

DFG FOR 756

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

Enumerator Guidelines

Household Survey 2011 (4th wave)

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0 General

These guidelines are for the fourth wave of the household survey to measure vulnerability to poverty of rural households in Thailand and Vietnam. They are meant to be a set of practical hints that the interviewers can use in preparation of the field survey and as reference material during the survey. The guidelines have emerged from the results of the first three waves of the household survey in early 2007, 2008 and 2010. Moreover, the data cleaning process after each of the waves revealed weaknesses in the implementation of the field survey and sources of misunderstanding on the side of interviewers and respondents. It must be pointed out however that while the guidelines are a source of background information for field supervisors and enumerators they cannot answer questions that come up during the survey. Therefore the interviewer and/or his supervisor must make a decision in the field (e.g. coding) or make a respective comment that facilitates decision-making later on. Recurrent problems and questions should in any case be discussed with survey team leaders, country coordinators or overall survey coordinators.

0.1 Purpose

The purpose of the questionnaires (Version 4 - 2011) is to measure vulnerability to poverty of rural households in Thailand and Vietnam. It builds on the first and second waves of interviews and aims to extend the panel data by interviewing exactly the same households that have been interviewed in 2007, 2008 and 2010. That is why you will be provided with a one page information sheet that contains essential information of the household based on the data that were collected in 2010.

A major output of the questionnaire is to obtain reliable and valid information on the composition of the household's income. The income will be calculated based on all of the household's income generating activities including agriculture, off-farm employment, non-farm self employment, income from saving and lending and from remittances from friends and any persons who permanently live outside the household and who is not a member of the household. In the survey we do not use a fixed definition of a household, i.e. we do not decide who belongs to the household or not. Instead, we ask the respondent – who is normally the head of the household - to provide information on all people whom he considers to be member of his household. As a further measure of welfare, household consumption as a total of expenditures for consumption goods, consumption of the household's own production of farm and home produced goods and the use value of durable consumption goods, will be derived. Beyond this, current wealth and debt status, demographic indicators and perceptions of the respondents will be covered.

It is therefore crucial to obtain accurate data on household composition, income generating activities, close estimates on consumption expenditures and the like.

0.2 General Rules for the Interview

When you start the interview a few general rules need to be observed:

1. Introduce yourself in a nice way and politely inform the respondent of the purpose of the interview.
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 make a new appointment and inform your supervisor.
3. Read out question by question slowly and carefully. Especially recognize the specifications that have been added to some of the questions. For example, in section 2.1 you will ask for the marital status of household members. On top of the column where you are supposed to put the answer it says: "ask only for members > 13 years of

- age". Never ignore such instructions in order to avoid mistakes and annoying the respondent by asking nonsensical questions.
4. Ask the respondent if she or he has understood the question.
 5. Always try to maintain a good atmosphere, if the respondent gets tired offer to have a short break
 6. Please write clearly, especially the numbers and the decimal point.
 7. For many questions, answers are coded. Get accustomed to the **codes** before you start the interviews. You do not need to learn them by heart but you should be familiar with them. Therefore after the training and before the interviews start, read through the questionnaire at least three times.
There are three specific codes, which you will find as possible answers for many questions. Nevertheless, 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 cannot allocate a response to an existing category, write down the specification and consult your supervisor in the evening.
 - Code 98 – Respondent does not know the answer or does not want to answer. You should also avoid using this answer.
 - Code 99 – not applicable. This can be used in some cases, when there is no logical answer to the question.
 8. Follow the "skip" or "go to" instructions written in different parts of the questionnaire. They ensure that you collect sufficiently complete data.
 9. 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 to calculate household income. Take notes wherever you have the impression that the respondent is uneasy with the estimation.
 10. In case the respondent does not want to give an answer explain again the purpose of the survey. If he still does not agree to answer use code 98.
 11. Please keep in mind that if we miss only one piece of information for the income components (say the price of crop which the respondent may have sold) then we would have to omit the entire case. But for the analysis we cannot afford to loose many cases.
 12. If the respondent gives multiple answers to questions, where only one response is expected, clarify with the respondent his predominant (most important) choice
 13. 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 still the same make a note like "respondent confirms". Later in the evening you may bring the case up with your supervisor.
 14. 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 per day per month etc. Therefore always clarify the unit.
Monetary values in Thailand are in Baht. In Vietnam it is mostly 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".
 15. If the plausible answer for quantitative information (e.g. crop yield) is 97, 98 or 99 write 97.1, 98.1, and 99.1 instead. Otherwise it can be confused with the respective codes.
 16. Always be clear on the **reference period**. This is usually a month or a year. Make quick plausibility calculations using your calculator. For example, if the unit is month, you can calculate the amount per year. If the value turns out to be implausibly high, reconfirm with the respondent.

