
b. Actively participate in an association	[]	1	[]	2
c. Make a personal contact with an influential person	[]	1	[]	2
d. Make the media interested in a problem	[]	1	[]	2
e. Actively participate in an information campaign	[]	1	[]	2
f. Actively participate in an election campaign	[]	1	[]	2
g. Take part in a protest march or demonstration	[]	1	[]	2
h. Contact your elected representative	[]	1	[]	2
i. Take part in a sit-in or disruption of government meetings/offices	[]	1	[]	2
j. Talk with other people in your area about a problem	[]	1	[]	2
k. Notify the court or police about a problem	[]	1	[]	2
l. Make a monetary or in-kind donation	[]	1	[]	2
m. Volunteer for a charitable organization	[]	1	[]	2

4D.6 If some decision related to a development project needed to be made in this village/neighborhood, do you think the entire village/neighborhood would be called upon to decide or would the community leaders make the decision themselves?

The community leaders would decide [] 1
 The whole village/neighborhood would be called [] 2

4D.7 Overall, how would you rate the spirit of participation in this village/neighborhood?

Very low [] 1
 Low [] 2
 Average [] 3
 High [] 4
 Very high [] 5

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4D.8 How much influence do you think people like yourself can have in making this village/neighborhood a better place to live?

A lot	[]	1
Some	[]	2
Not very much	[]	3
None	[]	4

5. COGNITIVE SOCIAL CAPITAL

5A. *Solidarity*

5A.1 Suppose someone in the village/neighborhood had something unfortunate happen to them, such as a father's sudden death. Who do you think they could turn to for help in this situation? (*Record first three mentioned.*)

a	b	c

No one would help	1
Family	2
Neighbors	3
Friends	4
Religious leader or group	5
Community leader	6
Business leader	7
Police	8
Family court judge	9
Patron/employer/benefactor	10
Political leader	11
Mutual support group to which s/he belongs	12
Assistance organization to which s/he does not belong	13
Other (specify)	14

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 5A.2 Suppose your neighbor suffered an economic loss, say (RURAL: "crop failure"; URBAN "job loss"). In that situation, who do you think would assist him/her financially? (*Record first three mentioned.*)

a	b	c

No one would help	1
Family	2
Neighbors	3
Friends	4
Religious leader or group	5
Community leader	6
Business leader	7
Police	8
Family court judge	9
Patron/employer/benefactor	10
Political leader	11
Mutual support group to which s/he belongs	12
Assistance organization to which s/he does not belong	13
Other (specify)	14

5B. Trust and Cooperation

- 5B.1 Do you think that in this village/neighborhood people generally trust one another in matters of lending and borrowing?

Do trust	[]	1
Do not trust	[]	2

- 5B.2 Do you think over the last few years this level of trust has gotten better, gotten worse, or stayed about the same?

Better	[]	1
The same	[]	2
Worse	[]	3

- 5B.3 Compared with other villages/neighborhoods, how much do people of this village/neighborhood trust each other in matters of lending and borrowing?

Less than other villages/neighborhoods	[]	1
The same as other villages/neighborhoods	[]	2
More than other villages/neighborhoods	[]	3

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 5B.4 Suppose someone from the village/neighborhood had to go away for a while, along with their family. In whose charge could they leave (RURAL: "their fields"; URBAN: "their house")? (*Record first three mentioned.*)

a	b	c

- | | |
|---|---|
| Other family member | 1 |
| Neighbor | 2 |
| Anyone from the village/neighborhood for this purpose | 3 |
| Other (specify) | 4 |
| No one | 5 |

- 5B.5 Suppose a friend of yours in this village/neighborhood faced the following alternatives, which one would s/he prefer most?

RURAL:

- | | |
|--|---|
| Own and farm 10 hectares of land entirely by themselves | 1 |
| Own and farm 25 hectares of land jointly with one other person | 2 |

URBAN:

- | | |
|--|---|
| Own a patio 10 m ² alone | 1 |
| Own a patio 25 m ² that is shared with one other family | 2 |

- 5B.6 If you suddenly had to go away for a day or two, whom could you count on to take care of your children? (*Record first three mentioned.*)

a	b	c

- | | |
|---|---|
| Other family member | 1 |
| Neighbor | 2 |
| Anyone from the village/neighborhood for this purpose | 3 |
| Other (specify) | 4 |
| Don't have children | 5 |

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

5B.7 Do you agree or disagree that people here look out mainly for the welfare of their own families and they are not much concerned with village/neighborhood welfare?

