DFG FOR 756

Impact of Shocks on Vulnerability to Poverty – Consequences for Development of Emerging Southeast Asian Economies

Enumerator Guidelines

Household Survey 2007 (1th wave)

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Introduction

These interviewer guidelines represent a reflection of the experiences collected by the interviewers during their first pre-test. Hence, some of these issues will be solved as interviewers gain more experience. In the following we list the (3) some specific problems and (1) some background on the questionnaire and (2) some specific hints for conducting the interviews. The guidelines are not fixed recommendations but should be understood as suggestions, reminders and points to watch. It is part of the Songkran homework for the interviewers.

(1) General Information

(a) We interview households in rural areas who are poor or who may fall in poverty as a result of shocks. We do not use any fixed definition of HH. Therefore, include all persons as HH members that the respondent considers to be members of his/her HH.

(b) We want to create a set of panel data therefore the same HH will be interviewed again in 2007.

(c) We want to estimate the HH net income for the crop year 2005 to 2006 so that we are able to assess their level of wealth.

(d) We also want to assess the impact of shocks and risks on the vulnerability to poverty. This means we want to assess the chance that a HH will fall into poverty in the future given that there are some shocks. Therefore, we also ask questions for a five-year period.

(1) The questions in section 2.4 (HH dynamics), section 3.1 (shocks) and section 3.2 risks. In these sections we refer the subjective assessment of the respondent. This is because recent research on poverty shows that we cannot rely on objective poverty measurements but we must take into account the viewpoint of the poor HH if we want to say something meaningful about poverty. For, example we do not define what is a shock, but we ask the respondent what he/she perceives as a shock.

(2) What is shock is defined by the farmer.

(3) It is important not to conduct the interviews in the house of Pui Yai ban otherwise you have only one source of information and the respondent may not remember.

(4) Read out the introductory statement to the respondent and give additional explanation if the respondent wants to know.

(5) Fill out section 1 “survey information” before the interview already. You can get it from the sampling list

(6) Normally the respondent is the household (HH) head. But in case he/she is absent another member of the HH can be interviewed. However, this HH member must be one that permanently stays with the HH.

(7) There is a small gift. Offer the gift to the respondent at the end interview. See the statement written on the questionnaire.

(8) Do not overlook any questions. Ask **all** the questions and fill out **all** cells. Even if the respondent does **not want** to answer or does **not know** the answer or (c) the question is not applicable there is always a code for this. In case an enumerator is not sure for a code, write the response in the allocates space.

(9) Do not pressure the respondent if he/she is unwilling or feels uneasy with answering the question. In case the respondent refuses to participate in the survey for whatever reason report this in section 1 under notes. If after explaining the purpose of the survey again the respondent still refuses, then stop the interview. Such a case will be unlikely however.

(10) Memorize and look out for interviewer hints in every section.

(11) Introduce every new section of the questionnaire properly and inform the respondent what the next set of questions is going to be.

(12) Do not forget to record how much time the interview took (see p. 3)

(2) Specific Information

Section 2: Household Information, Education and Health

(1) start with household head if he/she is the respondent and ask all questions including those on education and health for that person, i.e. fill-up row-wise until page 11. Then go back to page 4 and continue with the next HH member.

(2) We do not use any fixed definition of HH. Therefore include all persons as HH members that the respondent considers to be members of his/her HH.

(3) Some questions include "….", e.g. Col 2 in section 2.2. This means that you should read out the respective name of the HH member.

(4) Page 7 (Q14 -15): ask for main and second occupation of HH member. The definition of main or second occupation is decided upon time spent, e.g. main occupation is where HH member spends most of her time

(5) Page 11 (Q8-11): specify only serious disease or injury but do not ask for symptoms.

Section 2.4: Household Dynamics

(1) In this section the respondent is asked for the past five years, i.e. the period of 2001 to 2006

(2) see interviewer hint: use more than one row per person to record all the periods of absence of that HH member

(3) page 15: Q2-13 these questions are asked for the HH members, who belonged to the HH but permanently left in past 5 years including who died. So please check with section 2.1. In section 2.4 the HH members who were listed in section 2.1 should not be included.

(3) On page 13 there are columns which do not need to be filled up. These columns are crossed but are nevertheless there because they are needed.

Section 3.1: Shocks and section 3.2: risks

(1) In this section the respondent is asked for the past five years, i.e. the period of 2001 to 2006

(2) This is a very important part of the questionnaire. Here we ask about shocks that the HH has experienced during the past five years. A shock is an event which the respondent considers to be a major problem. We do not however use a fixed definition of what is a shock and what is not but we leave it to the respondent. In the first section we ask for the three major shocks during the past five years. If the respondent remembers only less than three shocks do not pressure him/her for more.

