Caucasus Research Resource Centers

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Data Initiative 2007

BLOCK LISTING INSTRUCTIONS

Final Draft for Georgia, August 11, 2007

Introduction

Availability of accurate lists of households in both urban and rural settlements is one of the major preconditions for a high-quality representative survey. Representativeness of the sample interviewed and, eventually, the reliability of survey data depends on the quality of these lists.

The sampling design of the Data Initiative–2007 survey in Georgia is based on the information provided by the Georgian State Department for Statistics. Primary sampling units – sometimes know as clusters – coincide with Instructor Areas of the 2002 Census of the population of Georgia. There are a total of 81 primary sampling units (PSUs) in the DI 2007 sample, representing all regions of the country, and averaging 400 households per PSU.

The current situation, however, does not always accurately reflect the situation documented in 2002, since households change their dwellings over time, new households are being formed, and some cease to exist. Households that currently exist may not match the lists made in 2002. Hence, block listing is performed in the selected 81 PSUs before the sampling of households within clusters is performed, to ensure comprehensiveness of the lists of households in each of these clusters. The quality of the existing lists provided by the Department of Statistics reviewed and updated during the block listing.

The 2007 lock listing methodology has been developed for DI 2007 by block listing experts[1] who trained regional fieldwork supervisors. These supervisors trained block listers in their regions, with checks from the central office.

During block listing, lists of households provided by the Georgian State Department for Statistics were used together with maps of the respective clusters (neighborhoods or settlements) provided by Geoscope, a mapping company. A private company was used because the Department of Statistics claimed that the maps that they used to delineate the census tract boundaries no longer existed. The second part of this document is devoted to special instructions about the usage of maps during block listing (pages 7-9).

The process of block listing is different in urban and rural settlements, since the initial information we have for these types of settlements (both lists of households and maps) is of varying quality. In Georgia, *dabas* are considered urban settlements, and instructions for urban settlements should be followed there.

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[1] The original version of these instructions was developed by experts Irakli Apkhaidze and Giorgi Gigauri. We would like to thank Dr. Cynthia Buckley for her extensive help in the process of developing block listing methodology and instructions for DI 2007.

Block Listing in Urban Settlements

Each block lister working in an urban settlement will be provided with the following two documents:

-   A **map** of the respective PSU with clear identification of streets and buildings, where each building is given a unique ID number which is not repeated within this PSU;

-   **A list of household** addresses indicating the street name, building and (where applicable) apartment number. In the cases that dwellings are situated in the so called "Italian yard,"[2] the last name and initials of the head of household will also be provided in addition to the street name and building number, since no apartment numbers exist in these type of buildings. Lists of households in urban clusters will be sorted by addresses.

Each, block lister should study these documents before going into the field.

During the work, it is recommended that the block lister lists the buildings starting from a building with a lower street number and moving in the direction of the building with higher street number; in the apartment houses, s/he has to start from the bottom floor and continue working towards the top floor.

Block Listing in Rural Settlements

Each block lister working in a rural settlement will also be provided with a **map** of the respective PSU and a **list of households**. However, since the addresses are not organized in the villages, street names and building numbers are not available for rural settlements in Georgia. Instead, the only possible information allowing identification of the households in rural settlements is last name and initials of the head of household. Lists of households in rural clusters will be sorted by last names of the heads of households.

Temporary settlements without a permanent population, such as hunters' houses, parking, groups of dwellings related to road maintenance, transportation, etc., have to be ascribed to the settlement they are connected with administratively. Buildings or groups of buildings situated on the edge of a settlement but belonging to this settlement (e.g. school, hospital, distant houses) should be considered as part of this settlement.

FILLING THE BLOCK LISTING FORM

The block lister is required to check each household from the list of households provided, and each building located on the map within the borders of the given cluster, and to document all changes in the Block Listing Form.

The Block Listing Form consists of four parts: (1) Information sheet; (2) Main sheet; (3) New households' sheet; and (4) Notes' sheet.

1. Information sheet

The PSU number, names of region and rayon and their codes will be pre-filled in the Block Listing Form for each PSU. The Name of each block lister and supervisor should be

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[2] In the case of Italian yards block listing remains near impossible from lists of addresses alone, as dwellings do not have separate number and often do not have clearly marked front doors. Many of these yards also have quasi-communal aspects including shared toilets and or kitchens.

written on this page, along with their codes, with which the supervisors will be provided during the training. Each block lister has to sign the form next to his/her code after his/her work is finished, and the supervisor has to sign the form upon the acceptance of the document.

