



Thailand Vietnam Socio Economic Panel

Enumerator Guidelines

Household Survey 2017 (7th wave)

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Introduction

1. General background of TVSEP

The Thailand-Vietnam Socioeconomic Panel (TVSEP) “Poverty dynamics and sustainable development”, is a unique research project for the collection and analysis of socio economic panel data in rural areas of emerging Asian economies. It is funded by the German Research Foundation (DFG) with a time horizon until 2024. It is the only socio-economic panel that runs parallel in Thailand and in Vietnam. In both countries three provinces are included in the panel. These are Nakhon Phanom, Ubon Ratchathani and Buri Ram located in the northeastern region of Thailand; and in Vietnam these are the provinces Ha Tinh, Thua Thien-Hue and Dak Lak located in the Central Highlands. TVSEP is a very important project for the developing and emerging market economies because the collected data allow addressing many critical research and policy questions.

The TVSEP project has emerged from a previous research project, the DFG Forschergruppe (FOR) 756 “Impact of shocks on the vulnerability to poverty: consequences for the development of emerging Southeast Asian Economies” which was implemented from 2007 to 2013. DFG-FOR-756 has established a unique panel data base of some 4000 rural households with over 20,000 individuals in 440 villages. Until 2013 five rural household (and village) surveys and a migrant tracking survey in Bangkok and Ho Chi Minh City have been carried out. The analysis of the data collected has led to methodological advancements and important empirical findings as well as significant contributions to research for developing and emerging market countries. The output of DFG FOR 756 has been documented in high level journal publications, including a special issue in World Development, a volume published in Palgrave MacMillan, and numerous conference papers and PhD theses. This success was only possible because of data which have been collected by students and junior researchers from the two countries are of highest quality.

In order to further exploit the enormous research potential from this unique and high quality panel data set, the TVSEP project has been established. It has started in 2016 and planned to run for a period of nine years, i.e. until 2024. By the end of the project TVSEP will have ten panel waves of household and village surveys and in addition three migrant tracking surveys. It is expected that the scientific output generated on the basis of the Thailand-Vietnam Socioeconomic Panel will make a

significant and internationally highly recognized contribution to science and policy in the fields of development and agricultural economics. It will also serve as a rich source of data for government and non-government development organizations of the two countries.

For example, the data will be used for rigorous impact evaluations of policy interventions especially those which take some time to generate impact like health services and education. Also, long term panel data are essential for a better understanding of the dynamics of poverty considering an increasingly risky natural and political environment. Finally, the panel data facilitate the measurement of welfare effects caused by long term structural change in rural areas of the two countries especially land and labor markets and village institutions. Also, data on individual household members will provide policy makers with a better understanding of the long term effects of intergenerational mobility of rural household members. For example, our research will show, if rural people are able to improve their position in society or remain behind the development of people in the cities.

The 2017 rural household and village survey is the second under the auspices of the Thailand Vietnam Socio-economic Panel (TVSEP) project and it is the 7th since the onset of the DFG research project. Since 2016 the questionnaire is administered as an electronic tablet-based questionnaire. Most of the modules and questions in the questionnaire have been kept since the first survey in 2008 while many other questions and modules were added. With every survey round more experience with the questionnaire has been gathered. Weakness in the formulation of questions, missing codes and misguided skip instructions were corrected year by year. Furthermore, the data cleaning process after each survey and the feedback from data users further helped to improve the questionnaire. Nevertheless, no questionnaire is perfect. In every survey, new issues will come up and new weaknesses will be detected. Hence this “guideline document” is just a set of recommendations that of course must be followed by enumerators but it is also clear that not all questions in connection with an interview can be answered by the guidelines.

2. Purpose of the guidelines

The enumerator guidelines presented here are intended to serve as background material and as a guide book for enumerators and team leaders when questions arise in connection with the 2017 TVSEP survey. The guidelines aim to give helpful explanations to the questions and codes formulated

in the tablet-based questionnaire (we call this CAPI, which means Computer Assisted Personal Interviews). The guidelines are also applicable for the printed version. In any case you must carry your printed questionnaire with you at all times. . The explanations are given to the answer codes which are meant to help enumerators and supervisors to get the correct answer from the respondents. Explanations are also given to the skip instructions that guide enumerators through the electronic questionnaire.

The highest priority of the survey is to obtain reliable and valid information on the livelihoods of the respondent households during a defined reference period. In the 2017 survey the reference period is from 1 May 2016 to 30 April 2017. In the case that the information to be obtained from the respondent deviates from the survey period this will be clearly stated in the electronic questionnaire.

The guidelines cannot take away the responsibility of the interviewer to make a decision for example when choosing a code that can reflect the answer of the respondent. The decision must be made during or immediately after the interview. In the latter case the enumerator must make a comment (using the note function of the tablet computer) so that a decision can be made after the interview has finished. If the enumerator cannot make a decision he/she must inform the sub-team leader. Major problems with the questionnaire must be stated by the enumerator and/or sub team leaders during the daily team meetings in the evening. In any case, problems and questions that show up often should be discussed with survey team leaders, country coordinators or overall survey coordinators.

3. Structure of the survey team

The TVSEP survey team consists of several levels (see appendix 1). Details of the survey organization are further explained in appendix 1.

4. General Rules before starting the Interview

1. To complete your questionnaire and minimize errors, there are a few general rules that need to be observed /considered: Introduce yourself in a nice way and politely inform the respondent of the purpose of the interview using the introductory statement on the first screen of the CAPI (after you press start).
2. Ask the respondent if she or he agrees to be interviewed. If she really does not want, ask her whether you can come later. In that case ask if the interview could be done later and inform your sub-team leader.

Accept that other household members are around for the interview. They may also provide information but always ask the consent of the respondent before you write it down.
3. Ask the respondent if she or he has understood the question in case you observe that the respondent may have difficulties or is uncertain about the question.

Always try to maintain a good atmosphere, if the respondent gets tired offer to have a short break and then continue.
4. Read out question by question slowly and carefully. Especially recognize the interviewer instructions and notes in brackets that have been added to some of the questions.
5. The CAPI will follow the “skip” or “go to” instructions written in different parts of the questionnaire. For example, in section 2.1 you will ask for the marital status of household members over the age of 13. Usually, the tablet program should support most of the skip instructions. However, there could be specific cases or technical errors. In the unlikely even that this should be the case please continue to follow the tablet with the next question and inform your supervisor after the interview. Take notes in your notebook for answers to the questions that are incorrectly skipped by the tablet. For further information see the paper-based questionnaire.

6. Do not leave out any question. In case the respondent answers that he/she does not know ask him/her to make an estimate. This is especially important for all quantitative information that is needed for calculating household income and expenditure. For cases where you really have the impression that the respondent is just giving any answer without seriously thinking about the estimation, make a note in your tablet. Please keep in mind that all income related information (e.g. the price of a crop which was sold) is of utmost importance for our final survey results.
7. For most questions, answers are coded. You will learn these codes during the training, however, you should continuously study the codes so that it will be easy for you to make a decision during the interview. You do not need to learn them by heart but you should be familiar with them as the answer of the respondent will often not clearly fit to a given code. You must find the best code that is suitable for the answer of the respondent. Therefore after the training and before the interviews start, read through the questionnaire at least three times.
8. There are two specific codes, which you will find in many codelists which show that none of the codes fit.. They always should be used in caution, and only if no other answer can be found:

Code 90 – other, specify: If there is no appropriate code for the answer, you can use code 90 and specify the answer in words. Avoid to use code 90 (others, specify). Try to find the nearest code. If you are unable to do so, make use of code 90 and give a short specification.

Code 98 – Respondent does not know the answer or does not want to answer. Please explain the purpose of the survey again. You should also avoid using this answer.

9. If the respondent gives multiple answers to questions, where only one response is expected, clarify with the respondent his predominant (most important) choice.
10. For all **numerical values**, the plausibility should be checked during the interview. If the respondent gives implausible values (either too high or too low) ask him again. If he insists, try to clarify the unit and if it is still the same answer make a comment such as “respondent confirms”. You should bring such cases up to your supervisor when he checks your tablet in the village after the interview is finished.
11. Make sure not to mix up value and price. Remember:
 - value = quantity times price.
 - Price is expressed per unit, e.g. per kg, per ton, etc. Therefore, always clarify the unit.
 - Monetary values in Thailand are in Baht. In Vietnam it is in units of 1000 VND. So please be careful with the number of digits if the amount is big, e.g. one million. For example in Vietnam if the amount is ten million and the unit is 1000 VND you must write “10 000”.
12. If the plausible answer for quantitative information (e.g. crop yield) is 90 or 98 **write 90.1 and 98.1 instead**. Otherwise it can be confused with the respective codes.
13. Always be clear on the **time horizon that the respondent uses when giving his answer**. Mostly this will be in weeks, months or by year. The answer may also be in other units of time. Make sure to transform the value to the required time horizon. Make quick plausibility calculations using your calculator. For example, if the unit is month, you can calculate the amount per year by multiplying by 12 or for weeks multiply by 52. If the value turns out to be implausibly high, reconfirm with the respondent (see point 11).

5. Structure of the questionnaire

The TVSEP household questionnaire is divided into 11 sections. The sequence of the sections is based on the idea of making the interview as easy as possible. Therefore we do not split the interview into quantitative, qualitative and subjective assessment sections, but rather

change between the three. It is important that you do not change the sequence of the sections as given in the tablet! The sequence is as follows:

1. Section 1: Survey Information
2. Section 2: Household member
 - 2.1 Household member and presence
 - 2.2 Education
 - 2.3 Health
 - 2.4 Household dynamics
 - 2.5 Trust, fear and religion
3. Section 8: Household expenditures
4. Section 3: Shocks and risks
5. Section 4: Land and agriculture
 - 4.1 Land
 - 4.2 Agriculture
 - 4.3 Livestock and livestock products
 - 4.4 Fishing, hunting, collecting and logging
6. Section 5: Wage employment
7. Section 6: Non-farm self-employment including cottage industries
8. Section 7.1: Borrowing, lending and savings
9. Section 7.2: Public transfers and insurance
10. Section 10: Character traits
11. Section 6.2: Investment and disinvestment
12. Section 9.1: Household wealth
13. Section 9.2: Housing conditions
14. Section 11: Interview evaluation- Enumerator

6. Preparing the tablet questionnaire prior to the interview

The Household information sheet is a printed overview of some of the answers from the 2016 survey. It will help you to keep track of the information from the last wave. Please use it to prepare yourself for the interview and keep it as a reference during the interview. You will be required to enter in some of this information during the evening prior to the interview (e.g. two interviews per day). Make sure that you do not mix up the two interviews when you prefill the information and when you start the interview. Use the QID variable (a 10 ten digit number in Thailand and 11 in Vietnam), which captures the location of the household, as a reference. It will be prefilled in the tablet on the opening screen and is printed on the household information sheet.

Generally, all questions as noted below will be found in the household information sheet and must be entered in the tablet. The list below shows the number of associated with the question alongside the text. When you open the interview in the tablet some information will be prefilled by the TVSEP headquarters by the time the survey starts (e.g. Names and ID codes of household members for the list in the tablet in section 2).

During the interview check the plausibility of answers from the last wave by asking the respondent for confirmation. If the respondent gives a different value, then edit in the tablet and enter the new value

- **Section 1**

10001 Province ID

10002 District ID

10003 Sub-District ID (TH: Tambon, VN: Commune)

10004 Village ID

10005 Household ID

- **Section 2.1: HH members**

21003	gender
21004 and 21004a	age
21005	Relation to household head
21007	place of birth
21008	how long has ... been living with the household
21009	reason for joining
21010	previous location
21011	Ethnic group

- **Section 2.2: Education**

Fill in the whole section

- **Section 3.2: Risk**

Please fill in Risk ID for each risk roster.

- **Section 4.3.1 Livestock**

43100	Livestock ID
43102a	Category of livestock
43102 Type of livestock	43103 Stock at the beginning of the period (05/2016) using stock at the end of 4/16 (unit)
431003a	Value of stock at the beginning of the period (05/2016) using value of stock at the end of 4/16

Note: 43103 and 43103a are created using 43109 and 43109a from the 2016 survey.

Note: all pre-filled information will be checked again by sub-team leaders.

Section 1: Survey information

QID Questionnaire ID that is assembled from a 2 digit code (Thailand) / 3 digit code (Vietnam) for the province, 2 digits for district, 2 for sub-district, 2 for the village and 2 for the household.

10001	Province ID
10002	District ID
10003	Sub-District ID
10004	Village ID
10005	Household ID

Note: QID is generated from variables 10001 – 10005. Please check carefully that all IDs in 10001 - 10005 match with the QID in tablet and on your household information sheet.

10006 Address of the household. Please check with respondent if prefilled information is correct.

10025 Please try to get the telephone number of household head/respondent. Be careful when you enter the number and make sure that you do not miss any digit.

10023 Name of household head in 2016

10023a I.D. code household head 2016 (referring to variable 10011 from 2016).

Please check with the respondent whether the household head changed from 2016.

- If yes, fill in the name of new household head in Q10, check with the respondent if the spelling is correct, fill in his I.D. in Q11 and then answer Q24.
- If no, please fill in the name of household head from 2016 in Q10 and his I.D. from 2016 (Q23a) in Q11

- 10012a Name of respondent 2016 (referring to variable 10012 from 2016)
- 10012b I.D. Code Respondent 2016 (referring to variable 10013 from 2016)

If the respondent in 2016 was not the HH head, but this year the HH head is available, please interview the household head. If the HH head is not available or cannot be interviewed e.g. because of old age, we firstly attempt to interview the respondent from 2016 survey; otherwise enumerator will interview the best available representative of the household head, who must be a member of the household and knowledgeable about household conditions. Do not interview non-household members, minors (16 years and below) and migrant household members, who happen to be there at the time of the interview.

- 10014 Name of interviewer
- 10015 I.D. Code Interviewer

The headquarter will assign a certain amount of interviews to each enumerator. Variable 10004 and 10005 can be changed in case the assigned enumerator cannot do his task and interview is done by another enumerator or sub-team leader. In such a case fill in the appropriate information.

- 10016 Name of supervisor (PTL)
- 10017 I.D. code PTL
- 10020 Name of STL who check the interview in the field and upload the completed questionnaire day-by-day
- 10020a I.D. code STL
- 10022a Name of supervisors i.e. PTL, APTL and DCA (in country and in Germany) who check the respective interview.

Questions 16, 17, 20,20a and 22a are pre-filled by headquarter and cannot be changed.