Strongly agree	[]	1
Agree	[]	2
Disagree	[]	3
Strongly disagree	[]	4

5B.8 If a community project does not directly benefit your neighbor but has benefits for others in the village/neighborhood, then do you think your neighbor would contribute time for this project?

Will not contribute time	[]	1
Will contribute time	[]	2

5B.9 If a community project does not directly benefit your neighbor but has benefits for others in the village/neighborhood, then do you think your neighbor would contribute money for this project?

Will not contribute money	[]	1
Will contribute money	[]	2

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

5B.10 Please tell me whether in general you agree or disagree with the following statements:

	<u>Strongly</u> <u>agree</u>	<u>Agree</u>	<u>Disagree</u>	<u>Strongly</u> <u>disagree</u>
a. Most people in this village/neighborhood are basically honest and can be trusted.	[] 1	[] 2	[] 3	[] 4
b. People are always interested only in their own welfare.	[] 1	[] 2	[] 3	[] 4
c. Members of this village/neighborhood are more trustworthy than others.	[] 1	[] 2	[] 3	[] 4
d. In this village/neighborhood, one has to be alert or someone is likely to take advantage of you.	[] 1	[] 2	[] 3	[] 4
e. If I have a problem, there is always someone to help me.	[] 1	[] 2	[] 3	[] 4
f. I do not pay attention to the opinions of others in the village/neighborhood.	[] 1	[] 2	[] 3	[] 4
g. Most people in this village/neighborhood are willing to help if you need it.	[] 1	[] 2	[] 3	[] 4
h. This village/neighborhood has prospered in the last five years.	[] 1	[] 2	[] 3	[] 4
i. I feel accepted as a member of this village/neighborhood.	[] 1	[] 2	[] 3	[] 4

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- j. RURAL: If you lose
a pig or a goat,
someone in the
village would help
look for it or would
return it to you.
URBAN: If you
drop your purse
or wallet
in the neighborhood,
someone will see it
and return it to you. [] 1 [] 2 [] 3 [] 4

5C. *Conflict Resolution*

- 5C.1 In your opinion, is this village/neighborhood generally peaceful or conflictive?

Peaceful	[]	1
Conflictive	[]	2

- 5C.2 Compared with other villages/neighborhoods, is there more or less conflict in this village/neighborhood?

More	[]	1
The same	[]	2
Less	[]	3

- 5C.3 Do people in this village/neighborhood contribute time and money toward common development goals?

They contribute some or a lot.	[]	1
They contribute very little or nothing.	[]	2

- 5C.4 Compared with other villages/neighborhoods, to what extent do people of this village/neighborhood contribute time and money toward common development goals?

They contribute less than other villages/neighborhoods.	[]	1
They contribute about the same as other villages/neighborhoods.	[]	2
They contribute more than other villages/neighborhoods.	[]	3

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

5C.5 Are the relationships among people in this village/neighborhood generally harmonious or disagreeable?

Harmonious	[]	1
Disagreeable	[]	2

5C.6 Compared with other villages/neighborhoods, are the relationships among people in this village/neighborhood more harmonious, the same, or less harmonious than other villages/neighborhoods?

More harmonious	[]	1
The same	[]	2
Less harmonious	[]	3

5C.7 Suppose two people in this village/neighborhood had a fairly serious dispute with each other. Who do you think would primarily help resolve the dispute?

No one; people work it out between themselves	[]	1
Family/household members	[]	2
Neighbors	[]	3
Community leaders	[]	4
Religious leaders	[]	5
Judicial leaders	[]	6
Other (specify)	[]	7

Annex 1D

Organizational Profile Interview Guides

The overall objective of the institutional profile is to delineate the relationships and networks that exist among formal and informal institutions operating in the community, as a measure of structural social capital. Specifically, the profile assesses the organizations' origins and development (historical and community context, longevity, and sustainability); quality of membership (reasons people join, degree of inclusiveness of the organization); institutional capacity (quality of leadership, participation, organizational culture, and organizational capacity); and institutional linkages.

Between three and six institutions per community should be profiled. The organizations need to be identified through the community interviews and/or household survey as key organizations or those having the most impact or influence on community development.