0.3 Structure of the questionnaire

The questionnaire is structured in 9 main sections as follows:

1. Survey information - identifying information of the household and survey-related information, respondent
2. Household members
 - 2.1 Household members and presence
 - 2.2 Education
 - 2.3 Health
 - 2.4 Household dynamics - absent household members, former household members and links to other households
3. Shocks and risks
 - 3.1 Shocks - Record of past shocks, e.g. loss of job
 - 3.2 Risks - The perception of uncertain events and hypothetical questions
4. Land and Agriculture
 - 4.1 Land resources - land use and ownership, rental fees, location and quality of parcels, homestead
 - 4.2 Crops - details for crops grown during the reference period
 - 4.3 Livestock
 - 4.4 Hunting, fishing, collecting, gathering - use of natural resources
5. Off-farm employment
6. Non-farm self-employment
 - 6.2 Investment
7. Finance
 - 7.1 Borrowing and Lending
 - 7.2 Public transfers and insurance
8. Consumption expenditures
 - 9.1 Assets
 - 9.2 Housing Conditions

Because different activities and resources of the household are related, the information in different sections of the questionnaire is related as well. For example, assets (e.g. a tractor) required for the economic activities of sections 4.2 - 6 must appear in section 9.1 or consumption expenditures covered in section 8 must be reasonable for the household size given in section 2.1.

Therefore, the interviewer should conduct cross checks for the relevant sections. For more details see the different sections of these guidelines.

In the following specific hints for the different sections of the questionnaire are provided. This follows the numbering of the questionnaire. The interviewer instructions in this manual are based on a five digit number, which is the variable identification number. The first digit represents the section number (e.g. "2" for section 2) the second digit represents the subsection number (e.g. 2.1 household members). The third to the fifth number represents the column number.

0.4 Preparing the questionnaire prior to the interview

The Household information sheet helps you to keep track of information of last wave. Please use it during the interview, to have an idea about the household and its activities.

Generally, all questions with a grey header should be prepared with the information from the household information sheet. Also check plausibility of answers with the information from last wave. Please use a pencil when filling out the questionnaire, so that information can be corrected if necessary.

- **Section 2.1: HH members**

Please fill the information on household member into the questionnaire before the interview. Be careful with persons who left the household permanently: Don't ask for persons who have been reported to be death (grey in the household information sheet). For those who left the household permanently, check politely whether this information is still correct. Please mark these both groups of persons already on page 5.

Please fill in name/nickname (column 2), gender (column 3), age (column 4), place of birth (column 7), for how long has ... been living with the household (column 8), reason for joining (column 9), previous location (column 10), ethnic group (column 11), religion (column 12). For persons who left the household permanently, also fill in 'did ... leave the household permanently' (column 17) and Primary reason for leaving the household (column 18) on the next page.

The name/nickname (column 2) has to be filled in on BOTH pages of this sub-section!