10022 Summary from enumerators e.g. which comments from their supervisors are already revised or note for special case/information from the interview

23	Name of household head in 2016		23a	I.D. code household head 2016					
24	If not same household head, why?			Code A					
10	Name of curent household head		11	I.D. Code curent household head					
12a	Name of respondent 2016		12b	I.D. code respondent 2016		insert I.D. for person from section 2.1			
12	Name of respondent 2017		13	I.D. code respondent 2017					
14	Name of interviewer:		15	I.D. code interviewer					
16	Name of supervisor (PTL)		17	I.D. code PTL					
20	Data checked in the field by: name STL		20a	I.D. code STL					
22	Notes (enumerators):				22a	Checked by: Name			

Section 2: Household members

Section 2 consists of 5 sub-sections. For sub-section 2.1-2.2, some information from the 2016 survey data will be filled in a day before the survey. During the interview you must check whether the pre-filled answers are confirmed by the respondent. Go roster (the tablet version of a row in a table is called a roster) by roster when asking. With the tablet version, you will be able to ask all questions in sub-section 2.1, 2.2 and 2.3 for each household member before moving to the next member. Remember that we ask about members who belong to the household in the sub-section 2.1-2.3, whereas we ask about the non-household members for sub-section 2.4.

2.1 Household member

General instructions:

- Let the respondent decide who is considered to belong to this household! Read out the prefilled list of household members from 2016 to refresh the respondent's memory and add any new members.
- To keep the panel dataset consistent household member ID and the linked person/name are very important. Make sure to enter the household members in the correct sequence and make sure that each I.D. and individual name is not duplicated.
- Check if the person listed in the household information sheet still belongs to the household and add new members. If number of household members has increased (any new HH members joined the HH), please add the new roster(s) by extending both the list of member I.Ds and member names. The household head is normally the person listed first on the list of households provided by the village or other authorities. However, household head from the previous waves might not be in the household anymore e.g. pass away, move out or replaced etc. In this case, the new household head cannot be listed first to ensure consistency. The pairing and name must remain.

Specific Instructions:

- 21000 If there is more than 1 person responsible for financial affairs, fill in the ID code of the person who is mainly in charge of every day consumption expenditure decisions from the list of household members.
- 21001 Household member IDs from the 2016 dataset is pre-filled in the list prior to the section 2 rosters already during the tablet programming.
- 21002 We would like to have the full name if possible. Make sure to check that you are capturing the correct person by confirming the name, gender and age so the member can be clearly identified.
- 21022a If a person does not belong to the household anymore and the person left the household during the reference period (e.g. between 5/16 and 4/17), code H = 2. then fill in all questions in the same way as for other household members. For a member who passed away during the reference period (code H = 4), please still ask question 14 (page 5) because this member may contribute to the HH income until the day that this person passed away. This could be a sensitive situation for the household respondent. Therefore if he does not like to answer about the dead person at all, please make a note and inform your sub-team leader. If the household member left before the reference period then ask the next person.

- 21003 Cross check the pre-filled information of the old household member and fill in for NEW household members only.
- 21004 Please compare the information given from the respondent to the information provided in the household information sheet. And fill in for NEW household members. Fill in the actual age in years and use full numbers for members who are above 5 years' old.
- 21004a For HH-members below the age of 5, please fill in age in years first in question v21004 and then fill in age in month in this question v21004a.
- For example, the child is 1 year and 4 months:
Fill in 1 in v21004 and fill in 16 in v21004a
- 21005 The prefilled information in this question is unlikely to change, but should be confirmed by the respondent nonetheless. Always ask for NEW household members. If respondent says he does not know this for a certain household member, refer to the answer possibilities from code A. Then ask the respondent for the closest possibility and compare with the prefilled information. Make sure that you always refer to the same household head!
- 21006 Ask for OLD and NEW household members, who are older than 13. For the OLD members check if the information is still correct. It depends on the HH head description e.g. if he said that she is married based on traditional wedding, then the marital status is married.
- 21007 Ask only for NEW household members. Let the respondent give the name of the place first and do **not** read out answering codes. However, if you do not know the

place the respondent mentions then ask whether it is in the same district, in the same province but not in the same district, or in another province. For deciding whether the location is rural or urban refer to today's classification of the place (e.g. urban would normally refer to a district or provincial town). A further guideline can be as follows:

In Thailand, we classify *nai khet thetsaban* as urban, and *nok khet thetsaban* as rural.

In Vietnam we consider locations where more than 5000 people live as urban and locations where less than 5000 people live as rural.

21008 In case respondent does not know exactly fill in the approximate number of years. If it is a child who was recently born, please fill in the fraction of the number of months that the child has lived in HH divided by 12.

21009 If the person was born in the household go to v21011. Do not read out answering codes. Only if respondent does not know how to answer you may read out the codes and ask for the most adequate answer. Please decide into which category the case fits and try to avoid using code 90 "others pls. specify". If one of the codes applies, we do not need more details.

21010 Only for NEW household members. (See also 21007)

21011 Only for NEW household members. Do not read out answering code.

21012 Do not read out answering code.

In Vietnam, please ask the religion that each member feels close to as currently most people officially have no religion but may exercise elements of some religion, therefore we ask this question in this manner.

- 21013 Ask for all household members. Since this is only a “yes”/”no” question, do not write down the organization. Organization includes social and political parties, trade union. In Thailand it also mean the red shirt group or alumni.
- 21026 Ask for all household members. Please explain that all telephone numbers will be kept strictly confidential. We will use this information to contact some members after the survey to determine possible interview dates for our migrant survey and to schedule future survey waves.
- 21014 Ask for all household members. The “main occupation” is the occupation for which the household member worked the longest during the reference period. Be aware that possible answers include not only occupations but also answers like “16 unable to work”, “12 unemployed”, “10 student/ pupil”! However, do not read out code H! If the respondent cannot answer you may give some reasonable examples (e.g. for young household members “10 student/pupil” and “11 child below school age”).
- 21015 Ask for all household members. The “second occupation” is the occupation for which the household member worked the second longest during the reference period. For further instruction, see 21014. Answer code H = 20 “no second occupation” if the household member has no second occupation.

Notes for variable 21014 and 21015:

In case one household member (Mr. A) has a business and another household member (Ms. B) also works in this family business, two cases can be identified:

1. A and B are business partners or husband and wife, and B does not receive regular salary. Please record code H = 3 in v21014. However, only one roster for this business will be recorded in section 6.

2. If B received salary during the reference period, that means B works as a wage-employee. Therefore, code H can be equal to 5 or 7 in v2014.

However, if one of them or both have more than 1 occupation; please take the working period into account to determine the main and the second occupations.

21016 Ask for all household members. Ask for the approximate number of days. If the answer is 98 (see 4. General rules) otherwise the values might be mixed with “no answer”

However, for household members who just moved into the household recently and for new born babies who have stayed less than 365 days in the household (without leaving the household permanently or temporarily after they moved in),

- Fill in code 90 in v21018 and specify in the answering box “new member”

21018 Ask for all household members who stayed in the household for less than 365 days. Please decide into which category the case fits and try to avoid using code 90 "others please specify". For persons who passed away in the reference period, you would know this information already from v21022a, please then record Code I = 1, the enumerator should ask the Q19a-21 (and Q24-23a in Vietnam) but if this person has just passed away and the respondent does not feel comfortable to answer, please do not ask and enter 98 “no answer” for any remaining questions.

Avoid using ambiguous terms such as “personal reasons” for 90 “other, specify” and try to find out the precise reason. If the respondent will not specify any more details enter code 98 “no answer”.

21019 Ask only for household members who were not present for the entire reference period.

21019a Ask only for household members who were not present for the entire reference period.

21020 Ask only for household members who were not present for the entire reference period.

If the whole household receives money, then put the amount received once in the roster of the household head. Do not put the same amount again for another person, even if he/she has benefitted from the money that was given to the whole household.

Fill in ONE value that is the sum of the estimated total amount of money as well as of the estimated total monetary value of gifts received from the household member in question during the reference period.

Reminder for Vietnam: Be careful, reporting units are 1000 VND! If the answer is 98000 Dong, respectively, fill in 90.1 Or 98.1. Otherwise the values might be confused with “other specify”, “no answer”.

21021 Ask only for household members who were not present for the entire reference period.

Fill in ONE value that is the sum of the estimated total amount of money as well as of the estimated total monetary value of gifts sent to the household member in question during the reference period.

Examples:

1. Child 1 of household head is studying in the capital city and therefore absent for 300 days and received support from home: Enter the total value of support received

from household in v21021. The costs of education will still be recorded in section 8 (Household expenditures).

2. Child 2 of household head is working in a factory in a different province and therefore absent for 345 days. Child 2 regularly sends 1000 Baht/100.000 VND every month. Put 12000 Baht/1200 VND in v21020

3. Child 3 of household head still lives most of the time in the household and went for visiting relatives only for 15 days. Child 3 works in a small processing plant and contributes 1000 Baht/100.000 VND to the household expenditures every month. Do not put 12000 Baht/1.200.000 VND in v21020, because this person belongs to the household and its total income (recorded in section 5: wage employment) is considered as part of the household income.

4. Child 4 of household head works in Bangkok / Ho Chi Minh City and returned and absent for 300 days during the reference period. Child 4 did not regularly send the money to their parent but bought a fridge for the household. During the visit to the homestead by the migrant his parents gave him 10 kilograms of rice. So, ask the household respondent the value of this gift (fridge) and put it in v21020. Also ask the value of the rice, and record it in v21021.

21024 only for Vietnam and ask for all household members.

21023 (only for Vietnam)

Do not ask this question for persons under the age of 50. If yes, we continue asking Q23a

2.2 Education

In this sub-section, we would like to know the educational attainment of all household members. Information of old household members is pre-filled, however please still check whether the information

is consistent with the 2016 information and if there has been any change. If the pre-filled information is not correct or has been changed, please edit it.

Pre-fill this section the day before the interview.

Specific Instructions:

22003 Note that this is only a “yes”/”no” question. Please ask even if pre-filled Note we would only make changes if the member was previously illiterate and can now read and write not in the opposite case. We define literacy as a status that is gained and will not be lost due to old age or disability.

22004 Note that this is only a “yes”/”no” question.
If the answer is “yes”, continue asking v22005a, v22005 and 22011 - 22013
If the answer is “no”, skip the following question, starts with v22006 and follows its skip instruction

22005a You have to first identify the category of educational level in the tablet.

Notes:

VN: Some old people would be in the old educational system which had less than 12 years, but they completed high-school level.

TH: In the old educational system, people had to study until primary school grade 7 until they complete the primary school level.

Note: So all in all the categories it can depend on the age of the person and not only on the years of Education.

- 22005 The respective codes of each category in code BB (v2205a) will be shown
- 22006 Note that this is only a “yes”/”no” question.
If the answer is “yes”, continue with the following questions.
If the answer is “no”, proceed with the next household member.
- 22014 Fill in the number of years the person went to school.
- 22007 You have to identify the category of educational level first in the tablet.
Thailand: For bachelors: use Univ 4 in Thailand (if attained, irrespective of time needed for studying).
- 22008 Fill in the (approximate) age.
- 22009 Do not read out code C! Only if the respondent does not know how to answer read out the possible answers and ask for the most appropriate one.
- 22010 Do not read out answering code. For further instructions, see 21007!
- 22011 If respondent does not know exactly ask for approximate age. Consult other household members if they are around. Cross-check with 21008 to make sure that the overall grade is likely for the total years of schooling.
- 22012 Note that this is only a “yes”/”no” question. Absence means that the person dropped out of or was unable/unwilling to participate the normal education process irrespective of the reason behind it e.g. stopped after grade 5 and returned after one year to continue with grade 6.

22013 Do not read out answering code. Only if the respondent does not know how to answer read out the possible answers and ask for the most appropriate one.

2.3 Health

In this sub-section, we would like to know the health status including any cases of illness, hospitalization or impairments of all household members.

Specific Instructions:

23002a we would like to know whether each household member has a free health card. In Thai, it would be “บัตรทอง 30 บาท” and in Vietnam is Thẻ bảo hiểm y tế miễn phí

23003 Do not read out answering code of this question! This question refers to the very recent health status of the household member. The code here should be interpreted as follows: If the person is physically and mentally strong as is unrestricted in his daily activities he would be counted as healthy. The code “can manage” means that the person is not very sick but is somewhat restricted in their daily activities (e.g. some minor illness such as cold). Sick would be anything below “can manage”.

23004 If the respondent answers “yes”, fill in “3” (better). If respondent answers “no”, ask whether the household member feels the same as (“2”) or worse than (“1”) last year and fill in accordingly.

23005 If the respondent answers “yes”, fill in “3” (better). If respondent answers “no”, ask whether the household member feels the same as (“2”) or worse than (“1”) last year and fill in accordingly.

- 23006 Fill in the (approximate) weight in kilograms. If the answer is 98 kilograms, fill in 98.1. Otherwise the values might be confused with “no answer”. Same holds for 90. Please fill in 90.1 then.
- 23007 Fill in the (approximate) height in centimeters. If the answer is 98 centimeters, fill in 98.1. Otherwise the values might be confused with “no answer”. Same holds for 90. Please fill in 90.1 then.
- 23009 Assign the most appropriate value from answering codes to the most severe illness mentioned by the respondent in the reference period. If unsure put 90 and specify the disease as mentioned by the respondent. If the individual had no severe illness during the reference period, fill in zero (0 - none) and go to the disability segment.
- 23017a, b Please ask the respondent to recall when the impairment / illness started. This does not necessarily have to be in the reference period but could lie further in the past. If the respondent does not know, please try to ask in which season and year it happened and estimate the month and year using information provided by the respondent.
- 23012 Fill in the (approximate) number of weeks. If the household member’s occupation was not affected by the illness, fill in “0”. If person does not have any occupation, fill in 99. If it is a person that had to stop working completely after the event, then still just enter the number of weeks lost in the reference period. Fill in fraction, if HH reports less than a week. For example, if the HH reports 3 days, fill in $3/7 = 0.43$.
- 23013 Do not read out answering code. Only if the respondent cannot answer give examples out of the possible answers and fill in the most adequate one. If the answer is “did nothing” (0), proceed with question v23014, otherwise ask questions v23013a and v23013c, but skip question 14. In the tablet version this will be done automatically.