For each organizational profiled, interviews need to be carried out with its leadership, members, and nonmembers. Individual interviews need to be conducted with up to three leaders per organization. The interviews should preferably be face-to-face, but a self-administered written questionnaire may be substituted. Focus group interviews should be carried out with members and nonmembers, with each group ideally having between 5 and 12 participants. Depending on the size and diversity of the group's membership, anywhere from one to four focus groups should be conducted. Of the nonmembers, effort should be made to conduct two focus groups, one for nonmembers who want to be members and one for nonmembers with no interest in becoming a member.

Each focus group should have a moderator and two observers. The moderator's role is to facilitate the discussion, probe on key issues, elicit comments from all participants, and focus the discussion on the issues of interest without seeming to interrupt or ignore extraneous comments from participants. The observers' role is to take notes on the content of the discussion and process of group dynamics. Upon completion of the focus group interview, the moderator and observers should conduct a follow-up debriefing to refine the interview notes and discuss preliminary findings.

1. ORGANIZATIONAL IDENTITY

- 1.1 Name of organization _____
- 1.2 Type of organization _____
- 1.3 Membership _____
- 1.4 Location (district, village, neighborhood) _____
- 1.5 Names of leaders _____

2. LEADERSHIP INTERVIEW GUIDE

2A. *Origins and Development*

- 2A.1 How was your organization created? Who was most responsible for its creation (e.g., government mandate, community decision, suggestion of outside NGO)?
- 2A.2 What kinds of activities has the organization been involved in?
- 2A.3 In what ways has the organization changed its structures and purpose? What is the main purpose of your organization today?
- 2A.4 As the organization developed, what sort of help has it received from outside? Has it received advice and/or funding or other support from the government? What about from nongovernment sources? How did you get this support? Who initiated it? How was the support given? What benefits and limitations has the organization derived from this support?

2B. *Membership*

- 2B.1 Can you tell us about the people involved in your organization? How do they become involved? Are all people in the community involved? If not, why are some members of the community not involved?
- 2B.2 Why do people join or are willing to serve (as officers/leaders/board members) in the organization? Is it hard to convince people to continue being active in the organization? What kinds of requests/demands do they make on the leadership and organization?
- 2B.3 Are active members in this organization also members of other organizations in the community/region? Do people tend to be members of just one organization or join many simultaneously? Can you explain why?

2C. *Institutional Capacity*

2C.1 How would you characterize the quality of *leadership* of this organization, in terms of...

...stability?

...number of leaders/availability?

...diversity/heterogeneity of leadership?

...quality and skills of leaders?

...relationship of leaders to staff and to the community?

2C.2 How would you characterize the quality of *participation* in this organization, in terms of...

...attendance at meetings, both internal to the organization and externally with other organizations?

...participation in decisionmaking within the organization?

...dissemination of relevant information prior to the decision?

...informal opportunities to discuss the decision?

...consultation processes with base organizations or with the community?

...broad debate, including opposition positions, and honesty?

...dissemination of the results of the decisionmaking process?

...the number of women, young people, poor people who work in the organization and who occupy positions of responsibility in the organization?

...whether any groups within the community feel excluded from the organization? What groups are they?

...the level of participation of more prosperous families (elites) in the organization?

...whether elites are sympathetic, supportive, interfering, adversarial, or negative influences?

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2C.3 How would you characterize the *organizational culture* of this organization, in terms of...

...the existence and level of knowledge of the procedures and policies?

...whether the procedures and policies are carried out? Whether there are problems with nonattendance at meetings, theft of property or supplies?

...conflict resolution mechanisms, both within the community and within the organization?

...the nature of conflicts between the organization and community members?

2C.4 How would you characterize the *organizational capacity* of this organization, in terms of...

...carrying out specialized activities (e.g., credit, commercialization)?

...supervising and contracting consultants?

...preparing financial reports for banks, donors, and government?

...reacting to changing circumstances (e.g., price fluctuations, change in government)?

...developing specific plans for the future (instead of reacting to opportunities as they present themselves)?

...reflecting on and learning from previous experiences?

2D. *Institutional Linkages*

2D.1 How would you characterize your organization's relationship with other community organizations? When do you feel the need to establish collaboration/links with them?

2D.2 Do you have links with organizations outside the village/neighborhood? With which ones? What is the nature of those links?