- **Section 2.2: Education**

Fill in information about name/nickname (column 2). Make sure that the names are assigned to the same ID codes as in section 2.1. Additionally fill in 'is ... currently enrolled in school?' (column 4), 'what grade is.. enrolled in' (column 5), 'has ... ever been to school' (column 6), 'what was ... highest educational attainment'

- **Section 2.3: Health**

Prior to the interview fill in information on name/nickname (column 2). Make sure that the names are assigned to the same ID codes as in section 2.1.

- **Section 3.1.c: Shocks from prior waves**

Fill in information about event ID (column 1), type of event (column 2), and 'when did the event occur' (column 3) of shocks stated last year from which the household did not yet recover when last year's interview took place.

- **Section 4.1: Land**

Fill in the land parcel number (column 0) and the land area (column 2).

- **Section 4.3: Livestock**

Fill in the livestock ID (column 2) and the animal species (column 3). Please do not use IDs twice. Additionally enter the stock as of end 04/10 (column 9 /9a on the HH info sheet) as 'stock as of 1 May 2010' (column 3/ 3a) in the questionnaire.

- **Section 7.1: Loans**

Fill in the loan ID from last wave and do not use the IDs from last wave for the next loans. Also fill in the amount of the loan (column 4/5).

- **Section 7.2: Lending**

Fill in the lending ID from last wave and do not use the IDs from last wave for the next lending. Also fill in the amount of the lending (column 4/5).

Section 1: Survey information

- Fill in all know survey information before the interview (province, district, etc)
- 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.
- Please enter the household head from the household information sheet into variable 23 before the interview.
- Do not fill in the name of the respondent because he/she might have changed from last time.
- Ask for the household head first, and check if he changed. The household head is normally the person listed first on the list of households provided by the village or other authorities.
- If that person is not available or cannot be interviewed e.g. because of old age, then interview the most knowledgeable person available.
- Always note down the actual date and local time of interview for start and end. If the planned date of time differs from the actual one use the latter.

Section 2: Household members

2.1 Household members

General instructions:

- Let the respondent decide who is considered to belong to this household!
- Go row by row when asking!
- Please fill in information on household member into the questionnaire before the interview. Be careful, with persons who left the household permanently: Don't ask for persons who have been reported to be death (grey in the household information sheet). For those who left the household permanently, check politely whether this information is still correct. Please mark these both groups of persons already on page 5. We are still interested in information of persons, who left the household permanently, especially for migrants.
- Field to fill in include name/nickname (column 2), gender (column 3), age (column 4), place of birth (column 7), for how long has ... been living with the household (column 8), reason for joining (column 9), previous location ((column 10), ethnic group (column 11), religion (column 12). For persons who left the household permanently, also fill in 'did ... leave the household permanently' (column 17) and Primary reason for leaving the household (column 18) on the next page.
- Since in this section the pre-filled variables should be stable over the waves, you don't have to check them for old Household members. But please use them for clear identification of the persons.
- Ask, if any new household members joined the household and add them.
- The name/nickname (column 2) has to be filled in on BOTH pages of this sub-section to avoid mixing up household members! Start with the household head.

Specific Instructions:

- | | |
|-------|---|
| 21000 | If there is more than 1 person responsible for financial and bureaucratic affairs, fill in the ID code of the person who is mainly in charge of every day consumption expenditure decisions. |
| 21001 | If the household head has changed, then put the different code for the newest household head. Don't put 01 since this code is used to indicate the household head from the first wave. |
| 21002 | <p>Start with questions concerning household member which you have already filled in prior to the interview. Don't ask for dead persons, and be polite when asking for the persons who already left the household. Next, ask for household member who joined the household between 05/10 and 04/11 and add the respective information in the rows below existing household members.</p> <p>If the household head denies knowing a household member who was reported last wave, put a note in 10022 (notes field on the main page), which indicates the member ID and some details: E.g. whether the household head does not consider that person a member but knows the person etc.</p> |
| 21003 | Fill in for NEW household members only. |
| 21004 | Fill in for NEW household members only. Fill in the actual age in years and put 0 if younger than one year old. Only use full numbers. |
| 21005 | Ask for OLD household members only if household head changed with respect to last year (you obtained this information in section 1). Otherwise you |

might check the data (and enter it) using the household information sheet. 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. Make sure that you always refer to the same household head!