23013a	Do not read out answering code! If you do not know the location the respondent mentions, follow the codelist to determine the location.
23013c	Clarify that this is only an “inpatient”/“outpatient” question. If the household member was in inpatient and outpatient care, fill in “inpatient” care (1). Inpatient means that the household member was stationed in the hospital or clinic for at least one night.
23014	Do not read out answering code! Only if the respondent cannot answer read out the possible answers and fill in the most adequate one.
23015	Same as in 23009 but for the second major impairment. If the individual had no second severe illness during the reference period, fill in zero (0 - none) and go to the disability segment.
23017c, d	Refer to 17a+b.
23018a-f	<p>Please read out the introductory sentence to this subsection: “The next questions ask about difficulties you may have doing certain activities because of a health problem.”</p> <p>Read out all difficulties one by one. Let the respondent choose up to three difficulties the respective household member has starting with the most severe one. Then select these difficulties in the multiple choice question. Then answer 23018a and finish the section for each difficulty (at most to Q24a).</p>
23019a-f	Ask this question for each difficulty that the respondent says the respective household member has. Do not read out the answer codes to the respondent but be careful in allocating the right code to their answer. If you’re unsure, use code 13 other reasons.
23020a-f/	

- 23021a-f Ask this question for each difficulty that the respondent says the respective household member has. Please ask the respondent to recall when the difficulty started. This does not necessarily have to be in the reference period but could lie further in the past. If the respondent does not know, please try to ask in which season it happened and estimate the year and month.
- 23022a-f Ask this question for each difficulty that the respondent says the respective household member has at least a lot of difficulty (Code A > no. 2). Only consider difficulties (2018a - 2018f, that are coded with 3(a lot difficulty) or 4 (cannot do at all) .
- 23023a-f Please ask the respondent to recall when the difficulty first started to **STRONGLY** limit the respective household member's activities. If the respondent does not know, please try to ask in which season it happened and estimate the year and month.
- 23024a-f Follow skip instruction as specified.

2.4 Household dynamics

General instructions: Read out the introduction in the tablet.

- Emphasize that you do not ask for any person who was counted as a household member in the previous sections!

Specific Instructions:

In the tablet you must specify the overall number of remittances received or sent by the household by person and event during the reference period. An event could be a

wedding/funeral for which the household cannot remember details or identify a recipient. For example there were several cases of weddings/funerals in the village and the household contributed some money but can only remember the sum for these cases. In this case we would fill out section 2.4 as an event.

24001 Please add the ID code which starts with ID_ = 26 for the first roster and continuously extend this number by one for each additional occurrence in the following rosters.

24002a If the respondent can indicate from who / to whom HH received / provided money, gifts or in kinds (remittances), code D = 1 (person) and continue asking the following questions.

However, If the household only knows the total value of gifts received for a celebration (e.g. wedding) in the household without being able to separate this value by single donors, code D = 2 (wedding). Fill in the total value in 24012. Expenditures for celebrations in OWN household must be entered in Section 8.

24002 Fill in names/nicknames of non-household members who provided money, gifts or in kinds (remittances) to the household or to whom the household provided money, gifts or in-kinds during the reference period.

24005 Do not read out answering code! Only if respondent does not know how to answer for a certain household member, tell him the answer possibilities from code A and ask which the most adequate one is.

24006 Read out answer categories. If you do not know the place of birth the respondent mentions, see instruction for 21007!

- 24011 Do not read out answering code! If you do not know the location the respondent mentions, see instruction for 21007!
- 24012 Fill in ONE value that is the sum of the estimated total amount of money as well as of the estimated total monetary value of gifts and in kinds received from the person/event in question during the reference period.
- 24013 Fill in ONE value that is the sum of the estimated total amount of money as well as of the estimated total monetary value of gifts and in kinds sent/provided to the person/event in question during the reference period.

2.5 Trust,fear and religion

The questions (25001 and 25002) on social networks, trust, fairness, and solidarity touch upon a relatively sensitive part of the respondent's life. In case the respondent is reluctant at any time during this section explain to the respondents that the questions do not aim to identify disagreements and disputes within the village population, but that the aim is to get a feeling of the social atmosphere within the village. Start by reading out the introductory sentence.

Specific Instructions:

- 25001 If the respondent is unsure, ask to choose the category which fits his personal impression best.
- 25002 For this question, please click the blue box statement "Now I want to ask you how much you trust people from various group". All category will pop-up starting from v25002a – v25002e.

Read out code N to the respondents, and let them choose which answer is most suitable for each question.

After completing these questions, click the button return and continue with other questions in sub-section 2.5

25011 In this question, we would like to know how many times during the reference period the respondent visited the temple (mosque or church). In case the respondent estimates the visits in a different time frame (e.g. weeks or months) use the estimate and multiply in order to calculate the amount of visits in the reference period.

25012 A religious person is someone who practices a religion actively/sincerely and applies religious rules to their everyday life.

Section 8: Household Expenditures

General instructions:

In this section, we would like to know how much HH spent on each category of items during 5/16 – 4/17. The household includes all members mentioned by the respondent in section 2.1 and this is independent of any amounts of expenditure mentioned in other section except for expenditures for events in other household which were already included in section 2.4! Each item expenditure will be estimated depending on the item either on a monthly or an annual basis (Please be careful with the unit).

- And exclude durable goods from the estimation (these should be filled in Section 6.2 if above 5000 THB/1.5 million VND)

In the electronic questionnaire, you will see that items are grouped into the following rosters:

First confirm if the household spends money on this item by answering the appropriate question in the tablet roster. If the household spends money answer the remaining questions. If it does not move to the next roster.

Roaster 8A- Food

- Other staple food- e.g. maize, cassava, sweet potato, noodle
- Food ingredients, spices which includes salt, sugar, fish sauce
- Fermented fish/ fermented paste: this is different from fish sauce.
- Beverages: water, soft drink, juice
- Coffee & Tea: this is coffee and tea that HH purchased and consumed at home. If HH drank coffee and tea at the shop, this expenditure is on the item "Take home and eat out".

Roaster 8B- Non-food

- Personal care supplies: soap, tissue paper, shampoo, cosmetic etc. Accessories: small items
- Hair dresser: going to salon including massage and beauty service
- Total tax payment: we ask per year. This includes land tax, car & motorbike tax or any tax that is paid in cash but not reduced or value-added taxes on consumption items. etc.

Roaster 8C- Transport and communication

- Telecommunication: TV fee, internet
- Other transportation: any private service, communication: sending letter/post card/parcel, subscribe newspaper or magazine
- Fee for car/motorbike: It means fee for a service or getting permission

8D- Education

Educational fees: payment for certain event/service/improvement in the school e.g. contribute to a sport class, examination fee, books, renovate classroom etc

Tuition fee: cost for the whole semester as required by the educational institution.

8E- Health

42- other health e.g. heat plaster, tiger palm, crotch, etc.

8F(a)- Social

Expenditures for celebrations and funerals in other households were already asked in section 2.4 – to be excluded here

Donations (to temples, social organizations, school)- voluntary pay e.g. donate money to the temple.

Recreation and entertainment- when HH sit at the village shop and drink, movie theater, weekend trip

Other gambling – e.g. playing card for money

8F(b)- Corruption

Before asking roster 8F(b), please slowly read the statement

“Sometimes, government officials, police officers or business partners, ask people (or expect people) to pay a bribe for their service. This includes cash and in kind payment e.g. invitation for dinner, nightclub. How much did you have to spend...?”

(These questions might be sensitive for some HH, so in case other people are around just speak in a low voice).

60 Bribery / corruption - police

61 Bribery / corruption - government officer

62 Bribery / corruption - business partner (these partners for example traders/retailers/buyers or somebody with whom you share a business are mostly private...

8G-Total

Total expenditures for each group should only be filled in, if the respondent is not able to give details. If less than half of the item in each category are not recorded, enumerators ask HH to estimate the total expenditure of this category again (this also includes the items which the respondent already answered)

However, try to get information on expenditures of each item in the rosters above and avoid using total expenditures

Specific Instructions:

80000 Item ID.: Fill in consecutive numbers only for expenditure items that the household actually spent money on. For each item please continue with the I.D. code that chronologically follows the last I.D code in the previous roster.

e.g. For education roster:

Please keep in mind the following example from section 2 (v21021): Child 1 of household head is studying in the capital city and therefore absent for 300 days, but the child received support from home. These are education expenditures that HH gave to the child for his education and therefore must be accounted for although it may have been mentioned in section 2.

80009 Enter 0 if the household rents its house, but does not have to pay a rent (cross check with section 4.1 Land). Also enter 0 if the household owns the house and does not have to pay rent.

Section 3: Shocks and Risks

3.1 Shocks

3.1a Major shocks

General instructions:

- Introduce the section by explaining to the respondent that these are now questions regarding events that had caused problems to him or his household members. Interviewer read out the introductory statement. *Give the respondent some time to think.* However, do not get into long discussions, in case the respondent starts telling stories politely continue with the questions.
- Question to be read out: *“What were the three major shocks that affected your household between 05/16 and 04/17?”* Fill in number of reported shock to create roster(s).

Specific Instructions:

31002 **Do not read out the code.** We want to see whether the households are conscious of the shocks that occurred to them or not. If the household does not state any shock in section 3.1.a do not insist. Just continue with section 3.1.b.

If the respondent did mention shocks under 3.1.a, then assign a type of event from code A to the shock mentioned by the household. If not possible, fill in “90” and specify the shock in the text field. Enumerator should firstly find a nearest code.

31002a Please note “*/If the shock affects more than one person, please fill in household head ID as a representative for the overall household members and comment that everyone was affected.”

Example: The respondent reports that his wife got ill during the reference period. In this case, HH-member ID of person being affected is the wife. This would be a so-called “individual shock”. If there was a flooding of agricultural land, and respondent reports this as one shock, this shock would affect all household members Fill in household head ID in v312002a and comment “All affected”.

31003 Fill in numbers for each month (January =1, December = 12). If the event lasted more than a month fill in the month when it started. If respondent cannot say the exact month try to ask for the season in which occurred and then estimate the month.

31003a Fill in the year (BE) of the event. It can only be 2016 or 2017 (due to reference period).

31004 Read out the answers from code B

31005a Ask for the total sum of income losses due to the event in the reference period. For example, how much wage/salary was lost when a household member had to stop working due to illness; or by how much the income fell because of lower farm production or even complete destruction of a crop.

Vietnam: Be careful, reporting units are 1000 VND! If the answer is, 900000 or 98000 Dong, respectively, fill in 90.1 or 98.1 Otherwise the values might be confused with “other, specify”, “no answer”,

31005b Ask for the total sum of extra expenditure due to the event (the payments made to lessen the impact of the problem/shock) in the reference period (e.g. expenditures

such as medical treatment, planting an additional crop, repair of dikes for rice fields etc.).

31006a Ask for the estimated total monetary value of asset losses due to the event in the reference period (e.g. value of an agricultural machine if it was destroyed by a flood, etc.). For example the farmer had an accident and his motorcycle is completely destroyed. This would be a loss of asset and we add the full current value of the motorcycle to 31006a.

Overlap of 5b and 6a:

Be careful of overlapping extra expenditure and asset lost.

Examples:

1. pickup truck was heavily damaged before the accident it was worth 300.000THB/200.000.000VND due to the damage it had to be repaired. The repair cost was 50.000THB/30.000.000VND. In spite of the repair the car was not in the same condition as before the accident and is worth 200.000THB/165.000.000VND — So in 31005b you would enter 100.000THB/70.000VND for the loss of asset and for 31006a you would enter 50.000THB/35.000VND for the repair.
2. in case of floods/ droughts of rice fields □ the household incurs income loss (including home consumption and sale) or extra expenditures;
 - if rice is very young and the HH replanted >> cost of replanting is entered in 31005b
 - if rice is ready to be harvested ask respondent to estimate the difference between the expected yield and the actual yield >> income loss due to shock. Enter this into 3105a
3. storm destroys rubber tree
 - >> replant = extra expenditures and loss of income for reference period and no asset loss;
 - >> Household does not replant = loss of asset and loss of income
4. job loss >> income loss and extra expenditures for looking for new job

5. Respondent reports that his shop burned down over night >> loss in net income (profits under house damage shock). No extra precautions were taken; did not re-build shop in the reference period so no extra expenditure, only asset loss (value of shop + equipment).
6. You are a registered farmer selling organic products, the buyer finds out that the quality standard is not met, so the farmer has to sell at a lower price >> income loss
7. The government decided to increase the tax on fertilizer. Therefore the farmer's expenditures for fertilizer increased compared to what he had expected. >> add these extra expenditures to 31005b

31007 **Do not read out code C!** If the respondent does not know how to answer the question you may ask if rather "only your household" was affected or also other households. In the latter case, you may read out number 2 to 6 from code C to the respondent and ask which one of these is the most adequate answer.

31008 - 31010 **Do not read out code D!** If respondent cannot answer the question you may state the seven coping categories from code D (economic/social, demographics, sale, borrowing and savings, grants, crime prevention, and nothing and others) and give one example from each of them. If the household did nothing in order to cope with the event enter "1" for 31008. If 31008 was answered with "1", do not ask 31009 and 31010, but fill in "60 - no second activity and 61-no third activity respectively" and proceed with question 31011. If 31009 was answered with 60- no second activity, do not ask 31010, but fill in "61 – no third activity" and proceed with 31011.

31011 Tell the respondent that this is simply a "yes"/"no" (code E) question. If anything is unclear to the respondent, explain that we want to know whether the household reduced consumption due to the event despite of the stated coping activities.

31012a Record the approximate number of months it took to recover from the shock.

“Recover” means that the household perceives that it is in the same condition as it was prior to the shock. (e.g. If your car is permanently damaged and is not as good as prior to an accident you would recover when you no longer perceive this as being a problem → In other words you get used to it). If the household is not yet fully recovered fill in “90”. See instructions in the questionnaire. If it took the household less than a month to recover, please put a fraction of the month as the answer. Use 30 days as an average month. E.g. 5 days, then put $5/30=0.2$.

31027 Interviewers read out code E. and always record the most important recipient who helped the HH from the perspective of the respondent.

3.1b Shocks

General instructions:

- Read out statement b: To save time, please do not get into long discussions, but move on to the questions.
- Read out all shock types listed and tick those which the respondent reports! For all events that have occurred open Roster 3.1 B. If a type of event (e.g. illness of a household member) happened more than once during the reference period, fill in the first case mentioned by the household in the roster. Fill in the information about all the other cases of the same event by tick 90-Other, specify to create additional roster. Within this roster (90-other, specify), you will be able to give the event ID., type of event and other questions.
- If one type of event was already noted in 3.1.a, ask whether this event happened more than once. Only fill in information about shocks that were not already mentioned in section 3.1.a!
- Concerning the last boxes (“90-other, specify”, “91- other, specify 2” and 92-other, specify 3) below all given shock events: After you read out all the types of events ask the respondent whether there have been any other shocks, which were not captured by the type of events

just mentioned. If the respondent mentions any new event, please tick this box and fill in the information. Do NOT go back to section 3.1.a and fill in the information there. These three boxes (90-92) allow you to fill in up to 3 shock that happened more than one time as well as other shocks. If there were more choose the three most important cases (see explanation above).