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 2D.3 Do you feel sufficiently informed about other organizations' programs and activities? What are your sources of information?
- 2D.4 Have you attempted to organize or work with other organizations to achieve a mutually beneficial goal? (*Ask for which activities.*) Is this a common strategy among organizations in this village/neighborhood? (*Probe as to reasons why or why not.*)
- 2D.5 Could you describe your relationship with the government? Have you had experience in trying to get government assistance? What was your experience? Which level of government do you find most cooperative (local, district, national)? Has the government made particular requests of your organization?
- 2D.6 Is your organization linked to any government program? Which government program(s) is your organization involved with? Why those particular programs? What sort of role does your organization play in the program? Are there certain characteristics of these programs that make it easier for your organization to work with the programs?
- 2D.7 Do you feel sufficiently informed about government programs and activities? What are your sources of information?
- 2D.8 Have you attempted to give inputs to the government? What were the circumstances? What have been the results? What kinds of challenges did you have to deal with? (*Probe for any role in planning, operation, and maintenance of government-sponsored services.*)
- 2D.9 Has your organization been invited to participate in any of the various government development planning processes? What do you think about these planning mechanisms?
- 2D.10 In general, how do you assess your organization's actual influence on government decisionmaking at the district level?

3. MEMBERS INTERVIEW GUIDE

3A. *Organizational History and Structure*

- 3A.1 How did this group start?
- 3A.2 Who have been the leaders of this group? Who are the leaders now? How and why did the leadership change over time? What are the qualities of leadership?

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 3A.3 Why did you decide to join this group? What kinds of benefits do you get by being a member of this group?
- 3A.4 How are the leaders of this organization selected? How are decisions made? To what extent do you feel the organization represents your concerns to the outside world and to the government?
- 3A.5 Why are some people not members of this organization?
- 3A.6 How do you feel this organization complements, replaces, or competes with government institutions' activities in the community?
- 3A.7 How do you feel this organization complements, replaces, or competes with nongovernmental institutions' activities in the community?
- 3A.8 What would you do to make this organization more effective?

3B. *Institutional Capacity*

- 3B.1 How would you characterize the quality of *leadership* of this organization, in terms of...
 - ...stability?
 - ...number of leaders/availability?
 - ...diversity/heterogeneity of leadership?
 - ...quality and skills of leaders?
 - ...relationship of leaders to staff and to the community?

3B.2 How would you characterize the quality of *participation* in this organization, in terms of...

...attendance at meetings, both internal to the organization and externally with other organizations?

...participation in decisionmaking within the organization?

...dissemination of relevant information prior to the decision?

...informal opportunities to discuss the decision?

...consultation processes with base organizations or with the community?

...broad debate, including opposition positions, and honesty?

...dissemination of the results of the decisionmaking process?

...the number of women, young people, poor people who work in the organization and who occupy positions of responsibility in the organization?

...whether any groups within the community feel excluded from the organization? What groups are they?

...the level of participation of more prosperous families (elites) in the organization?

...whether elites are sympathetic, supportive, interfering, adversarial, or negative influences?

3B.3 How would you characterize the *organizational culture* of this organization, in terms of...

...the existence and level of knowledge of procedures and policies?

...whether the procedures and policies are carried out? Whether there are problems with nonattendance at meetings, theft of property or supplies?

...conflict resolution mechanisms, both within the community and within the organization?

...the nature of conflicts between the organization and community members?

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

3B.4 How would you characterize the *organizational capacity* of this organization, in terms of...

...carrying out specialized activities (e.g., credit, commercialization)?

...supervising and contracting consultants?

...preparing financial reports for banks, donors, and government?

...reacting to changing circumstances (e.g., price fluctuations, change in government)?

...developing specific plans for the future (instead of reacting to opportunities as they present themselves)?

...reflecting on and learning from previous experiences?

4. NONMEMBERS INTERVIEW GUIDE

4A. *Group #1: Nonmembers who want to be members*

4A.1 In your opinion, do the benefits of this particular organization spread beyond its members?

4A.2 Why are some people not members of this organization? Why are you not a member of this organization?

4A.3 How far do you think this organization complements or competes with other community organizations?

4A.4 What is your view about how the organization deals with government? (For example, does kinship or party affiliation play a role in determining the relationship?)

4A.5 What is your view about how the organization deals with other organizations that work in the village/neighborhood?

4B. *Group #2: Nonmembers who do not want to be members*

4B.1 In your opinion, do the benefits of this particular organization spread beyond its members?