- 21007 Only for NEW household members. Let the respondent give the name of the place first and do not read out code C! 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 in question is rural or urban refer to today's classification of the place. 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 Only for NEW household members. In case respondent does not know exactly fill in the approximate number of years.
- 21009 Only for NEW household members. If the person was born in the household skip this question and the following question. Do not read out code D! Only if respondent does not know how to answer you may read out code D 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 detail.
- 21010 Only for NEW household members. (See also 21007)
- 21011 Only for NEW household members. Do not read out code E!
- 21012 Only for NEW household members. Do not read out code F!
- 21013 Ask for all household members. Since this is only a "yes"/"no" question, do not write down the organization.
- 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. Skip if the household member has no second occupation.
- 21016 Ask for all household members. Ask for the approximate number of days. If the answer is 98 or 99 days, fill in 98.1 or 99.1. Otherwise the values might be mixed with "no answer", "not applicable".

If this question is 365, skip the following questions and go the next row. However, for household members who just moved into the household recently and who therefore have stayed less than 365 days in the household (without leaving the household permanently or temporarily after they moved in), fill in 99. In this case also fill in 99 in questions 21018 – 21021.

- 21017 Ask only for those household members who stayed less than 365 days in the household between 5/10 and 4/11 (see question 21016). Note that this is only a “yes”/“no” question.
- 21018 Ask for all household members. Do not read out code I! If the respondent cannot answer you may give some reasonable examples (e.g. for old household members “10 went to be looked after” and “27 health”). Please decide into which category the case fits and try to avoid using code 90 “others pls. specify”. Please specify detailed, do not use “personal reasons”
- 21019b Specify the location as detailed as possible.
For locations within Thailand give province & district.
For locations outside Thailand, give the country.
- 21019 Ask only for household members that were absent at least some time in the reference period. Otherwise fill in “99” (not applicable). For further instructions see 21007.
Code the answer from 21019b using code C. If not sure, check with the respondent.
- 21020 Ask only for household members that were absent at least some time in the reference period. Otherwise fill in “99” (not applicable). 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.
Vietnam: Be careful, reporting units are 1000 VND! If the answer is 98000 or 99000 Dong, respectively, fill in 98.1 or 99.1. Otherwise the values might be confused with “don’t know”, “no answer”, “not applicable”.
- Examples:*
1. Child 1 of household head is studying in the capital city and therefore absent for 300 days received support from home: Enter the total value of support received from household. If child 1 pays the dorm rent from that money make sure that in the consumption expenditure section 8 no additional dorm rent is given.
 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 TVND every month. Put 12000 Baht/1200 TVND in col. 20.
 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 TVND to the household expenditures every month. Do not put 12000 Baht/1200 TVND in col.20, because this person belongs to the household and its total income (recorded in section 6: Off-farm employment) is considered as part of the household income.
- 21021 Ask only for household members that were absent at least some time in the reference period. Otherwise fill in “99” (not applicable). 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.
Vietnam: see also instructions and examples for 21020!

2.2 Education

General instructions:

- Previous to the interview fill in information about name/nickname (column 2). Make sure that the names are assigned to the same ID codes as in section 2.1. Additionally

fill in 'is ... currently enrolled in school?' (column 4), 'what grade is.. enrolled in' (column 5), 'has ... ever been to school' (column 6), 'what was ... highest educational attainment' with a pencil, so that it can be corrected later.

- Copy the new household members from section 2.1 if applicable. Make sure that the names are assigned to the same ID codes as in section 2.1.
- Ask row by row!