- **Definition of some shock events related to crime:**

Burglary means that a person entered the home (building, apartment) overcoming hurdles (breaking locks or windows, climbing in) without permission in order to steal.

Burglary also includes attempted burglary which means that a person tried to enter the home (building) overcoming hurdles (breaking locks or windows, climbing in) without permission in order to steal, but did not succeed in entering.

Robbery means that somebody uses force or threatens to steal something. That also includes land robbery and theft of personal property, which are explained below:

Land robbery means that a plot of land was unlawfully fenced in, used it as if it was yours, the owners were expelled or the registers manipulated – in short: usurping the property rights.

Theft of personal property means that a mobile phone, jewelry or clothes or other things were stolen without using force or threats.

Vandalism means that somebody destroys the household's property or assets out of anger or other malicious reasons.

Specific Instructions: (Due to technical issue, variable names have been adjusted according to sub-section number)

31201 The event ID starts with 4 even if the household stated less than 3 shocks in section 3.1.a..

For the remaining questions in this section use the instructions as stated in 3.1A.

3.1e Subjective assessment of wellbeing

31313a-14b “Better off” refers to general living conditions. Do not read out code G.

In Vietnam, the translation refers to the living standard in previous waves. We decided to keep the same translation for this question in order to keep consistency among the waves. But the Vietnamese translation in Code G is revised to better off (instead of richer).

31315 Refers to longterm income fluctuations (e.g. is the income more or less the same or does it go up and down a lot over the years?) Use code H.

31316 “Well-being” refers to all aspects of daily life (i.e. eating, housing, medical treatment if needed, transport and communication, etc.)

31317-18 Best in this case is subjective. We do not change the Vietnamese translation that asks in which year HH had the highest income

31317a-18a Most happy and least happy in this case are subjective and the questions refer to the respondent. 3139a-20a see 31313a

31329 Here we want to know what the respondent expects (even he is not sure) whether his monthly income will go up, stay the same or decline; enumerators please choose one of the five options on the code list.

- 31330 Here we want to know the assessment of the respondent how likely he thinks the expectations will become true. Based on the answer the enumerator must choose among the four code options from very certain (sure) to very uncertain (not sure at all).
- 31331 to make ends meet – to survive
- 31332 For each level the respondent is asked to give an amount and interviewers do not interfere. There is a potential conflict with question 31. However, in case respondent shows concern about the repetition interviewers should explain that we would like to ask different levels and it is possible that the amount is not the same between the level “sufficient” and the amount in Q31. In case the respondents do not really know, do not want to answer or cannot answer, enter code 98.
- 31333 Interviewers read out code G. Be aware that we ask for the current month.
- 31324 Here we want to know if the respondent is a person who is rather very careful (avoiding risks) or is a person who is not afraid of risks provided these risks are associated with opportunities to improve the life situation. We ask the respondent to choose a number between zero and ten. The higher the number the more the person is willing to take risks. A low number means that the respondent is not easily willing to take risk even although there are opportunities. If necessary enumerator can give examples related to the respondent’s situation. For example a person who is willing to take risks may be willing to migrate to another country (like Japan or Korea) to get a better payed job without exactly knowing the conditions there.
- Use the show card for this question and let respondents pin point the number
- 31324a Although this question is similar to 31324 we ask a very specific context in this question which may mean that there are differences in their behaviour concerning risk. See 31324 for further instruction.
- 31325 Question should be read out slowly and twice. Explain to the respondent that the business investment does not involve much of his own labour nor has it many other

costs except the investment. An example could be to give money to a friend/relative who wants to start a shop or a transportation business.

31328 The question refers to current versus future consumption preferences. We want to know if a person is rather “patient” or prefers higher consumption in the future or is a rather “impatient” person and prefers less consumption but now. The scale from zero to ten indicates the degree of patience, i.e. a very impatient person has a value of zero and a very patient person a value of 10.

Use the show card for this question and let respondents pin point the number.

3.1f Aspirations

In this section, respondents give information about what they wish for children living in the household.

Specific instructions:

Part 1 (Questions 3a-3f)

If there are children in the household (yes), ask the respondent to answer the questions for all children up to the age of 16. Those can be own children, but also grandchildren, or nieces/nephews or other relatives that are considered as members of the household and included in section 2.1. State how many household members fulfill this criteria. Please make sure that the respondent gives his/her own opinion and does not contact other household members when answering the question. Please ask what he/she wishes for their future when grown up (in general, no specific time frame). Do not read out the codes. Assign the most appropriate value from answering codes. See examples below. Also wishing in this context means what the respondent would like the appropriate child to achieve. We are not asking for the current level of education, but for what the respondent wants for the child. This of course could also be the current level if that is what the respondent wants.

31401 Enter the member ID of each person in the appropriate roster. It should refer to the same Id as used in section 2.1 for this household member. Please remember to take notes when filling in section 2.1 or scroll back to recheck the ID-name allocation.

31402	Please select the name of the child.
31403a	Ask the respondent what level of education the respondent wishes for the child when grown up. If the respondent states a certain grade, select the appropriate level of schooling (e.g. primary for grade 4).
31403b	Fill in what kind of job the respondent <u>wishes</u> for the child in the future. Please avoid using code 90 if possible and rather fit to the most appropriate category where possible.
31403c	Enter the age the respondent <u>wishes</u> for %Name% to get married. Should the respondent not wish for the child to be married enter 98.
31403d	Record the location that the respondent <u>wishes</u> the child to live in in the future.
31403e	The meaning of the question is: Do you think that it is likely that the child will live in better economic circumstances than yourself when grown up?
31403f	If none of the given answer options fits, record the appropriate answer in code 90 (others).

3.2 Risks

General instructions:

- Introduce this section by explaining that these questions deal with the expectations that the respondent has regarding events that could cause a problem for his household in the future (next 5 years). The list of events is the same as those mentioned under section 3.1.
- If the respondent hesitates, explain to him that these are scientific questions and the answer will not bring bad luck to the household!

- In Roster 3.2 all events are listed as rosters, go roster by roster
- Interviewer read each of type of event slowly and fill out each roster.
- In this section the ID is linked to a specific event and should be filled in before checking if the respondent thinks such an event will happen. For example the first roster should be filled in as ID 1 and the only risk that will show will be 1 "Illness of household member". Please extend the ID in consecutive order (so move in steps of 1 starting with 1).

Specific Instructions:

- 32002 Please ask politely about the respondent's realistic assessment of the chance of the event to take place. If the answer is no or "no answer", go to question 32013.
- 32004 If respondent hesitates, ask for approximate number of times the event may happen in the next five years. If it happens every years, the answer is 5 times. If they think it will happen once in 5 years the answer is 1, convert to events in 5 years in any case.
- 32003 For example if you expect based on your experience that a drought in the next 5 years would be likely to occur and that your yield would be lower than in a normal year, you would calculate the difference between the value of the net revenue in a normal year and a drought year and enter this value
- 32003a For example you expect a flood in the next 5 years which will damage your house, thus based on your experience you would note by how much the value of the house is reduced
- 32013 Record YES for any action taken BEFORE the event takes place. Do not accept "don't know" as an answer. If respondent really cannot say type 98 = no answer.
- 32014 Specify the most important action that was taken BEFORE the event takes place.

32015 Ask for approximate costs for the action specified in question 32014.

For example: if household(HH) built a dam to prevent flooding which costs 50,000 THB/50 000 000 VND and this is a one-time investment then record 50 000 in this question. Or, for example, in your household the respondent experienced a burglary in the past and therefore the household bought a Rottweiler (watch dog). This would be a preventive measure to reduce the likelihood of burglary and you will fill in Q32013-15 with the appropriate code/values.

If HH paid some amount per year for having a private health insurance in order to mitigate the impact of illness of household member, record cost of this insurance that HH paid in THB/1000 VND per year. If the HH built an irrigation system you would report the total cost of the irrigation structure.

Note that these expenditures may have occurred before the reference period. They are nevertheless reported here.

32016 The purpose of this question is to avoid double counting in v32015. Therefore, record the code of the event type (NOT the risk ID) whenever the same measure is used to prevent several different events from happening i.e. the expenditures would appear again.

Note down in your notebook that this prevention is used for another event type. So interviewer knows that he will not record the expenditure on that event again.

If the same approach is used to prevent or mitigate the impact of several events, choose the major event type and put other event types in the comment box.

E.g.: the household built a dam to prevent flooding of the fields. This also might reduce the chance of crop pest. So in that case, note down the code for crop pest here.

. If there is no other event type, fill in code 23- no other risk type.

Section 4 Land, agriculture, livestock and income from natural resources

General instructions:

- Pay attention to different units of measurement, convert to the unit requested in the question if the respondent gives a value in a different unit.

4.1 Land

General instructions:

V41001 First ask the respondent if she possesses or uses land for agriculture, horticulture (e.g. vegetable gardens, fruit tree plantations) or aquaculture (fish ponds). If the answer is no the following question then only refer to the homestead. The homestead is the land area of the house and the area around the house which is sometimes is fenced (e.g. garden). The rental or sales/purchase value of the homestead only refers to the land and does not include the value of the house.

The household must always have at least one land area which is the homestead. Roster 1 is always for the **HOMESTEAD**.

Specific Instructions:

41000 Please ask how many land parcels the household are possessed or used by the household and enter the value here.

41002

The land parcel number should be equal to the number of the roster e.g. the first roster is for land parcel no. 1 and consecutive land parcels follow the same procedure.

41004 The first roster (row) in the land section is always the homestead. The enumerator should estimate this area during the interview when sitting in the house/garden and cross-check with area stated by the respondent.

41005 Tenure status

Code B

2 mortgagor

3 sale-redeem

4 rented for fixed rent

5 sharecropping

6 mortgagee

7 sale-redeemer

A **mortgage loan** means that the household receives a loan from for example a bank and uses the land as a collateral (e.g. the bank will take the land if the loan is not repaid as agreed).

A mortgagor is if the household owns a land plot and the plot is mortgaged.

The household is a mortgagee if the household has given a loan to someone who gave his land parcel as a collateral. This status only holds for as long as the loan is not repaid. Once the loan has been repaid this plot should no longer occur in section 4.1.

Sale-Redeem (mortgagee): The land plot that was previously mortgaged for a loan that was lent by the household to another household, who used the land as collateral, was repaid at some point during the reference period.

Sale-redeemer (mortgagor):

The land plot was previously mortgaged and used as a collateral by the household, but in this reference period the household repaid their debt and now the land belongs to the household again.

Rented for fixed rent: The land is owned by someone else from whom the household rented the land. In return the household pays a fixed amount either in cash or in kind to the owner of the land.

Sharecropping: The land is owned by someone else and is rented by the household. The household pays a share of their harvest to the owner (e.g. 50%) to the owner.

- 41006 The land titles mentioned are specific to each country and generally known. In Vietnam land ownership is generally with the state, but different degrees of land certificates may be owned. Find the appropriate category if none can be found easily use code "Other, specify". Vietnam, half of the homestead, HH has a land title but another half HH does not get it. Use code 90 and specify the case.
- 41010a Cash payments: put 0, if rented for free to relatives or other persons OUTSIDE the household.
- 41011 In kind payments: put 0, if there was no in-kind payment.
- 41009a This question is asked regardless of when the land was bought. If no purchase (e.g. land was given for free such as inheritance) enter 000. If the land was sold this is considered as a disinvestment in section 6.2.

4.2 Agriculture (crops including permanent crops, forest plantations)

General instructions:

In this section we want to record the crops planted per parcel. The program requires that you **first determine the total number of crops (e.g. number of rosters)**. Crops include rice, vegetables, tree crops (including planted forest trees) and ask this by roster. For crops that are planted at different times on the same plot (e.g. sequential crops) during the reference period and for crops that are planted on different land parcels count each as a separate crop and then fill in the roster questions. For sequential crops the farmer may for example grow rice followed by vegetable on the same parcel. For parallel cropping she may have split the plot and grown rice and another crop for example. In either case you have to add two rosters. The farmer may have both on the same plot: sequential and parallel cropping. The number of rosters will then increase accordingly. Every roster is given a crop ID. Please also note that the farmer may tell you that the inputs for a crop (e.g. rice) planted in different plots is the same but you still have to open a roster for each plot (and crop) and reconfirm this input information. In such a case you should take notes.

Example to determine the number of rosters:

A household has 4 plots and in two of the plots it is planting rice in wet and in dry season. In wet season it is planting non glutinous rice on both plots and in dry season it plants glutinous rice on one plot and mungbean on the other plot. The fourth plot (**remember plot # 1 is always homestead**) is used in parallel (plot is split) for garlic, tomato and banana. Therefore, in total for this household you should have 7 rosters. Should crops be planted on the homestead landplot (e.g. in the garden) then you would enter planted on parcel 1. If the household plants a mixture of vegetables, herbs and flowers in their garden you choose 907 "home vegetable garden". If they have a monoculture then simply select the relevant crop.

For non-homestead plots where a household intercroops and grows one main crop and secondary crop/s e.g. coffee and cassava, then take the crop that occupies most

of the land as the first plot and open a second roster for the intercrop if the respondent thinks that it is an important intercrop. If not only report the main crop and its details.

Specific Instructions:

- 42002 This code contains the crop category. In crop production we can distinguish between rice and field crops (maize, mung beans, soybeans, etc), tree crops (fruit trees, rubber) and Horticultural crops (vegetables, flowers etc.). As an enumerator you must find the right category as the respondent will usually tell you the crop, e.g. Mango. In this case you enter code 2, because it is a tree crop.
- 42002a With the same example “Mango”, the crop type in this question, you enter code 4 as the mango is a fruit belonging to the category tree crop.
- 42003a This code specifies the variety of the crop in detail, e.g. to continue our example you would select 1315 for mango. There are sometimes different varieties for some crops another example would be corn which is a field crop and can be split into maize for fodder or sweet corn produced for human consumption. Furthermore, we specify “glutinous corn”, also called “waxy corn” which is used as a source of starch for animal feed and industrial purposes. For other field crops we only identify the exact crop without further specification. For Rice which is the most important crop in our sample we want to know the specific type. This includes first of all, Jasmine rice which also called Khao Hom Mali in Thailand. It includes popular rice varieties such as Khao Dok Mali 105” and “Gor Khor 15”. Khao Hom Mali is photosensitive and earns a higher price than other rice varieties.

In our questionnaire, we differentiate the following rice varieties:

- Jasmine rice (Thai: ข้าวหอมมะลิ; or “Khao hom mali”; is a long-grain variety of fragrant rice (also known as aromatic rice).