4B.2 Why are some people not members of this organization? Why are you not a member of this organization?

4B.3 How far do you think this organization complements or competes with other community organizations?

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 4B.4 What is your view about how the organization deals with government? (For example, does kinship or party affiliation play a role in determining the relationship?)
- 4B.5 What is your view about how the organization deals with other organizations that work in the village/neighborhood?

Annex 1E

Organizational Profile Scoresheet

1. LEADERSHIP

1A. *Rotation*

1A.1 Does the organization's leadership change regularly?

Yes	[]	1
No	[]	2

1A.2 Is the amount of time the leaders remain in their position sufficient for acquiring experience and learning leadership functions?

Yes	[]	1
No	[]	2

1A.3 Is there the possibility of reelecting successful leaders?

Yes	[]	1
No	[]	2

1B. *Density/Availability*

1B.1 How many people within the organization have acquired the capability and qualities to be effective leaders?

No one possesses these qualities	[]	1
Few (1 to 3)	[]	2
Some (4 to 6)	[]	3
Many (more than 6)	[]	4

1B.2 How many are put forward for leadership tasks?

Only a few are ready to be leaders.	[]	1
The group of candidates is limited but adequate.	[]	2
There is never a lack of candidates (candidates who are prepared, enthused, and available to assume a leadership role).	[]	3

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 1B.3 How amenable are former leaders to continued participation in the organization?

There are no previous leaders; the organization is new. [] 1
 Almost no participation by former leaders. [] 2
 Some participation by former leaders. [] 3
 Active participation by former leaders. [] 4

1C. *Diversity/Heterogeneity*

- 1C.1 Do the leaders tend to come from a few groups or families that are always the same, or do the leaders represent a wider circle among the community?

From few groups [] 1
 From various groups within the community [] 2
 From almost all the groups within the community [] 3

- 1C.2 What percentage of those that occupy leadership positions within the organization are women?

Less than 10% [] 1
 Between 10 % and 25% [] 2
 Between 26% and 50% [] 3
 More than 50% [] 4

1D. *Leadership Quality and Skills*

- 1D.1 In general, how would you characterize the quality of leadership in this organization in terms of...

	<u>Excellent</u>	<u>Good</u>	<u>Adequate</u>	<u>Deficient</u>
a. Education/training	[] 1	[] 2	[] 3	[] 4
b. Dynamism/vision?	[] 1	[] 2	[] 3	[] 4
c. Professionalism/skills?	[] 1	[] 2	[] 3	[] 4
d. Honesty/transparency?	[] 1	[] 2	[] 3	[] 4

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

1E. *Relationship between Leadership, Staff, and Constituency*

1E.1 How would you characterize the relationship between the executive director and the management and technical staff?

- | | | |
|--|-----|---|
| Harmonious, without major problems | [] | 1 |
| Coexisting, with occasional rivalries | [] | 2 |
| Conflictive, with many problems | [] | 3 |
| Dysfunctional, without communication or coordination | [] | 4 |

1E.2 What level of acceptance and legitimacy does the leadership have, especially among grassroots organizations whose communities are underrepresented?

- | | | |
|--|-----|---|
| The leaders are openly accepted and everyone recognizes their legitimacy to represent their interests. | [] | 1 |
| The leaders are accepted by the majority of the community; the majority recognize their legitimacy. | [] | 2 |
| The leaders are accepted by a minority of the community members; leaders have little legitimacy. | [] | 3 |
| The leaders are not accepted and do not have legitimacy within the community. | [] | 4 |

2. PARTICIPATION

2A. *Frequency of Meetings*

2A.1 Should the frequency with which the organization meets be greater, less, or remain the same?

- | | | |
|----------|-----|---|
| Greater | [] | 1 |
| Less | [] | 2 |
| The same | [] | 3 |

2B. *Participation in Decisionmaking*

2B.1 What have been the two most important decisions made in the past year?

Decision # 1: _____

Decision # 2: _____

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 2B.2 Thinking about these decisions, did any of the following take place?
(Code decision # 1 first, then continue with decision # 2.)

Topic	a. Prior dissemination of information	b. Opportunity for informal discussion	c. Consultation with grassroots	d. Widespread debate, opposing opinions, and frank discussion	e. Dissemination of results
	Yes = 1 No = 2	Yes = 1 No = 2	Yes = 1 No = 2	Yes = 1 No = 2	Yes = 1 No = 2
Decision #1					
Decision #2					

2C. *Inclusiveness*

- 2C.1 In the last three meetings, what has been the level of participation of women, of youth, and of the poorest groups?