(3) In the 2nd section read out the code list but do not repeat those, which the respondent has mentioned in the first part.

(4) Apply a row-wise procedure, i.e. ask all three questions for every risk event. In case the event does not occur do not ask for frequency (col 3)

(5) Page 19 (Q5 and Q11): interviewer must avoid to guide the respondent.

(6) The amount of 5000 Baht refers to the monthly and the 60000 Baht refer to the annual income of an average labourer in Thailand

Section 4.1: Land, section 4.2: Agriculture, section 4.3: Livestock and aquaculture, section 4.4: Fishing, hunting, collecting, logging

(1) Include also land that is rented out. Ask for all land resources, whether used in agriculture or not. Also own land rented out should be included, start with homestead

(2) List column 3 and 4 then go back to the 1st row and then proceed row-wise

(3) Land Parcel No.: Record one line for each piece of land that differs from others in terms of tenure status, land document or water supply. Do not split up land parcels based on land use. The land parcel no. is referred to by questions in section 4.2

(4) Land area: Land area should give the total area (not planted or utilized area) of the parcel in local units. In case of doubt note the local unit.

(5) Land titles: Title deed (Chanote or NS4)

(6) **s**ection 4.2, p. 23: start with the most important crop in terms of area planted; Q9: should ask respondents the local unit again, because the local units are not similar in difference area,

(7) (Q10-14): the interviewers should keep in mind that the rest is quantity used for seeding of next season; P. 25 (Q27): the irrigation expenditures include irrigation fee, fuel fee and others P. 25 (for hired labour): interviewers must calculate the total costs/activity/season (Baht). Therefore, ask for the no. of labourers, then number of days, and the rate/man day

(8) For multiple cropping repeat the same plot, planting and harvesting times usually differ for different crops on the same plot

(9) For perennials we ask for "year of planting" in planting period so we can identify age of trees

(10) In section 4.2 column 15 "specify product type/quality; this includes e.g. different grades of fruits, vegetables or milled rice versus rough rice

(11) Apply a row-wise procedure in these sections, i.e. take all information (crop/animal) by activity.

(12) All information in section 4 refers to one year

Section 5: Off farm employment

(1) interviewer may can use separate rows for each occupation for each HH member
(2) p.39 (Q29): please fill the answer as a fraction unit, i.e. if respondent says 6 months then write 6/12

Section 6: Non-farm self-employment

(1) can use separate rows for each activity
(2) p.43 (Q26-29 and 35-38): the summary should be equal with 100%.
(3) (Q40): please fill the answer in fraction, i.e. if respondent says 6 months then write 6/12

Section 7: Borrowing, Lending, Credit rationing, credit groups, default history, public transfers

(1) always use monetary value in case of goods

(2) start with the biggest loan that may be still pending or was repaid

Section 8: Household Expenditures

(1) Here we go item by item for different categories (e.g. poultry under food). In case the respondent can only remember aggregate totals then use total amount

(2) The amount to be asked only refer to purchased items, self produced is in previous sections

Some Special Problems in Questionnaire:

- Section 2.4, 2nd block: In case there was a wedding with a hundred guests how do we define gift? Then sum up the guests and the total amount of money, do not list one by one.

- Section 2.3, p. 11, C6, if weight is 97 kg or 98 kg which is also a code, then write 97,0.

- Section 2.4, HH dynamics, p.14: introductory statement, 1st part: “other persons” refers to the HH members not listed in the previous section, but who left during past five years.

- Section 2.4, 2nd part introductory statement: “any other persons (relatives/friends)”, refer to those not listed in the previous section;

- Section 2.4, 2nd block: In case there was a wedding with a hundred guests how do we define gift? Then sum up the guests and the total amount of money, do not list one by one.

- Section 3.1, p. 17, C. 5 do we mean income loss is per year, e.g. the father as the major income earner dies what is the monetary loss?

- Section 3.1, p. 17, col 6: assets columns implies that there are compensation measures. We use the adjustment/mitigation costs

- Section 3.2, p. 19, col. 1: “probability of death” they don't want to ask this question. Even though some one is sick and is likely to die soon we must leave it out.

- Section 3.2, p. 19, the term “suddenly” causes problems. The understanding of this word is in the sense of “urgent” as the respondent would define it. We do not give a specific time period like one week because it depends on the situation. We leave the definition of urgent to the respondents.
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- Section 4.1 If house is placed in the field→ still separate the plot of the house from the field
- Section 6, C 26 – 29: if they don't want to give %, because this is confidential business information: encourage them but don’t force them.
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- Section 9.2: C. 9 if cement and wood cross both of them