- Other fragrant rice: any other aromatic rice variety e.g. Hom Putam (ข้าวหอมปทุม) and Hom Supan (ข้าวหอมสุพรรณ), which are non-photosensitive.
- Glutinous rice is sticky rice, also called sweet rice or waxy rice is a type of rice which has opaque grains, and is especially sticky when cooked. It is called glutinous because it is glue-like or sticky. Sticky rice, differs from non-glutinous strains of japonica rice.
- Non-glutinous rice includes all ordinary rice, especially the high yielding rice varieties of the Rice Department in Thailand (RD-varieties) or those bred by the International Rice Research Institute (IRRI-varieties). These varieties have short-stems and are highly responsive to fertilizer. These also include Hybrid Rice or genetically-modified rice like golden rice which however is not yet officially registered in Vietnam or Thailand.
- Organic Rice: this is rice that could belong to any of the types specified above but which is grown following the standards of organic farming, e.g. no use of mineral fertilizer or chemical pesticides.

If none of the crops of the list fits the answer of the respondent leave this question empty, tap on the question for a short while and put a comment in the “your comment”-section in which write down the name of the crop.

- 42004 In section 4.1 you should note the number of land plots and their size in order to better answer section 4.2. If the same crop is grown on more than one parcel, repeat the entries for each parcel. If the respondent forgot to tell you about a parcel go back to section 4.1 (V 41001), increase the number of parcels and fill in the information.
- 42005 Please check the respondent’s answer with regard to plot size (41003). Please note that it is possible that the farmer may not plant the entire plot. However, area planted cannot exceed plot size!
- 42006/8 We ask the month planted and the month harvested; for annual crops this is less than one year, e.g. rice usually **between 3 and 5 months; for corn about 3 months**,

vegetables are shorter, between 1 to 3 months. For perennial or crops growing longer than 1 year (e.g. coffee trees, mango trees) please put the year in which the tree was planted for the start of the planting period.

42050 Here we are asking if the crop is under any certification system. For example, some Thai farmers may grow their rice following the Good Agricultural Practices standard (Q-GAP) provided by the Ministry of Agriculture. In this case, this farmer also received a kind of Q-GAP certification for their rice production. Or Vietnamese coffee producers also participate in the Fairtrade system for their production system.

- **FAIRTRADE** Farmers are under the farming contract with a company to produce certified crop quality. Fair trade practices prohibit child or forced labor, support producers and sustain environmental farming practices.
- **UTZ** Use for coffee: UTZ Certified is a program and a label for sustainable farming of coffee and cocoa in the world. The UTZ Certified program covers good agricultural practices, farm management, social and living conditions, and the environment.
- **4C** Use for coffee. Common Code for the Coffee Community (4C) requires that coffee producers and other supply chain members comply with its standards in order to sell 4C compliant coffee. This type of certification started since 2006
- **RAINFOREST ALLIANCE** Sustainable agriculture certification provided for tropical crops. To obtain certification, farms must meet the Sustainable Agriculture Network (SAN) standard which is designed to conserve ecosystems, protect biodiversity and waterways, conserve forests, reduce agrochemical use, and safe-guard the well-being of workers local communities
- **ISO22000** Apply for crops , livestock, and aquaculture. The ISO 22000 family of International Standards addresses food safety management.
- **ISO14001/ISO 14001** Apply for crops, livestock, and aquaculture. It is designed to help the implementation of environmental management systems.
- **IFOAM** Certification system for organic products

- **PGS** Certification system for organic products
- **GI** Geographic indication (GI). The use of a geographical indication may act as a certification that the product possesses certain qualities, is made according to traditional methods, or enjoys a certain reputation, due to its geographical origin
- **COFI/CCRF** Certification system for aquaculture. Code of Conduct for Responsible Fisheries (CCRF) issued by Committee on Fisheries (COFI) on aqua-culture
- **Q-GAP-** Good Agricultural Practice standard (Q denotes quality) is the public GAP standard that is issued by the Ministry of Agriculture
- **ThaiGAP** is the private GAP standard that is now equivalent to the GLOBALG.A.P standard (this standard is initiated by the European retailers).

42009 Here we ask the respondent for the unit in which he measures the output. This can be an international unit e.g. Tonnes or a local unit e.g. Ta Thailand. Should respondent give a different unit for measurement try to ask him if he is able to convert to one of the units given in Code B. If not enter in the measurement in 90 "Other, specify".

42010 - 42013a

Total production: The production that was harvested during the reference period in terms of this crop.

In the subsequent questions we ask how the household uses the total production e.g. for home consumption or processing.

Home consumption: The part of the above total production that has been used for home consumption or is earmarked for home-consumption until the next harvest is expected (actual + expected quantity). This applies to all the other utilization columns.

If the product undergoes simple processing such as cutting, chipping and drying, there is always weight loss involved. As a result, taking the final product into the

balance will not work out. For those cases where the transformation rate is known, (e.g. from paddy rice to milled rice the conversion is around 70 %) we will use the fresh weight equivalent to calculate the balance.

General:

In the electronic version, you will ask HHs whether they sold the given produce during the reference period. If HH did not sell at all, fill "no" in this question, questions v42015a – v42016b will disappear. If HH sold the produce once during the reference period (fill in "yes, sold once"), and you will have to answer 42015a-16. If the respondent sold more than once answer with "yes, sold more than once" and answer 42015a-42016.

Please check the balance: 42010 should be equal or more than the sum of 42011, 11b, 12, 13, 13a, 14, 14b.

42015a Please ask the respondent what form/type the product had when sold. For example, rice could be sold as paddy, milled rice or in processed form such as rice cake. Para-rubber can be sold as rubber sheets or latex.

42015a-42016 Here you are asked to fill in the specific information for the first sale which is normally at or right after the harvest time and answer each question about the sale.

42015b/ 42016/42016b

We have included two points of sale. Farmers often sell right after harvest as explained above and may store some of the produce for later sale. In case the farmer has only one sale, make sure to pick the right code in question "Did you sell [...] during the reference period".

If there are multiple selling points and the price does not change (e.g. if you have a contract with a fixed price and a product such as rubber), you can sum the sales as sale 1.

If there are multiple selling points with multiple different prices (e.g. weekly vegetable sales), then sum these cases in sale 2 and use an average price for sale.

Expenditures (e.g. 42017-42019):

For permanent crops ask only for those costs which have occurred in the reference period (5/16 – 4/17).

Special case 42018:

Here a machine can be rented with or without labour. If the machine is rented without labour enter the full cost in 42018. If it is rented with labour do not separate the costs and enter the full cost for both machine and labour in 42018. Note you may still have to enter additional costs for hired labour if food and drinks were provided to the machine-rental contract that were not included in this contract add it to 42018 also. 42019 would capture any other hired labour costs including food and drinks.

Labour (e.g. 42037e-37f)

Here we measure the input of labour measured in “person hours”. For person hours we must first ask for the average number of hours worked per day and then ask how many persons worked for how many days and then calculate the total person hours. This holds for both hired and family labour.

Example for calculating person hours:

- a. A household hired 5 labourers to work for 10 days who work 8 hours per day on average, the person hours are equal to 400 ($5 \times 10 \times 8 = 400$).
- b. A household hired 5 labourers who work for 10 days but only in the morning (5 hours) then the person hours is $5 \times 10 \times 5 = 250$

c. The household states that he, his wife and his eldest son work for 3 days for the entire day (8 hours). In addition, the two youngest daughters who still go to school only help every afternoon after school. They worked 5 days for 4 hours per day. In this case the total number for the parents and oldest son is $3 \times 3 \times 8 = 72$ and for the daughters $2 \times 5 \times 4 = 40$. All in all, the family works for 112 person hours.

42013a and 42020 (seed, seedlings and planting): Only report those seeds/seedlings and plantings that the household bought additionally. Do not report seeds/seedlings/plantings that the household grows itself.

42025a-c Herbicides: Are chemical weed killers
Insecticides and snail killers: Are used to kill insect pests including snails e.g. in rice fields. Please add rodenticides which are chemicals used to kill off rats and mice to this category.
Fungicides: Chemicals that are used to control fungal diseases.

42029a We only want you to fill in this question if HH does not know the details of expenditure of each activity (but please try to avoid using this question). If farmer has answered the expenditure questions, please fill in "98".

4.3 Livestock and aquaculture

4.3.1 Stocks

General instructions:

- Fill in information from the 2016 survey in variables 43102a, 43102, 43103 and 43103a using stock at the end of 04/16 as stock at the beginning of 05/16

- If the household does have livestock for the purpose of home production or sales of both livestock or livestock products the enumerator must first ask for the number of animal types the household has (e.g. buffalo, cattle, sheep, goat, pigs, duck, chicken, fish would be the major ones but others like silkworm and bee hives are also common). Please note, we do not ask for pets like dogs, cats or birds in cage (unless it is for commercial production).

43100 here enumerator must first give a consecutive livestock ID.

43102a here we ask the animal category. We include buffalo, cattle, pigs, goat, sheep under livestock; chicken, ducks, geese and turkey belong to poultry and e.g. silkworm belongs to insects/amphibian/bird.

43102 Here we specify the animal species and the production purpose (e.g dairy cow). Units for all types of livestock are given in the code *A* in variable 43102. Please use kg with fish, and number in most other cases. But always check in the code.

General instruction:

Always check the livestock balance sheet/livestock section for consistency. The stock at the end of the year should be consistent with the stock at the beginning of the year and the changes over the year. If the balance sheet is inconsistent, clarify this with the respondent.

Specific Instructions:

43105 - 43105a If animals were received in kind as a gift, please estimate the value and report it in 43105a. Additionally this should already be reported as remittances in kind in section 2.1 or 2.4 (depending on the recipient).

43103a, 43105a, 43106a, 43107a, 43109a

Check whether the livestock values given by the respondent are realistic. In case of unrealistically high or low figures, please ask the farmer for clarification. If there is a good reason for unusually high or low figures, please make a note using the comment function of the tablet.

Check also whether the balance of livestock is correct.

430103 + Additions (43104, 43105) – disposals (43106, 43107, 43108, 43118) = 43109

This rule does not work for fish, which is measured in numbers and kg depending on their stage of development, see special cases

43112 All cash expenditure e.g. artificial insemination or mating fees but not for the value of the animal itself because it is already recorded in 43105a

43107 Check whether the amount of home consumption is realistic considering the number of household members. If the amount of livestock or livestock products consumed by household appears to be unreasonable high, ask again for clarification. If there is a good reason for unusually high or low figures, please make a note using the comment function.

43106, 43106a If livestock has been given as gift to another household, put it into 43106 and 43106a as losses. However, it should have been included into section 2.1 or 2.4 (depending on the recipient) as a remittance.

43105, 43105a, 43106, 43106a

Special cases:

1. If livestock has been given to or taken away from the household as part of Thai government program on cows (i.e. Thai government gives a calf to a HH. When the calf is grown up and has given birth to another calf, the mother cow has to be given back to the government.), put it into 43105, 43105a, 43106 and 43106a as received in kind or losses

respectively. However, also put it into section 7.1a (borrowing) as a loan in kind (Specify the program using code 90 in variable 71109!).

2. Fish and seafood:

- Stock at the end of 4/16 (e.g. fish in pond that weren't harvested in last reference period): for this stock ask whether it was consumed, sold and/or used as input in own business between 05/16 – 04/17. Don't mix up with the new stocking information which would be added to a new roster.
- For new stocking during the reference period. Use no. as the unit for stocking (41004, 41005) and use kilogram for harvest/losses (41006, 41007, 41008 and 41018).

4.3.2 Livestock products

General instructions:

- Units for all types of livestock products are given in the code A in variable 43202.
- If the respondent cannot give an exact figure or if he says that he doesn't know, ask him to give an estimated figure. Avoid code 98 as much as possible.

Specific Instructions:

43204- 43206

Please check for a correct balance:

$$43204 = 43205 + 43206 + 43218$$

43205a and 43207

Check whether the livestock product values given by the respondent are realistic. In case of unrealistically high or low figures, please ask the farmer for clarification.

43208, 43209+a, 43210

Check whether the cash costs given by the respondent are realistic. In case of unrealistically high or low figures, please ask the farmer for clarification.

43205 Check whether the amount of home consumption is realistic considering the **number of household members**. If the amount of livestock or livestock products consumed by household appears to be unreasonable high or low, ask again for clarification. Animal manure (dung) is added here even though the household may use this as an input for crop production.

43209/10 If there are further cash costs, please specify in 43209 and fill in the value in 43210.

432011 Please refer to section 4.2 on how to calculate person hours. There can be many tasks associated with livestock with different time periods e.g. herding and fetching cows. Ask the household for an estimate rather than going into details. Still check details if the value seems unreasonably high.

4.4 Fishing, hunting, collecting and logging

General instructions:

In this section the household should report its activities in fishing, hunting, collecting and logging. Please make sure that very intensive and self-regulated fishing activities (for example the HH members harvest about one ton of fish daily per member using a cage culture) should be reported in livestock and aquaculture (section 4.3). Some household may capture fish in the local river or lake or coastal area and this will be included in this section (4.4).

Specific Instructions:

44000 First the household will be asked how many activities it has with regards to natural resource extractions; these include fishing in near-by rivers, collecting mushrooms or wild honey from the forest or getting wood from the forest. Some of these activities may be illegal (like logging) so enumerator please use less sensitive examples in the introduction, e.g. fishing.

44019 Answer the distance in km between household's location and the place where the household conducts fishing, hunting, collecting or logging.

44018 and 44016 should be not greater than the quantity of overall output (=v44014).

44008/9 If the season has two peaks – e.g. from May to August and again from November until March, then please record the main season in which the activity took place for that year.

If there were 2 major seasons, please record information in two rosters if the price of products is different between these two major seasons.

44010 Please make sure, that the amount of days is plausible with the length of the season (44008/9). In the following questions, refer again to the normal reference period (5/16 – 04/17). If HH conduct the activity every day, put 365 here. But then the normal season Q8-Q9 should be from May (05) to April (04)

44011, 44012, 44012a For all these costs (fuel, hired labour, other) calculate the cost per time of activity conducted and ask the respondent if this figure is reasonable.

44012 If the respondent does not know how much is paid for hired labor in total, help him/her by asking, how many laborers worked for the household, how many days they worked

and the rate per person hour/person day (at average no of hours per day) which they paid them and finally calculate the total amount paid

- 44013 For Thailand (same for Vietnam in Dak Lak): To fish marine fish seems not very plausible. Please make sure that they really fish it and if yes, write a note why it is reasonable.
- 44015a This variable should give the unit used for 44014, 44018 and 44016. Whenever possible try to use kg or if the respondent uses another unit, try to convert it to kg. For firewood also m³ is ok.
Remember: 1kg=1000g, e.g. 330g : 1000 = 0.330 kg; 0.5 kg x 1000 = 500 g
- 44016 Try to re-check whether the quantity given fits by calculating quantity consumed per day/person
- 44017a If respondent cannot estimate total output help him by saying: Estimate the value of what you sold and then add the value of v44016a. When the respondent estimates the value estimate avoid the highest seasonal price but use an average price for the relevant reason.