Each block lister has to fill dates when block listing started and ended in the given cluster.

In order to facilitate the work of the block lister(s), codes for Columns 12 and 13 from this Instruction are provided on the Information sheet of the Block Listing Form.

2. Main Sheet

The Main sheet of Block listing form is different for urban and for rural settlements.

There are 13 columns in the Main sheet of Block Listing Form designed for urban settlements, and 7 columns – in the Main part of the Block Listing Form designed for rural settlements. Rules for filling each of these rows are provided below.

In the **Column 1**, the number of the household within the given cluster is provided. This column is the same in the Block Listing Form for both types of settlements, and is pre-filled. No block lister should fill out this column.

The **Column 2** is also the same in the Block Listing Form for both urban and rural settlements. The Building ID number from the map provided should be written here. As mentioned above, each building in the given cluster has its own unique ID number. In cases where a building is not on the map and therefore does not have an associated ID number, each block lister has to draw this building in the correct place and provide it with an ID number; the numbering of the missing buildings has to start with the next highest number of the building indicated on the map of the given cluster. While drawing missing building(s) on the map, each block lister has to take into account its placement with respect to other buildings, and keep the proportions and form of the building to the extent possible.

NOTE: In rare cases, a block lister will only have a topographic map with no buildings (and no ID numbers) on it. Such cases are given special attention during the training and they will be discussed individually by the trainers and supervisors of respective regions.

Please note that **Columns 3 through 7** will be pre-filled in the Block Listing Form. If they are not filled in on the form you received before block listing, this means either there was no need to fill them in, or it was not possible to do so. **No Block lister should fill out any of these columns!**

The name of settlement is provided in **column 3**. This column is the same for urban and for rural settlements.

Columns 4, 5, and **6** exist only in the Block Listing Form designed for urban settlements. These columns will also be pre-filled. We don't have these columns in the Block Listing Form designed for rural settlements because this information is not available for rural settlements.

The street name is provided in the **Column 4**.

The building number is provided in the **Column 5**.

The apartment number is provided in the **Column 6**. This column will not be filled out when there are single household dwellings (as opposed to apartment houses); it will be filled in case of apartment houses.

Column 7 exists in the Block Listing Form for both types of settlements. The last name and initials of the head of household has to be filled in **Column 7**, in cases where there is no other method to identify the household. In urban settlements, this column will be pre-filled only in cases of the so called "Italian yards." As for rural settlements, as mentioned above, names of the head of household is the only information allowing identification of households; hence, this

column will be pre-filled in the Block Listing Form for rural clusters. No Block lister should fill anything in this column, no matter whether it is pre-filled or empty.

Columns 8, 9, 10, and **11** are devoted to changes and should be filled only in the case when a block lister has documented any differences between the original list of households and/or map and the real situation. Namely,

In urban settlements:

Changes of street name should be documented in **Column 8**;

Changes of building number should be documented in **Column 9**;

Changes of apartment number should be documented in **Column 10**;

In "Italian yards" and in villages:

Changes to the name of the head of household, wherever we have this information, should be documented in **Column 11**. Moreover, in all cases when the last name and initials of the head of household is the only identification information of the household, each block lister has to write down the entire first and patronymic of the head of household, because initials are expected to be repeated many times in the villages and hence are not satisfactory information for identifying households. Having full first names and patronymics will help finding respective household during the fieldwork.

When no changes have been documented, **Columns 8, 9, 10** and **11** should remain empty.

Columns 12 and **13** exist in the Block Listing Forms for both urban and rural settlements and should be filled in for each household.

The Type of building should be indicated in **Column 12**. The following codes are to be used while filling this column:

    1 – private house;

    2 – apartment situated in an "Italian yard";

    3 – apartment building;

    4 – dormitory;

    5 – hotel with permanent inhabitants (refugees);

    6 – trailer, etc.;

    7 – other building not used as a household dwelling (school, hotel, restaurant, etc.). Same code is used for buildings that are being built, for buildings having agricultural functions, parking, etc.