	<u>Active</u>	<u>Moderate</u>	<u>Little/None</u>
a. Women	[] 1	[] 2	[] 3
b. Youth	[] 1	[] 2	[] 3
c. Poor	[] 1	[] 2	[] 3

- 2C.2 In comparison with earlier meetings, was this level of participation more, less, or the same?

	<u>More</u>	<u>Less</u>	<u>Same</u>
a. Women	[] 1	[] 2	[] 3
b. Youth	[] 1	[] 2	[] 3
c. Poor	[] 1	[] 2	[] 3

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

2C.3 To what degree does the organization truly represent its members?

Highly representative	[]	1
Somewhat representative	[]	2
Slightly representative	[]	3
Not representative at all	[]	4

2C.4 What percentage of the population in this community feels included as beneficiaries of the organization or feels its interests are represented by the organization?

Less than 25%	[]	1
Between 25 % and 50%	[]	2
Between 51% and 75%	[]	3
More than 75%	[]	4

2D. *Participation by Elites*

2D.1 To what degree do the more prosperous families in the community (those with land, businesses, or professions) attend meetings, hold positions, or participate in activities of the organization?

Active	[]	1
Moderate	[]	2
Little/none	[]	3

2D.2 What is the relationship of the more prosperous families toward the organization itself?

They are a resource to be counted on, sympathetic and/or supportive.	[]	1
They could be a resource, demonstrating interest but currently are an interfering element.	[]	2
They could be a resource, but demonstrate no interest and currently are indifferent.	[]	3
They cannot become a resource and represent an adversarial or negative element.	[]	4

3. ORGANIZATIONAL CULTURE

3.1 How many members know the procedures, norms, and tasks of the organization?

The majority of members	[]	1
Some members	[]	2
Few members	[]	3

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

- 3.2 How willing is the organization to confront problems with its members (if they were to happen) such as not attending meetings, avoiding work, or stealing property belonging to the organization?

The organization is very willing to confront
damaging behavior on the part of its members. [] 1
The organization is sometimes willing to confront
damaging behavior on the part of its members. [] 2
The organization has little capacity to confront
damaging behavior on the part of its members. [] 3

- 3.3 For serious cases, do guidelines or rules exist to sanction, fine, or expel the transgressor?

Yes [] 1
No [] 2

4. ORGANIZATIONAL CAPACITY AND SUSTAINABILITY**4A. *Specific Capacities***

4A.1 What is the organization's capacity to...

	<u>Excellent</u>	<u>Good</u>	<u>Adequate</u>	<u>Deficient</u>
a. Carry out its specialized tasks (e.g., credit, training, commercialization)?	[] 1	[] 2	[] 3	[] 4
b. Supervise and contract specialized consultants or staff?	[] 1	[] 2	[] 3	[] 4
c. Prepare financial reports for banks, donors, or government?	[] 1	[] 2	[] 3	[] 4
d. Respond in a timely fashion to changes that affect the organization (e.g., price fluctuations, change of government)?	[] 1	[] 2	[] 3	[] 4
e. Develop specific plans for the future (instead of reacting to external opportunities as they present themselves)?	[] 1	[] 2	[] 3	[] 4
f. Reflect upon and learn from experience (build an institutional memory)?	[] 1	[] 2	[] 3	[] 4
g. Resolve problems or conflicts with other organizations or social actors?	[] 1	[] 2	[] 3	[] 4
h. Resolve problems or conflicts within the organization?	[] 1	[] 2	[] 3	[] 4

INSTRUMENTS OF THE SOCIAL CAPITAL ASSESSMENT TOOL

4B. *Collective Action and Formulation of Demands*

4B.1 Does the organization have clearly defined processes for identifying the common needs and priorities of its members?

Yes	[]	1
No	[]	2

4B.2 In the last three years, have there been petitions or other formal expressions of demand by the membership?

Yes	[]	1
No	[]	2

4B.3 Have there been informal ways for members to express their demands?

Yes	[]	1
No	[]	2

4B.4 In what way has the organization addressed these demands?

Promotes demands of common interest	[]	1
Tries to identify common elements	[]	2
Tries to process them one by one	[]	3
There were no demands	[]	4