Section 5 Wage employment

General instructions:

In this section the enumerators need to prepare the respondent for a different set of questions by reading out the introduction in section 5 of the questionnaire/in the tablet. It

is important to explain that wage employment includes all jobs that the respondent or any member of his household as listed in section 2.1 has outside the household's farm. Of course please do not ask again for dead members (and mark them in the household list!). For members who left the household we would like to have this information as far as possible. This off-farm employment includes work on other farms in the same village or outside the village but also non-farm employment such as employment in factories or construction companies. Since these jobs are often carried out by household members who may not come home often ask the respondent to give his best estimate for example when asking for wages etc. He may also ask other household members who may know better but the answer should always be endorsed by the respondent. Sometimes the employee may also receive other benefits (bonus payments) in addition to wage. These need to be included.

Specific Instructions:

50001 This is a "yes/no" question ask whether any of the household members worked in wage employment during the reference period. If "no", the tablet will skip the whole section.

50002 For this question, we would like to know how many household members worked in wage employment during the reference period.

After this question, you will see a statement in the tablet "please determine the number of rosters of all off-farm occupations. The roster (s) will be generated from this answer."

Please note that here we would like to have the sum of the number of all off-farm occupations for each household member. If one household member has two kinds of off-farm job, there will be 2 rosters for this household member. Ask roster by roster for every question.

If a HH member worked in the family business and received regular payments during the reference period, information on wage employment of this person has to be recorded in this section.

- 50003 In the tablet, you will see the name of household member. Please cross check with questions 21014 and 21015 in section 2.1
- 50004 Occupation No. is consecutively numbered for each household member. Referring the example above, one household member has two wage employment jobs, occupation no. of this person will be 1 and 2 respectively.
- 50005a Please note that occupations in code A are categorized as follows: 1-Agriculture, 2-Industry worker, 3-Service-first half, 4-Service-second half, 5-Public sector and 6-Other.
- 50007 In this question, we would like to know since when has this person been working in this job. If the person has just started less than 1 year ago, record the month that he/she started working in this job (e.g. March – record 3).
- 50009a If this person worked in the family business and got paid regularly, code L = 30
- 50008a Commuting covers all cases where people go to the place of work and return home (the rural village where his/her household is based) every day. If someone stays over night at the place where he/she is working (e.g. living in a flat in Bangkok because job is located in Bangkok), then fill in 2 (=no).
- 50022+23 This includes regular bonus payments and one-time bonus payments, and please specify the unit correctly.
- 50031 Make sure to include all in-kind benefits here, e.g. also insurances that were paid for by the employer. The unit is per year.

50028 Please be reminded that the maximum possible for working hours is not 24 a day, but rather around 12 hours, since the employee needs to sleep and eat. If for certain reasons the daily working hours are higher please use the comment function.

50028a The maximum of working days per month is 30 (or 31). Please make sure to deduct free weekends and an appropriate portion of yearly holidays.

Section 6 Non-farm self-employment including cottage industries

General instructions:

This section refers to all non-farm enterprises which the household owns or is engaged in. Please read out the introductory sentence on top of the table. Generate the rosters in the same way as explained in section 5. There can be an exception to this rule of two members of the household have an equal share in the business (In this case only generate one roster and follow the instructions in 60002).

Specific Instructions:

- 60001a concrete plan means for example HH plans to open a noodle shop and he already took a look at some places or bought some equipment. It is realistic and detailed which already includes clear ideas what HH would like to do.
- 60002 We would like to know the number of household members who are engaged in non-farm self-employment between 5/16 – 4/17. If household has one business and owned by brother and sister, answer as one roster here. However, if the brother is an owner and he regularly paid salary to his sister, answer 1 person here because sister in this case works as a wage-employee (section 5).
- 620003 In the case of joint businesses with two or more members with equal shares in the business determine ask the respondent to decide who is the head of the business.
- 60005a Type of business in Code A “28” means agricultural services. This includes renting out a tractor with which he/she works on somebody's field.

- 60006 We would like to know since when HH-member run this business. For this question, please fill in the year that the HH started running the business. In case that the business has been run for less than 1 year, please enter "0", the following question (v60006m) will pop-up. Fill in the month (1-12) in v60006m.
- 60007 We want the value of the initial amount of investment in the first year of the business, i.e. in terms of the currency value at that time. For example, if the car costs 500,000 THB, but HH paid in the beginning only 200,000 THB, please still the record the value of the car – 500,000 THB.
- 60007a We want to know the source of the money used to cover the initial investment.
- 60016a,b In these questions, we would like to know how many persons work in this business
- 60033 Include all cost items as well as electricity and fuel. Be sure that these costs are not considered again in the expenditure section 8, because the latter one is for consumption expenditures only.
- 60043 e.g. if you process rice for rice cakes for a business estimate the value of the rice. You may check with section 4.2 if the household really does process rice (Supervisors only).
- 60040b Please be reminded that the maximum possible hours for working is not 24 a day, but rather around 12 hours, since the employee needs to sleep and eat. If for certain reasons the daily working hours are higher please put a note.
- 60040a The maximum of working days per month is 30 (or 31). Please make sure to deduct free weekend and an appropriate portion of yearly holidays.
- 60039 The maximum of working months per year is 12. Please make sure to deduct free months and an appropriate portion of yearly holidays.

Section 7.1 Borrowing and Lending

7.1C Credit rationing

In this section, we want to know whether HH applied for any credits during the reference period without getting it or without getting the full amount HH applied for. (You get nothing or you get only some of what you wanted)

General instructions:

- Please record all the loan items that a household applied for between 5/16 - 4/17 without getting it or without getting the full amount a household applied for
- Ask HH for how many rationing cases to create roster(s). Ask roster by roster for all questions.

Specific Instructions:

71306 Amount actually received should be less than what person has applied for (i.e. value from 71305). Otherwise the case is not credit rationing.

71307 If the loan is multi-purpose, state the most important reason.

71309a – 71309b - The separation between **a** and **b** in this question links to shock(s) that HH reports in section 3.1a and 3.1b. If HH applied for credit because of shock from section 3.1a you fill in shock id (1-3) in v71309a, whereas fill in shock id (4 onward) to v71309b if it because of shock from section 3.1b (in case you get confused with the shock IDs, check with the paper questionnaire).

71311 Record the number of times (including this time) that the application was partially or completely rejected. Thus, this question must be recorded and does not allow for 0 in this question.

Loan request means you request and then Bank said that you cannot get it. Then you re-applied the same thing. So, 71311 = 2 times. If I applied to another lender even same amount, it is another roster.

7.1D Default history

General instructions:

HH did not comply with the condition of the loan means that HH cannot pay what it wants to pay. Please cross check with information on late repayments in section 7.1 A Borrowing, question v71102a and the loan rosters. Ask HH for how many cases of default there were during the 5/16 – 4/17 to create default roster(s)

Specific Instructions:

71321 If the loan has no collateral or if the collateral is in the form of guarantor, then this question will be skipped.

7.1A Borrowing

General instructions:

- Please introduce the section by explaining that we would like to understand the characteristics of the rural credit market in Thailand/Vietnam and how the household participates. Please emphasize that we are interested in all sorts of borrowing/lending (formal and informal, cash and non-cash).
- First ask EACH RESPONDENT for the location of the nearest branch/group of the four financial institutions and the travel time. Also ask this question, if the household has not borrowed anything.
- Then, ask number of loans to create roster(s) in the electronic version,
- Fill in the loan(s) in each roster that is still has to be repaid or that has been completely repaid in the period between 5/16 – 4/17 in decreasing order of value. Start with the highest loan in terms of value.
- If respondent has stated to have invested on credit in the reference period, please make sure to always fill in this section.

Specific Instructions:

– Roster: Financial Institutions 71133e-33d

The purpose of these questions is to obtain information on the location of the nearest branch/group of the four financial institutions and the travel time (in minutes) from the household to each branch/group. The interviewer should address this question to all households not only households that have borrowed. If the nearest branch/group of a given financial institution is within the same village that a household resides, then the interviewer should record code CC1=0. If the nearest branch is outside the village that a household resides but still in the same sub-district (commune), then the interviewer should record code CC1=1.

70001 It can be that HH did not borrow during the reference period but HH borrowed another year, this question is answered “yes” because we ask did you EVER borrow....?

71003 – 71005

Check if the loans you filled in are still owed or have been fully repaid during the reference period. If yes, please ask for further information row wise (paper-based) or each roster (tablet version).

71106a - 71106d

Record the most important usage of the loan in 71106a, the second most important in 71106b and the third most important in 71106c. If the loan was used for only one purpose, put that purpose in 71106a, and fill in code B “20” and “21” in 71106b and 71106c, respectively. If the loan was used for two purposes, fill in code B “21” in 71106c. As in section 6.2, business and agricultural investments (code 1 and 2) relates only to durable goods (e.g. use for longer than one year and value > 5000 THB/1.500.000 VND), while business and agriculture expenses relates to any other goods, such as seeds for non-permanent crops or goods to sell in a shop. When the respondent answers to have used the loan for business or agricultural purposes, please cross check with section 6.2, and enter the goods there, if necessary. When the respondent answers to have used the loan for business related purposes, then fill in the ID of the specific business from section 6 for question 6D and fill in the share of loan used for business related purposes in percent in question 6E.

71107 - 71108

If the household was borrowing in response to a shock make sure that the shock is listed in section 3.1. **Fill in question with the correct shock I.D. from section 3.1 (variable 31001) and NOT the code of the shock.**

71112 – 71113

The duration of the loan begins from the time a borrower received a loan until he/she fully repays the loan. The reference period does not play a role for answering this question. The duration refers to the actual duration of the loan, not the one that is initially agreed between a borrower and a lender. The actual loan duration may be different from the

agreed one if a borrower made a late repayment. In this case, the actual duration should be entered in question 71112. Please record the unit in question 71113.

71114 A borrower can pay back the loan in cash or in-kind. If the repayment is in cash, put code A=5 in 71114. If the repayment is in kind for example agricultural outputs (e.g. rice or other crops) or food, put code A=4. If the repayment is a mixture of cash and in kind, put code A=90 and specify as 'a mixture of cash and the type of in kind.

71114a question 14a: "repayment schedule" The purpose of this question is to examine whether the repayment streams are made regularly or not, and whether the repayments depend on the financial situation of the borrower.

If a borrower has to pay back fixed amount regularly, e.g. pay back 1,000 THB/600.000 VND every month, then put code C = 1. If the amount of each payment stream varies but the repayment has a fixed schedule, e.g. pay back 100 THB/1000 VND for the first 10 months and 1,000 THB/600.000 VND for the last two month, then put code C = 2 (pay varied but specific amount at each scheduled time). The loan from student loan fund belongs to this category. If payment is made whenever the borrower has enough money, then put code C = 3 (pay whenever the borrower has enough money). For this case, the repayment has a flexible schedule, so skip question 71114b

71114b This is the number of repayment times per year as **initially** agreed between the borrower and the lender. If 14a = 1 or 2 (regular repayment schedule), then 14b should be filled in.

71116 – 71117

This is the interest rate of loan as initially agreed between the borrower and the lender in percentage.

- If a loan has no interest rate, put '0' in 71116 and '1 (per year)' in question 71117.
- If a loan has an interest rate of 2% per month, put '2' in question 71116 and '2 (per month)' in question 71117.

- If the respondent only knows the amount borrowed and amount to be paid back and the period, enumerator calculates interest rate (STL should check this value).
e.g. The respondent states that he borrowed 10.000.000 VND to buy an electric bike. After 3 months she has to pay back 12.000.000 VND. Respondent pays interest daily but does not know the interest rate. As the interest is paid over a period of 3 months you should enter 2 in 71117 and the total interest rest would be 20%. As this is paid in 3 months the actual interest rate = $20/3 = 6.67$.

-

71115a - 71115b If no payment has been made between 5/16 and 4/17 then put 0.

71119a This is the amount of cash or the value of goods that have already been paid back starting from the first payment time until the end of 4/17. If no past payment has been made before 4/17, then put 0.

71119b This is the amount of the loan that still has to be repaid as of the end of 4/17 including interest. If the loan has been fully repaid, put 0.

If the respondent does not know or more likely does not want to say put 98.

Example for **71119a-19b**. If full amount of repayments and interests is 1500, possible answers for 19a and 19b are:

19a: Total repayment of loan as of end 4/17	19b: remaining debt as of end 4/17	Note
0	1500	No past payment is made before 4/17, i.e. 19b=1500
1500	0	The loan has been fully repaid
800	700	The loan has been repaid and still owes

71133 The purpose of this question is to determine if the household has totally repaid each loan in total or if it still owes some amount of the loan and is used for data analysis, there is no need to ask the respondent, simply enter the correct answer. If 71119b greater than zero, then the answer to this question (71133) should be NO, whereas, the answer to this question should be YES, if 71119b is equal to zero.

71121 If the loan has no collateral or if the collateral is in the form of guarantor or work contract, then skip 71121 unfilled (do not put 0 in these cases).

71122 – 71124

If there is no other requirement, record 0 in 71122. If there is 1 requirement, record the response in 71122, and put 0 in column 71123 and 71124. If there are 2 requirements, record the most important requirement in 71122, the second most important requirement in 71123, and put 0 in 71124.

71131 This is the location of the lender specified in question 71109.

71132 Record the travel time (in minutes) that a household normally needs to reach the lender, irrespective of the method of traveling.

7.1B Lending

General Instructions:

In this section, we would like to access information whether household ever lent out cash, goods or sell by installments in general and also during the reference period as well as its loan's value.

7.1E Savings

General instructions:

- Please **remind** the respondent that all information given here is strictly confidential. It will only be used for scientific purposes
- Please be particularly sensitive about asking for cash savings at home

Specific Instructions:

- 71510 Record the most important source in 10a, the second most important in 10b and the third most important in 10c. If there is only one source of savings, put that source in column 10a, and put code C = 9 and 10 in v71510b and v71510c, respectively. If there are two sources, put code C = 10 in v71510c. Make sure not to confuse reason and source of savings.
- 71511 This question may be simply asked as '**why do you/your household save?**' Record the most important reason in 11a, the second most important in 11b and the third most important in 11c. If there is only one reason, put that reason in v71511a, put code D = 14 and 15 in v71511b and v71511c, respectively. If there are two reasons, put code D = 15 in v71511c.
- 71512 Record the bank account in a descending order of amount. If a household has more than 4 bank accounts, then record the bank account with the largest amount in bank account 1, the second largest in account 2, the third largest in account 3, the fourth largest in account 4, and sum up the rest in roster 5. Here Ho/Hui or Phuong is a Vietnamese form of savings which ...
- 71514 This is the account balance as of today (approximately as of 4/17). If possible, the interviewer may ask the respondent to show the bank account details. If a household has not updated the bank account recently, then record the available account balance as the date closest to 4/17.