Code corresponding to the current status of the building should be written in **Column 13**. The following codes are to be used while filling this column:

    1 – household dwelling;

    2 – new household dwelling;

    3 – merged households;

    4 – divided households;

    5 – not a household dwelling;

    6 – dwelling closed;

    7 – demolished dwelling;

    8 – dwelling/address does not exist.

Please note: If there is code "8" ("Dwelling/Address does not exist") in **Column 13** ("Status"), **Column 12** ("Type of household") should not be filled.

Special Cases:

Merged households:

In cases where the block listers document merged households in apartment buildings, in **Column 10** ("Apartment No.") of the row corresponding to the first of the merged households both apartment numbers should be written down, separated with comma. In **Column 13** ("Status") of the same row code '1' ("Household dwelling") should be written. In **Column 10** of the row corresponding to the second of the merged households, both apartment numbers should be written once again, separated with comma; in **Column 13** of this row, however, code '3' ("Merged households") should be written.

In cases of private houses situated in urban settlements, in order to document merging of households in the Block Listing Form, in **Column 9** ("Building No.") of the row corresponding to the first of the merged households both building numbers should be written down, separated with comma. In **Column 13** ("Status") of the same row code '1' ("Household dwelling") should be written. In **Column 9** of the row corresponding to the second of the merged households, both building numbers should be written once again, separated with comma; in **Column 13** of this row, however, code '3' ("Merged households") should be written.

In cases where merged households are being documented in rural settlements, the same approach should be followed; instead of indicating Apartment number or Building number, however (this information is not available in rural settlements), use Building Identification Number (**Column 2**).

Divided (separated) households:

In cases when a new household has been documented in the dwelling where another household lives (i.e., when two households live in the same dwelling), information about the first (basic) household should be written down in the Main part of Block-listing form. The second (new) household should be written (added) in the third part of the Block Listing Form, "New households," and respective status (code '4') should be assigned to it in Column 13. Building and/or Apartment numbers will remain the same and will be repeated in the row for the second household.

Closed dwellings:

Any dwelling that has been uninhibited for the last 6 months, as well as any dwelling which is not a primary dwelling for a given household (e.g., vacation house) and where the owner lives episodically, is considered a closed household (code '6' in **Column 13**).

3. New Households

This part of Block Listing Form is also different for urban and rural settlements. Information about households which are missing from the list of household addresses, but which are within the borders of the cluster, should be filled in this part. (See instructions on drawing cluster boarders on page 9.)

Please note that this part of Block Listing Form is <u>not</u> designed only for buildings and/or households that have been built recently– these can be buildings and/or households that have existed for a long time, but are missing from the original documents provided to the block lister.

Columns in this part of Block Listing Form are the same as columns in the previous part of the form and should be filled in based on the same principles.

The numbering of new households continues numbering in the first column of the Main part of list of households the block lister has been provided with originally. In order to fill in the second column, however, information from the map should be used.

In cases where a missing building has been documented within the borders of the cluster, which is not on the map provided to the block lister, this new building has to be drawn on the map and a unique identification number has to be provided to it by block lister. If the household living in this building is missing from the list of households as well, it should be entered in the third part of the Block listing form so that all respective instructions are followed and necessary codes assigned.

If a demolished or ruined household dwelling has been documented within the borders of the cluster, which is missing from the map – again, it has to be drawn on the map and unique identification number has to be provided to it by block lister.

If a building has been identified which is on the map, has a unique identification number, but is not a household dwelling (e.g., parking, school, etc.), in order to facilitate each block lister's work, circle this building on the map, but <u>do not</u> enter it in the Block Listing Form.

4. Notes

The last page(s) of Block Listing Form is designed for additional notes the block lister(s) may have. This part should be filled in all cases when the block lister(s) found it difficult to find or access any of the buildings within the borders of the given cluster.

This part consists of three columns. In the first column ("No."), building number should be written from **Column 1** of the second ("Main part") or third ("New households") part of Block Listing Form. In the second column ("Building ID No.") the unique identification number should be written from **Column 2** of the second ("Main part") or third ("New households") part of Block listing form.

In the third column, all additional information regarding this household and/or its dwelling that the block lister finds important should be documented. This information will later help interviewers find this household, if it is sampled for the interview, and will facilitate the fieldwork. Information about any special buildings or landmarks (school, church, hotel, local administration, etc.) situated close to the given household's dwelling can be indicated here. In case when a new building is documented, its location should be explained.

