PARTICIPATORY ENUMERATION AND SAMPLE SURVEY

Household level information at settlement level for informed decision making

WHAT?

In informal settlements in urban areas, socio-economic data and information related to individual slum settlements is often a case of contention from various actors. The mechanisms to gather data at settlement level include the following approaches:

Approach	Activities	Participation (possible)
1. Surveys	▪ Settlement Profiling: Focus on collecting information on residents, land issues, services available/unavailable, resident occupations and relation to the location and documenting settlement boundaries ▪ It can rough community maps and use of GPS to mark structures and the settlement boundaries.	▪ Community organizations ▪ Resident committees
2. Household Enumeration (*it takes place when a particular settlement is ready to take on slum upgrading or resettlement)*	▪ House/Structure numbering: the structures are numbered to show which to be enumerated and correspond that with data collected ▪ Enumeration: Data on households and residents is collected *Data to be collected needs to be consistent between the structure number, head of household details etc*	▪ Slum dwellers ▪ Resident committees ▪ CBOs/NGOs

Enumeration entails collection data (household related data) and information from every individual household in a selected area while socio-economic survey involves establishing baseline information of a given area and often involves the use of a sample.

A **sample survey** is when a representative selection of households in an area takes part in a such an enumeration with a specified questionnaire to get a detailed account of the studied conditions in that area or city.

WHY?

The household-level information is essential to ensuring effective and equitable decision-making, priority-setting, monitoring, and impact evaluations for project-level upgrading interventions. In many cases, accurate information for project planning and implementation concerning the living conditions and socio-economic status of slum dwellers is out-dated or entirely absent. Participatory enumerations are important as:

- They generate information that residents and local governments can use to ensure well-planned interventions;

- They help people get organized around a common understanding of the development issues facing the community;

- They provide baseline data concerning the slum and its households that can be used to measure progress.

Many actors stand to benefit from it. Professionals and governments get a better understanding of residents' needs and land management. Local residents are empowered and learn ways to express their needs. The participation contributes to transparency and trust, improved data gathering and legitimacy, empowerment of residents, and sustainability of coming interventions. For community development, in general, participatory enumerations are important because:

- They ensure transparency and generate trust between local authorities, implementing partners and communities;

- They improve data collection as residents cooperate and provide information;

- They offer an opportunity for community empowerment as they promote a sense of ownership in the planning process, as well as by strengthening the communities' knowledge of community conditions, thereby improving the community capacity for effective collective action.

WHO?

A participatory enumeration should be *participatory*—that is, it should involve the community in its design and implementation. In practice, most participatory enumerations are usually done by non-governmental organisations and community groups that operate in informal settlements. These organisations have gained a lot of experience working with the community and are likely to be seen as trustworthy by the community. NGOs can help facilitate the process as carried out by community groups.

HOW?

PROCESS:

For a successful enumeration process, one needs to start with a clear understanding of some contextual factors. Those include the current conditions and development challenges in the community, availability of different resources to support the process, existing organizations in the community, power relations between residents, policy and legal frameworks, and also the objective of the participatory enumerations.

There is not one single methodology for how to do participatory enumerations since the process always needs to be adapted to the local situation and external factors. However, there is a generic set of steps and activities that are repeated in most participatory enumerations. They are as follows:

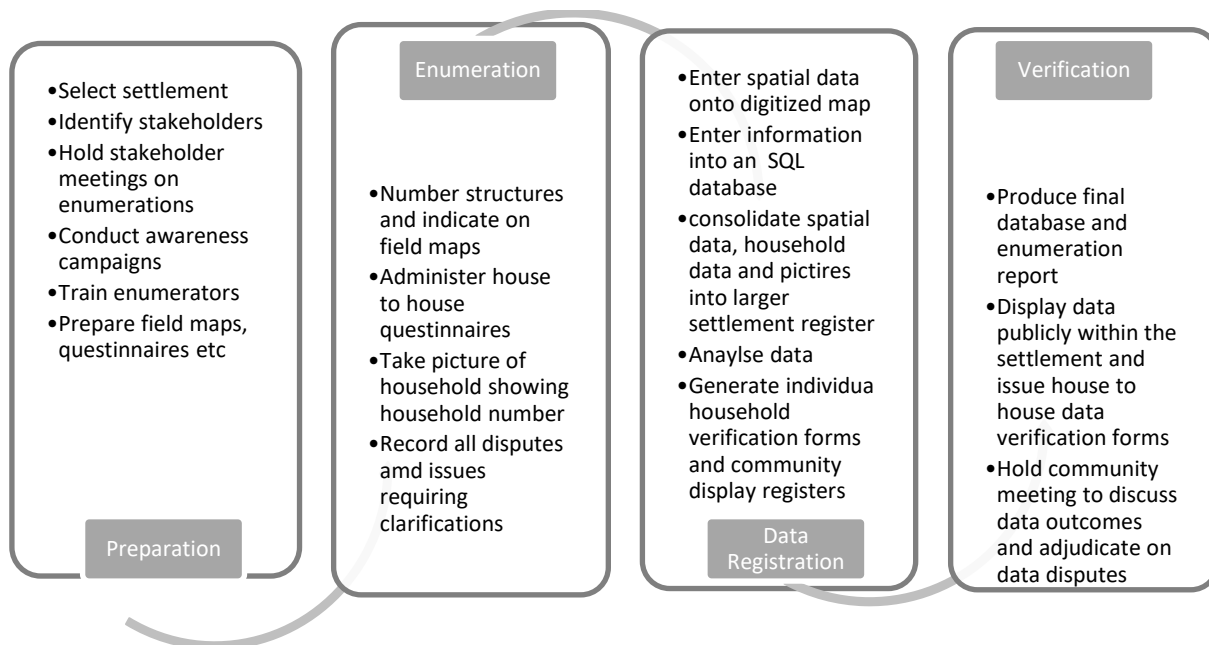| **Preparation**	
☐ Identify the reason for undertaking the enumeration	• The reason for undertaking the enumeration should be stated clearly. • The Implementing Partner, in consultation with the community members, should identify these reasons, based on the type of information that is needed and why
☐ Plan the enumeration	• In order to provide accurate and reliable data, enumerations must be systematic. • It is therefore necessary to define what tasks are necessary and to allocate responsibility among groups and task teams to conduct each task
☐ Organize and train an enumeration team	• The process should be steered by a small core group including the Implementing Partner and community members that will then train and manage larger number of enumerators. • A useful strategy is to train a small group of field research leaders, that then train and supervise data collection of interviewers. • The number of team leaders and community enumerators depends on the size of the settlement and the number of households to interview
☐ Inform and mobilize the community	• It is vital for the success of implementing the enumeration that residents are fully informed of the process and why it is necessary. • It is also important to communicate when they will take place in order to ensure that all households are enumerated.
☐ Gather secondary information	• Secondary information consists of background materials, other data sources, mas, aerial photos, etc. It can b used to guide data gathering or as a basis of comparison (for example, to contrast official figures through a census with those gathered from the enumeration)
☐ Design enumeration instruments and procedures	• This step involves designing the questionnaire based on the information that is needed. • Once designed, the questionnaire must be pre-tested in order to clarify questions • This step must also develop interviewing procedures
☐ Obtain materials and equipment	• Materials range from paper and pencils to surveying equipment, global positioning systems (GPS), personal digital assistants (PDAs), computers and printers.
Data collection	
☐ Conduct the enumeration	• Depending on the nature and scale of the slum to be enumerated and the number of households and whether or not it is necessary to do a representative survey or a study of the entire population, the
Data registration and analysis,	
☐ Enter the data	• Data must be entered from paper form to digital form using a spreadsheet, such as Excel, or data analysis software such as Stata
☐ Consolidate the data	• In any data-collection process, errors occur. Respondents may be absent, not have the correct information at had, decline to answer certain questions, or deliberately mislead the interviewers. Enumerators may fill informs incorrectly or mislay papers. It is necessary to check the data for validity, check responses where possible other data sources, and, where possible, to go back and collective missing items. Public display, presentations and discussion of preliminary findings is often a useful step
☐ Analyse the data	• Once the dataset is reasonably free from errors, it is necessary to analyse the data. This can take many forms. It may consist of calculating simple

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totals and averages. It may include tabulating data to reveal relationships of interest, such as tenure status of female-headed households. It may also be the case that more sophisticated statistical analysis techniques can be used to understand the relationship between two or more variables, such as with econometric analysis. Data analysis can also include a public discussion in order to assess the implications of the findings.

Validation	
☐ Validation	• The information is 'returned' to the community for scrutiny and as it ensures that the community knows who was enumerated in their settlement. Involve Resident committees and community members.

Reporting	
☐ Reporting	• Reporting means converting the analysis into a report that can be used. This will likely include a written analysis and statistical tables, and mapping. Participatory enumerations have typically two audiences – the residents themselves, and the local government – so it may be necessary to prepare the information in different formats to suit each audience.
☐ Using the information	• The data and analysis acquired by the enumeration and reporting should be used as a tool for participatory settlement planning. The statistical information will help technicians and communities arrive at feasible interventions and assess trade-offs between interventions.