- 71515 This is the account balance about a year ago (approximately as of 5/16). If a household has not updated the bank account up to 5/16, then record the available account balance as the date closest to 5/16. If the household owned 2,000 THB on April, 1 2016 on his bank account 71515 is 2,000 THB. To be clear: This question does not ask about the cumulative sum of payment throughout the year.
- 71516 If a household has never withdrawn from this bank account between 05/16 - 04/17, then put 0 in column 16.
- 71517 If a household has never added money this bank account between 05/16 - 04/17, then put 0 in column 17.
- 71519 This is the normal travel time in minutes from household to the branch/group of financial institutions that a household has saving account.
- 71520 This is the interest returns or dividends (excluding the beginning balance) that a household receives between 05/16-04/17 in THB/ 1000 VND.

The household is supposed to give the interest rate payments he has received in the reference period. If the household does not know the amount in THB the interviewer should ask for the interest rate (in percent). If the household does know the interest rate, the interviewer should calculate a proxy for the payments, i.e. (average amount of the account) x (interest rate). It is feasible to calculate the average as the mean of the values of 71514 and 71515. If the household does not know the interest rate please put in 98. Do not assume any interest rate even if it seems to be feasible.

If the account was opened during the reference period, it is possible that no interest payments have been transferred to the account yet. In this case we enter the amount that will be paid for the reference period but have not yet been received.

In this variable other returns such as boni, dividends or promotion benefits (e.g. benefits for opening a bank account with this bank).

Section 7.2 Public transfer and insurance

7.2A Public transfers and other payments

General instructions:

- Please state the number of public and other payments the household as a whole (e.g. how many transfers each member received) received between 5/16 – 4/17 to create roster(s). If HH state 2 payments during the reference period, 2 rosters will show up.
- Start to ask questions roster by roster.
- Please **read out** type of program (code A) and ask whether any of the household members have received any of these payments during the last year
- Make sure that, 1. the income you record here is from a governmental institution or an NGO and 2. the household did not pay contributions to be entitled to receive the transfer. The latter would refer more to a private or government insurance and is recorded in the next section.
- **Each roster is the transfer payment for one household member.** Thus, if two members of the households have two transfers each, the information should be recorded in 4 different rosters. If the household as a whole, not a single member, received a transfer, then put the member ID of the household head in v72101, and comment that it is for the entire household.

Specific Instructions:

72102 Try to identify the public transfer program exactly in the Code. In case the transfer received does not correspond to any of the specified programs in the code, identify exactly whether the program is a government program (80), a commune program (81), a project of donors (70) or any other payment (90). Use the regarding code number in the

questionnaire and specify/describe exactly the name of the program or the purpose/reason of the payment in the following question.

- 72103 Record the amount of transfers received in THB/1000 VND. If the type of transfer is in-kind, estimate its value and put the estimation in v72103. If the transfer is a mix of cash and in-kind you estimate the total value and put the estimation in v72103. Record the actual amount of transfer received not the amount that the person is supposed to receive. There are a few cases where a household member received a transfer less than he/she is supposed to get. (For Thailand: Most of these cases are cash transfer from 'support to the elderly fund'). The payment is sometimes delayed beyond the reference period.
- 72106 Please fill in the month in numbers, e.g. 4 (for April).
- 72107a-b Please record the month and the year the household received payment for the very first time. Please fill in the month in numbers, e.g. 4 (for April). If the first payment happened a long time ago and the respondent has difficulties to remember, you should focus on finding out the correct year at least you may estimate the month by asking in which season the first payment was made. Only if the respondent is unable/unwilling to provide the information on the month do you enter 98.
- 72108 Ask the respondent, whether the received payment has to be paid back. If the money has to be paid back in any case, code 1. If the money has to be paid back only partly or under certain conditions, code 2. Please ask exactly, whether there are conditions under which the payment has to be paid back. Especially ask in the case of scholarships. For example, in some cases they might have to pay the scholarship back if they earn above a certain annual income, but not if they stay below this threshold.

7.2B Insurance

General instructions:

- Please introduce the section by telling the household head that we are interested in the various insurance arrangements the household members have, in particular “funeral insurance” (Thailand) and health insurance (Vietnam).
- Ask HH for how many insurance arrangements that HH has by household member at the moment to create roster(s).
- Each roster is the insurance for one household member. Thus, if two members of the households have two insurances each, the information should be filled into 4 different rosters. If the household as a whole, not each member, enrolls in insurance scheme, then put the member ID of household head in V72204 and use the comment function to state so. Please ask roster wise.
- From 72205-32 will be recorded only for insurance arrangements the household maintains at the moment.

Specific Instructions:

72202 Please read out the types of insurances. This question only refers to official insurance arrangements with the government, a government agency, a private company, etc. Any contributions the household makes to an informal or local insurance club are not included in this question.

72205 **Attention!** Please make sure, that you specify the type of insurance exactly in terms of whether it is an insurance offered by the government / a government agency or by a private insurance company. Note that some of the items are listed twice (e.g. health insurance, crop insurance), one item under “**Insurance offered by government**” and

one item under “Insurance offered by private company”, respectively. Make sure that you code exactly!

VN: Code B “3” and “4”. “4” means a health insurance which covers costs caused by physical disabilities.

72205a Be careful: in case the household did not pay a premium for the insurance you have to ask whether someone else (e.g. the employer) paid for the insurance. If the employer paid for the insurance, please cross check with section 5 (Off farm employment) v50031. Insurance payments made by the employer need to be included as in-kind benefits in v50031.

72209 This question refers only to the amount of premium the insured paid between 5/16-4/17. If an insured has not paid any premium between 5/16-4/17.

72212 Please ask the respondent to give the exact amount or an value of in kind (goods), if the household got any compensation payments from insurance policy during the last year (e.g. from livestock insurance because of livestock disease such as bird flu or compensation payments from (private) health insurance for medical bills household member had to pay in advance etc.). If an insured has never received any compensation between 5/16-4/17, then put 0 in this question.

72230 Please ask the respondent if insurance membership is mandatory or voluntary. “Mandatory” means that the insurance membership is required by law or that it is obligatory for the household to have insurance whether it wants or not (e.g. household member working for non-state business with more than 10 employees or state enterprises etc.).

72231 This question wants to ask whether the insured has to pay for his costs in advance which will be later reimbursed by the insurance company (e.g., an insured household goes to a

doctor to get a medical treatment and is required to cover the cost which should be paid by the insurance company and gets reimbursed later by the insurance company).

72232 The purpose of this question is to find out whether the insured has to make a co-payment. "Co-payment" refers to a payment owed by the insured at the time a covered service is rendered, covering part of the cost of the service. It is usually a pre-determined amount set by the insurance company that the insured will pay prior to receiving services and it is often associated with physician office visits.

Section 10 Character Traits

Background:

The Big Five Personality traits (aka FFM) is a model based on different elements of an individual's personality. The element (factors) are defined as openness to experience, conscientiousness, extraversion, agreeableness, and neuroticism. These are commonly used in the field of psychology to describe human personality and psyche and are used in numerous studies in multiple fields on a world-wide basis such as: the "International Sexuality Description Project" (2003), which is a collaboration of 100 scientists and explores the impact of culture-level factors that might influence the personality traits across both sexes in 55 diverse nations. The information gathered here will be used to apply characteristic traits to economic models in order to better explain behaviour of the respondents as well as being used to determine the impact of certain characteristics on the overall quality of data across the panel.

General instructions:

This section specifically deals with self-assessment of own characteristic traits by the respondent. Accordingly, when you read the questions to the respondent be sure to do so in a neutral way and to not make any additions to the question text. Furthermore, should the respondent ask for help or additional explanations please refrain from doing so. The respondent is free to interpret the statements as he/she wishes and to their answers should be subjective and independent from outside influence.

We ask respondent and do not ask other people for help, just decide for your own.

Enumerator use the show card scale and read each question. Importantly, enumerator will not further explain each character.

Section 6.2 Investment and disinvestment

General Instructions:

We would like to ask about investments and disinvestments which mean purchase durable goods that last more than a year. This investment can be for farm, business and personal use as well as HH use.

This section refers to the investment strategy for productive and consumptive purposes above a value of 5000 THB / 1.5 Mio VND. We are interested which durable goods the household has bought or sold during 5/16 – 4/17 and what he plans to invest for the future.

After opening the section 6.2 in the tablet, you will ask questions on what the HH plans for the next 5 years and the plans regarding specific issues (v62020 – v62027). Please start with all these questions.

62020-27 Please cross check these questions with sections 4.2 (crops)/ 4.3 (livestock) and 6. Only use code 4, if the household does not have crops or livestock or for v62021 if it has self-employment.

62028 Children/ grandchildren relates to the generation in the HH that is not yet grown up, and has not yet taken a decision where to live in future.

Enumerator judge whether to ask about children or grandchildren. If the respondent is young, ask about children. Whereas ask about grandchildren, if the respondent is already old. Code K = 2 Most of them in a provincial city- this can be any city in province except Bangkok, Hanoi and Ho Chi Minh City

Specific instructions:

- 62001 This is the filter question for investment. Investment is defined as the purchase of a **durable** good for a **price above 5000 Baht or 1.5 Million VND**. Durable means that it will be used longer than only year. One investment is always related to one **investment decision**. If the HH bought 100 chickens one time with a price of 5000 THB/1.5 million VND or higher, this is **one** investment decision/event; purchase price can be added up and entered in one row. If they decided to buy another 300 chickens 2 months later, this would be another investment decision.
- 62003a Often, it is difficult for the respondent to remember all investments. Therefore, interviewers give examples of the different categories in code A. If respondent is still uncertain, give concrete examples. Please also cross-check with relevant sections. For land and buildings check with section 4.1, for permanent crops with section 4.2 and for livestock with section 4.3. The relevant section for all machinery vehicles and household items is section 9.1.
- 62004 Fill in where the item is located. If the household bought a tractor, that is used on the own farm in the village, fill in 1. If they bought land which is located some 2 kilometers away from the house, but in the same village/commune, fill in 1. If they i.e. bought land for a chicken farm in another province, fill in 6.
- 62004a Fill in how many items the household bought. If they bought 1 tractor, fill in 1. If they bought 300 chickens, fill in 300. For land, please fill in the number of land plots.
- 62005a This question gives you an idea, which technical characteristic might be important for a certain item. If the item gives a unit for this question, please use the referred unit..
- 62007 The purchase price relates to the sum of the investment decision. If the investment decision includes 300 chickens, please enter the total price.

Include also credit and loans. If bought on installment insert the full sum including interest rate. Fill in the credit and loans information in borrowing section.

62008 Private means not for farm and non-farm businesses, for consumptive purposes either personal or for some or all household members.

62009 How long does the respondent plan to use the item, until it breaks down, or he will sell it?
Please enter the *planned* duration of use in years. Calculate from the point in time, when he bought it.

It also implies what HH expects for the service life.

62012 If the answer to this question is 2-mostly borrowed please don't forget to put the loan in section 7.1.A Borrowing.

62013 This is the filter question for divestment during the last three years (5/16 – 4/17).
Divestment means, that the HH sold a durable good with a price of 5000 THB /1.5 Million VND or higher, which has been used for more than one year prior to the reference period.

for further explanations refer to previous comments for section 6.2.

Section 9.1 Household Wealth

Part I

General instructions:

- Read out assets *and tick on items that household has*
- The selected items will show up as rosters and please ask 91002, 91003, 91004, 91009 and 91008a in each roster

Specific Instructions:

91003 This is the value of **the most recently obtained item** at the time when HH got/bought it. If HH got as a gift, please still ask the respondent to estimate the value.

91004 We would like to know how much would the respondent get if he **sold ALL items today**.
Not mixed up with question 91003.

Part II

Specific Instructions:

91005 Question refers to households with which the respondent compares his household with

91006 Question refers to households with which the respondent compares his household with across the entire country.. Use Code A.

For 91005 and 91006 only offer the explanation provided above if the respondent is unsure what is meant. If he still does not know with whom to compare use the term “most other households in village/country”.

- 91008 Fill in the three major reasons why the respondent thinks rich people have high incomes.
Please fill in the answer in order of importance. If household reports only one reason, fill in
code B=10 and code B=11 in 91008b and 91008c, respectively.
- 91009 Fill in the three major reasons why the respondent thinks poor people have low incomes.
Please fill in the answer in order of importance. If household reports only one reason, fill in
code C=13 and code C=14 in 91009b and 91009c, respectively.
- 91010 Question refers to the people with whom the households compare themselves with when
they compare their standard of living.
- 91011-12 With community we generally mean the village.

Section 9.2 Housing conditions

General instructions:

- Houses: Do not count stables and animal shacks, unless humans live inside.
- Please have a look at the house to verify answers when response is not clear. All questions should be answered!

Specific Instructions:

92000 Number of houses inhabited by this household in the village

92001 Ask respondent for the approximate size of each house and add them up for him. *Hint:* If estimation is difficult ask how many times a long bed can fit to a wall (outside wall). A long bed is nearly 2 metres long.

92002 Total of all houses **inhabited** by the household, put one room at least! Rooms separated by plastic sheets count as one room.

92004 – 92005

Refers to newest house only. (Not those under construction)

92008a In case of a two-story house the material used for the floor may differ between 1st floor and 2nd floor. If this is the case report the material of the 1st floor.

92016 Question refers to value of the houses recorded in 92000, excluding the land it/they are built on. Be sure the amount seems plausible.

You may help with the respondent to estimate the value by asking the following questions:

If you were to sell this house today how much do you think can you earn? Ask for approximate value in case house was to be sold to a rich person from the village or from the next town.

92017 Fill in the three major improvements that the respondents made on their house since 2010. Please fill in the answer in order of importance based on the amount of money spent on the improvement.

92018 Fill in the amount of money spent on house improvement in total.

92019 We would like to know the major device used in terms of time it is being used. For example if the smartphone is used for 2 hours every day by the kids and the computer for 1,5 hours by the adults, please indicate the smartphone.