Attention!

In case of any difficulties encountered in the process of block listing,

please contact block listing supervisor in /country/:

[NAME]

Tel.: XX XX-XX-XX

ROLE OF MAPS
# AND HOW TO WORK WITH THEM

While working with maps, two different situations are to be considered: (1) working with existing settlement maps ("block maps"), where all streets and buildings of the given cluster are indicated, and (2) working with topographic (area) maps, where there are no buildings shown. Both cases will be considered below.

<u>1. Maps and plans with buildings</u>

Various topographic and/or cartographic elements are used on maps. These are:

- **Arrow indicating North**
  This arrow shows how the given cluster is situated in respect to North, South, East and West. Top of the maps always indicate North.
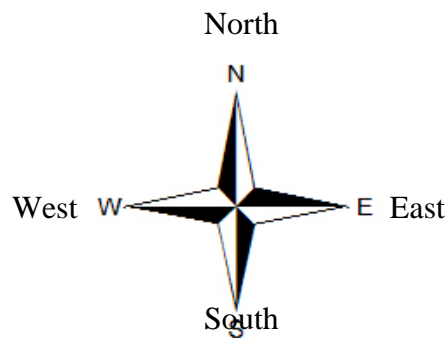
- **Scale**
  It provides information about the actual distance between the objects drawn on the map. E.g., "1:500" means 1 centimeter on the map corresponds to 500 centimeters (5 meters) in reality.

- **Legend**
 It shows which color corresponds to which object. E.g.:

- **Building numbers**
  Since household addresses are best organized in the capital of Georgia, Tbilisi, building numbers on Tbilisi map have different meaning compared with building numbers on maps for other settlements. E.g.:

The building at 17, Gamsakhurdia Ave. in Tbilisi has the same building number on the map, and will be documented in the Block listing form under the same number, both the column "Building ID No." and "Building No.":
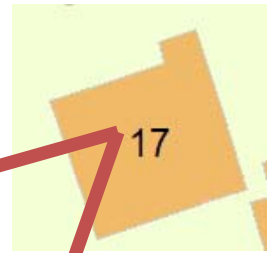
No.	Building ID No.	Settlement name	Street name	Building No.	Apartment No.
23	**17**	TBILISI	K. Gamsakhurdia Ave.	**17**	
24					
25					

In Telavi, however, building at 17, Gamsakhurdia Street will have a different number on the map, and two different numbers will be used in Block listing form to document this building:
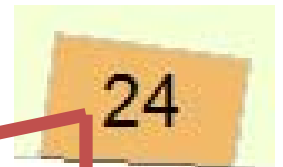
No.	Building ID No.	Settlement name	Street name	Building No.	Apartment No.
247	**24**	TELAVI	K. Gamsakhurdia St.	**17**	
248					
249					

2. Topographic (area) maps

In the clusters for which there are no maps with identification of streets and buildings, topographic maps should be used, which will help to orient block listers and to draw borders of clusters as precisely as possible.

Updating Maps and Drawing Borders

During block listing, all inconsistencies between the map provided and the actual situation should be documented on the map.

Block listers have to follow the streets and fill in the Block Listing Form dwelling by dwelling. It is recommended that each building that has been accounted for in the Block Listing Form be circled.

Once all dwellings where the households listed in the original list of households provided to block lister have been entered into the Block Listing Form, each block lister should draw the border of the cluster, so that all households that have been block listed are within the borders of the cluster. Ideally, all buildings within the boarders of the cluster will be already circled, meaning that they have already been accounted for in the Block Listing Form. If this is not the case, however, each block lister has to check all buildings that are not circled on the map and update the list of households so that all dwellings that are within the boarders of the cluster are accounted for.

All the objects that are helpful for orientation within the borders of the cluster should also be indicated on the map, such as preschool, church, river, etc.

Attention!

In case of any difficulties encountered in the process of working with maps,

please contact mapping supervisor in /country/:

[NAME]

Tel.: XX XX-XX-XX

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* * *

Thank you very much for working with CRRC-/country/. We are looking forward to receiving high quality results of block listing from you.
Please contact CRRC-/country/ office in case of any difficulties, problems, unexpected situations:

Contact person:

[NAME]

Tel.: XX XX-XX-XX

E-mail: xxxxxxxxxx

Regional supervisor: _____

Tel: _____