Figure 1: Schematic representation of possible steps in undertaking a participatory Slum Enumeration. Adopted from Pamoja Trust

Preparation
- Select settlement
- Identify stakeholders
- Hold stakeholder meetings on enumerations
- Conduct awareness campaigns
- Train enumerators
- Prepare field maps, questinnaires etc

Enumeration
- Number structures and indicate on field maps
- Administer house to house questinnaires
- Take picture of household showing household number
- Record all disputes amd issues requiring clarifications

Data Registration
- Enter spatial data onto digitized map
- Enter information into an SQL database
- consolidate spatial data, household data and pictires into larger settlement register
- Anaylse data
- Generate individua household verification forms and community display registers

Verification
- Produce final database and enumeration report
- Display data publicly within the settlement and issue house to house data verification forms
- Hold community meeting to discuss data outcomes and adjudicate on data disputes

WHAT DATA TO COLLECT

The type of statistical information or data that is gathered in enumerations depends largely on the purpose of the enumeration and the resources available for the task. However, there are some guiding questions to consider when deciding what data to collect:

- Do you need exact information on the population or is a sample and extrapolation from that enough?
- What units of analysis is needed – data for the households, for the individuals or for the land plots?
- How much spatial referencing is needed – boundaries for each plot, an address, a spot on a map or maybe no spatial referencing?
- What variables do you need to know for your specific purpose with the participatory enumeration?

Some general categories of information that is good to cover are: basic household information (including tenure status), physical information, social information, economic information, organizational affiliation, and perceptions or positions on community issues.

This also depends on whether a recent enumeration has been conducted and, given settlement conditions, whether or not the data is still relevant at the of the intervention. Table below provides some useful types of data that are commonly sought in the implementation of enumerations at the household-level.

Table 2: data at household level

Basic household profile	▪ Number of family members ▪ Age of household members ▪ Gender of household members ▪ Educational levels of school age children ▪ Civil status of household heads ▪ Length of residency in the community ▪ Tenure status (house owners, renters, sharers, etc.) ▪ Type of structure (concrete, semi-concrete, wood, other light materials)
Physical profile	▪ Size of plot ▪ Location of plot ▪ Size of housing ▪ Number of rooms ▪ Quality and building materials of housing ▪ Number of persons in the house ▪ Connection to services and infrastructure (water and sanitation, electricity, etc.)
Social profile	▪ Province where households comes from ▪ Ethnicity ▪ Religious affiliation ▪ Relatives in the community ▪ Access to or sources of basic services
Economic profile	▪ Occupation, employment ▪ Type of work (regular, contractual, seasonal, etc.) ▪ Primary income source ▪ Other income sources ▪ Amount of monthly income ▪ Major household expenses (as percentage of monthly income)

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	▪ Access to sources of credit/lending facility or institutions (government and private)
Organisational affiliation	▪ Membership in community organization ▪ Position in organization ▪ Length of membership in the organization
Perceptions or positions on community issues	▪ Knowledge/understanding of issues affecting the community ▪ Opinions on issues affecting the community ▪ Position/s on the issue/s affecting the community ▪ Recommendations to address community issues

Source: Adapation from original paper by Feloma Duka, DAMPA/Huairou Commission in UN-Habitat (2010) Count me in: Surveying for tenure security and land management

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Case study:

In 2006 the World Bank did a sample survey enumeration of the slum settlements in Nairobi, Kenya. A total of 1755 households in 88 different areas were part of the survey. The 88 slum settlement areas were selected by random. In each of those areas a complete list of all households were updated, and then the sample households were chosen at random from those lists. This sampling of households was done to make sure that the results would be representative for the conditions in the slums settlements of the city overall. A trained 'enumerator' went to each of the chosen households to talk to the household head or the spouse. The enumerator brought a detailed questionnaire. To structure the data the questionnaire was divided in the following eight modules:

DEMOGRAPHICS AND HOUSEHOLD COMPOSITION: The questions in this module seek to provide information on the household size, composition and educational level. They also provide knowledge about migration patterns and duration of stay in the structure/house.

ECONOMIC PROFILE: The questions seek to identify the poverty income status of the households. Questions on assets are included in order to allow for estimation of wealth distribution without recourse to expenditure and income data.

INFRASTRUCTURE SERVICES: The questions seek to provide detailed information on access to infrastructure services such as water, sanitation, waste disposal, electricity, roads and lights. It provides information on the quality of these services, how services and their maintenance are organized.

HEALTH, CIVIL PARTICIPATION AND CRIME: The questions in this module address the respondent's own health situations to try to identify the need for health care. Included are questions on access to health care, access to schooling and perceived safety in the neighbourhood.

SECURITY OF LAND AND TENURE: This module seeks to obtain information on the perception of tenants and owners on security of tenure in reference to the various forms of property rights that they possess. Moreover, the module will provide insights into the extent to which upgrading leads to increases in rent and displacement of the poorer residents, as reported in the literature.

HOUSEHOLD ENTERPRISES: The questions seek to identify the extent and type of economic activity within the settlement. This mainly includes employment of household members and others as well as information about types of enterprise and where if the products are sold inside or outside the settlement.

PROJECT BENEFICIARY ASSESSMENT: The purpose of this module is to obtain information on whether the settlement has been upgraded, whether the residents are aware of this, and what impact the upgrade has had.

HOUSE AND SETTLEMENT PROFILE: The questions in this module seek to identify the type and quality of housing. It provides information on what materials are commonly used and the current condition of the structures in the slum settlement.

Further references:

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