92020 & 92021:

Please indicate the two main uses in terms of time, with the most important use being put in the first answer field (a). Entertainment is anything that is related to enjoying free time, like music, videos, Facebook without applying to any other code. However, if you stay in contact with friends via Facebook, this would be code 4. With messenger app we mean things like Whatsapp, Zalo (VN) or LINE (TH). With trading activities we mean commercial buying/selling of things that do not belong to the household as a kind of intermediary whereas codes 9 and 10 (things to buy/sell) relate to things from the household that are bought/sold.

Section 11 Interview evaluation-Enumerator

This is a special TVSEP side project for the 2017 survey on data quality.

General instructions:

This section specifically handles your **subjective** perspective of the interview as an enumerator.

Accordingly, it is necessary for you to answer the questions as truthfully as possible. This section is to be answered after completion of the interview with the respondent (so immediately after handing the respondent the respondent evaluation).

During the interview it is advisable to ask the names of those who were present, ask if they are members of the household, and then enter these individuals into this section (110004-4a + 110008-10). You should make a note of these individuals in your notebook.

Specific instructions:

110005 “Most of the questions” in this case refers to no specific amount, but rather measures a subjective perspective of how many questions were answered by the primary respondent (e.g. If you feel that >80% of questions were answered by the primary respondent you would state “Yes” for this question; If the primary respondent left after 3 sections you should state “No” as an answer to this question).

110006 Please only state at maximum three sections here. In the first entry please state the first section that the main respondent was unable to be interviewed for. Should the main respondent have been unable to be interviewed for >3 sections enter in the

section before he/she returned for the second part of the interview in which they participated in in the second field and for the third field enter in when they next left.

110013 A malfunction in this case refers to cases of the tablets input device (e.g. touchscreen being difficult to use, lag spikes, shut-downs, device/app crashes etc.)

Appendix

Appendix 1: Survey organisation

Organisational Set-up of 2017 TVSEP Survey

TVSEP Team at LUH: Headquarter Level (HQ)

- Project Coordinator (HW supported by: UG,AW,SK)
- Research Data Base Manager (RSL)
- IT-Spezialist and Researcher for Data Quality Improvement (MB)

MoU Partners :

Assure political support and smooth implementation of the survey!

- Thailand (Dr. Narintorn)
- Vietnam (Dr. Ty)

TVSEP Country Teams

National Data Collection Center Managers (NTLs)

- Thailand (SN)
- Vietnam (BT)

• 6 Provincial Teams with provincial and assistant team leaders (PTL&A-PTL)

- Thailand (PTL-MQ,CN,TL)
 - A-PTL: Mo, NN, NN,...
 - Three provincial teams with 20 enumerators with 4 subteam leader in Ubon and Buriram province; and Nakhon Phanom with 10 enumerators with 2 subteam leaders
- Vietnam (PTL: S@S,SH,AG)
 - A-PTL: CM2, B3, Hoa
 - Three provincial teams with 15 enumerators and three subteamleaders each

Data Checking Assistants (DCA)

- Thailand: Melanie (in Ubon); Dorothée, Ralf & Thomas (in Germany)
- Vietnam: Wiebke (in Ha Tinh) , Uta, David (in Hue), CH&Tung (in Germany)

4

Survey Implementation Strategy

- Train the trainers including field practice
- Train enumerator including extensive field training
- Good payment plus quality bonus for good work (exam, respondent-assessment, STL, PTL, etc....)
- Warm-up phase with one questionnaire per day
- Survey-off days for checking questionnaires
- Contingency Days at the end of the survey
- Close supervision and advise

5

Task Description: HQ Level

- 1) *“Subsidiarity” Principle means that the higher level should not exercise functions which can be carried out efficiently by the level below”*
- 2) HQ and NTL makes the final approval on questionnaires entering the TVSEP data base
- 3) For any change in procedure as demonstrated during the trainings (e.g. changing the way question are asked, dropping questions, adding questions, changing time periods etc.) HQ level decides !
- 4) HQ maintains the overall supervision of the survey in order to maintain the consistency between the two countries

1

Task Description National Level

1. Coordinate the survey organization including the logistics
2. Manage the financial and human resources of the survey
3. Assure consistency of procedures among provinces through on-site supervision
4. Work with HQ in final checking of questionnaires
5. Decisions about changes in human resources

7

Task Description Provincial Level

- PTL manages the human and financial resources of provincial survey team
- PTL conducts short team meeting every evening listening to difficulties survey staff (Enumerators, STLs, data control assistants)
- In case of presence of non-native speaking data control assistants they must be given „a voice“ during the daily team meetings
- PTL together with DCA (in country and Germany) checks questionnaires (see checking procedure)
- PTL maintains a balance between on-site supervision and on-line checking of questionnaires.
- A-PTL assists PTL in managing especially the financial resources of the survey (receipts, payments)
-

8

Task Description for Data Control Assistants (DCA)

- DCA is a member of the TVSEP 2017 survey team who is given access to the TVSEP server for checking questionnaires uploaded daily by the STLs
- DCA can be located „in-country“ or in Germany. In in-country DCA can sometimes accompany the team to the villages/HHs where interviews are conducted and can observe possible problems with questions or codes and can join the daily provincial team meetings
- In both cases DCAs are assigned a certain number of questionnaires by TVSEP-HQ to be checked on a daily basis using the comment function of the survey program
- DCAs are included in a DCA-NTL-PTL-APTL skype group managed by TVSEP HQ where frequently occurring problems can be reported and discussed.
- HQ Research Data Base Manager (Dr. Rattiya) will call for meetings of the DCA skype group
-
-

9

Task Description Sub-Team Level

- STL must confirm interview appointments with commune/village heads
- STL supervises and assists five enumerators in conducting interviews
- STL pays households for interview; i.e. enumerator must wait at HH until STL arrives
- STL takes GPS coordinates to be entered in tablet/village household list
- STL takes over interview in case of absence of enumerator
- STL undertakes quick checking of questionnaire in the village prior to uploading the questionnaire to the server
- STL maintains presence at interview giving priority to enumerators that need assistance.
- STL does not interfere in the interview except in case of serious misconduct by enumerator
- STL makes daily reports using village-HH list to PTL and return receipts to A-PTL

11



Our Principles



Honesty and transparency

Diligence and Precision: Data Quality is our No. 1!

Follow the procedure that was introduced during the trainings (never change the horse during the race!)

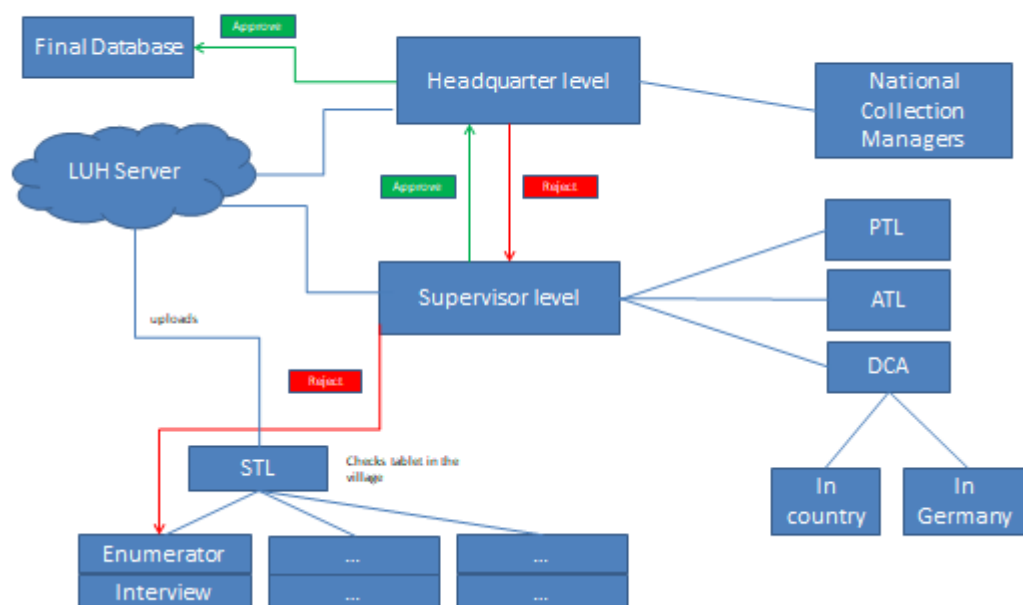
Observe weaknesses and report them. They will be incorporated to improve the procedure in the future

Maintain a good „work-rest“ balance

Be happy but worry!

12

Data quality control during survey



Appendix 2: Further Examples

Appendix: Example 7.1A

The purpose of this example is to clarify the procedure for this common credit contract. Ignore the reference period as this is an example from previous waves.

In 2/2012 a household buys a car exclusively for private use. Shocks did not cause the purchase. The price of the car is 480,000 THB. The household agrees to pay 100,000 THB immediately and to pay monthly 6,300 THB for 5 years. The car is owned by the seller as long as the credit is not paid back. Additionally some household's friends have to guarantee for the loan. The showroom is located in the nearby district capital. The household does not owe any other loans.

Answer:

71103	71104	71105	71106a	71106b	71106c	71107	71108	71109	71110
1	5	380,000	7	20	21	2	-	61	2

71111	71112	71113	71114	71114a	71114b	71116	71117	71115a	71115b
2013	5	1	5	1	12	98	-	75,600	12

71119a	71119b	71120	71121	71122	71123	71124	71125	71131	71132
321,300	56,700	5	480,000	3	-	-	02/2013	3	15

Notes:

71105: The actual price was 480,000 THB. As the household paid 100,000 THB when he got the car, the household borrowed 380,000 THB.

71112: The duration of the loan is the whole time from the start of the loan until the end of the loan.

The reference period does not play a role for answering this question.

71114b: Household and debtor agree on monthly payments, i.e. 12 payments per year.

71116: The household does not know the interest rate. Please do not calculate the interest rate as it is likely that mistakes happen. Hence, the only correct answer is 98.

71115b: The household pays monthly during the reference period. We do not have information of late payments (cross check with 7.1 D default history). Thus the correct answer is 12.

71115a: The household pays 6,300 THB for 12 months, which is 75,600 THB.

71119a: The household pays monthly starting from 2/2012. This yields 51 payments until the end of 4/2016. We do not have information of late payments. Thus the correct answer is 321,300 THB ($51 \times 6,300$ THB).

71119b: The remaining debt (in total) is $(60-51) \times 6,300$ THB, which is 56,700 THB. This implies a total debt value of 378,000 THB ($60 \times 6,300$ THB). Please note, that the value of the principal plus the interest rate payments is smaller than the initial amount owed. This is inconsistent. Please check in this case with the household if all information is correct. If the household approves please keep the values as they are. In the data cleaning process we will deal with such cases.

71120: The collateral is in this case the car. Usually the purchased item is used as collateral. Other requirements may apply (as in this case). If the household does not mention the item as collateral please ask directly who the owner of the item was until the loan is fully repaid.

71121: The value of the collateral is the full purchase amount, i.e. 480,000 THB.

71125: For many installments this is the first time that the household borrows from the store. For these cases the year is the same as the year in which the contract is closed.

Borrowing cases in VN 2016 survey

1. A program to support students that each can borrow 20 million VND in 4 years. Students will receive 5 million VND per year (in total 4 times in 4 years) But they have to repay 1 year after they get a job. The interest is low about 5-7 percent per year.
2. Black credit: when HH does not have proper collateral to guarantee with the financial institutes or HH does not want, HH would go to a person “lender” and borrow money. This is illegal and the lender will collect the interest rate by day. The duration of the loan is unknown because HH can pay back the credit whenever they have money.
3. Government has a support program (loan, can be interest free or subsidized) for farmers who want to invest in agricultural machinery e.g. tractor, spray machine.

Appendix 3: GPS Tracker

GPS Logger Instructions (etrex 10 device):

The purpose of using the GPS logger in the Household Survey 2017 is to collect precise geographical position data which enables us to locate the survey villages on a map. In order to ensure the required data quality, we would like to **ask you to follow the instructions carefully**.

The logger devices you will be working with have a built-in memory, to which they can write their position on the globe. They calculate these coordinates based on radio signals they receive from satellites. The quality of their reception (and their coordinates subsequently) depends largely on the quality of radio signals they receive. Since building, vegetation and other geophysical interference factors do have negative influences on the signals, it is **imperative to operate the devices only outdoors, under open sky**, and to ensure that their signal can be received free from any interference in your surroundings.

Logger Setup Instruction before the first use in a province (before data collection)

1. **Switch on the logger** by pushing the *light* button for about 2 seconds.
2. **Check for satellite signal and correct time setting:** push the *light* button again once the menu shows on the screen. The logger sets its time automatically once it has proper satellite connection. First look at the bars at the lower right corner. Once there are at least 3 white bars the satellite connection should be ok. Next, check and compare the time displayed at the top of the page to the actual time you have. If there is not enough signal strength or the time is not correct, wait a bit and check again (the logger automatically leaves the page after a few seconds, you can go back to it by pushing *light* again) until it is correct. It might take **up to 15 minutes** after switching it on in South East Asia for the first time on your trip until this is the case. Make sure there are ideal conditions for the logger to receive a correct signal. Move away from large buildings!

3. **Set up the logger to write the position in fixed time intervals of 5 seconds:**

Use the navigation button on the front of the device to navigate through the menu until you reach *Setup*. Press the navigation button down to enter the *Setup* menu. There, choose *Tracks*. In the following menu there are three items on the page. They should be set to: *Track Log: Record, Show On Map*; *Record Method: Time*; and *Recording Interval: 00:00:05*. If this is not the case, use the navigation button to choose the items and change them accordingly. You have to choose *Record Method: Time* first before you can adjust the recording intervals to 5 seconds. The time intervals are adjusted by choosing the according menu and navigating through the numerals subsequently shown, pushing the navigation button down to confirm the number for each place. When done, got to the bottom of the page and select *Done*. Once the setup of the track was successful, push the *back* button to get back to the main menu. In the main menu, chose *Track Manager*, there choose *Current Track* and then choose *Save Track*. Do not change the name and go straight to the bottom of the page. Choose *Done* and then *No* as the device asks you if you want to clear the current track.

4. **Final Check for correct setup:**

Use the back button to go back to the main menu and there choose *Mark Waypoint*. The *Mark Waypoint* menu will show you a number at the top of the page, this is the waypoint number. The numbers in the *Location* box are the coordinates of your current location. Note down your first waypoint number, choose *Done* to save the waypoint. Compare your first waypoint number saved to the number on the first village head questionnaire to make sure, everything worked out all right. There is some probability of forgetting to save the waypoint correctly; this is how you can check on

5. **Record coordinates:** Sub-team leaders firstly record the coordinates points in the document named "village household list" and later fill in information in section 1 of the tablet questionnaire "GPS Manual information" consists of GPS accuracy, GPS Altitude, GPS Latitude and GPS Longitude. This should be done before uploading interview to the supervisor level.