Specific Instructions:

- 22002 See interviewer instruction written above the table in this sub section. Please ask variables 4, 5, 6 and 7 to all persons, to check, whether their educational status has changed in comparison to the last wave. If not, skip to next question. If there are changes, or for new members, ask all questions (do not forget question 3 at the beginning.)
- 22003 Note that this is only a “yes”/”no” question.
- 22004 Note that this is only a “yes”/”no” question. If the answer is “no”, skip the following question.
- 22005 Be aware that there are two country specific codes B, one for Thailand and one for Vietnam. For household members for which this question has to be answered leave out questions 6 to 10 and carry out with question 11.
- 22006 Note that this is only a “yes”/”no” question. If the answer is “no”, proceed with section next row.
- 22007 Be aware that there are two country specific codes B, one for Thailand and one for Vietnam.
Thailand: For bachelors: use Univ 4 in Thailand (if attained, irrespective of time needed for studying).
- 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 code D! For further instructions see 21007!
- 22011 If respondent does not know exactly ask for approximate age. Consult other household members if they are around.
- 22012 Note that this is only a “yes”/”no” question.
- 22013 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.

2.3 Health

General instructions:

- The following applies only for household members who – according to last year’s survey – did not leave the household permanently: Prior to the interview fill in information about name/nickname (column 2). Make sure that the names are assigned to the same ID codes as in section 2.1.
- Copy the new household members from section 2.1 if applicable. Make sure that the names are assigned to the same ID codes as in section 2.1.
- Ask row wise!

Specific Instructions:

23002	See interviewer instruction written above the table in this sub section!
23003	Do not read out code A! "Can manage" means that the performance of duties is impaired.
23004	If 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 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 or 99 kilograms, fill in 98.1 or 99.1. Otherwise the values might be confused "no answer", "not applicable".
23007	Fill in the (approximate) height in centimeters. If the answer is 98 or 99 centimeters, fill in 98.1 or 99.1. Otherwise the values might be confused with "no answer", "not applicable".
23008	Note that this is only a "yes"/"no" question.
23009	This question is not related to question 8: it need not be the same disease or injury! Do not read out code D! Assign the most appropriate value from code D to the illness mentioned by the respondent. If unsure put 90 and specify the disease as mentioned by the respondent. If no a severe illness during the reference period, leave blank and go to next row
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.
23013	Do not read out code E! Only if the respondent cannot answer read out the possible answers and fill in the most adequate one. If the answer is "did nothing" (0), proceed with question 14, otherwise ask questions 13a, 13b and 13c, but skip question 14.
23013a	do not read out code G! If you do not know the location the respondent mentions, ask whether it is in the same subdistrict/ commune, in another subdistrict/commune, in a district town (if the location is in a district town in another subdistrict/commune, fill in "4"), in the capital of the same province, in the capital of another province or abroad and fill in accordingly.
23013b	"Sufficient treatment" is to be defined subjectively by the respondent.
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).
23014	Do not read out code F! Only if the respondent cannot answer read out the possible answers and fill in the most adequate one.

2.4 HH dynamics

General instructions:

- Emphasize that you do not ask for any person already noted in the previous sections!

Specific Instructions:

- 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 and ask ROW WISE for the respective person's information (see instruction above the table in section 2.4).
- 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, fill in the total value in 24012 and give the reason (e.g. wedding) for receiving the gifts in 24002. Fill out the questions that cannot be answered in this case with 99.
- 24005 Do not read out code A! Only iff 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 code B! 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 in question during the reference period.
Vietnam: Be careful, reporting units are 1000 VND! If the answer is 98000 or 99000 Dong, respectively, fill in 98.1 or 99.1. Otherwise the values might be confused with "no answer", "not applicable".
- Also ask for and consider money that the household received for celebrations (e.g. wedding, funeral).
- 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 to the person in question during the reference period.
Support payments in this section include gifts given at social occasions i.e. when household members join a celebration (wedding, funeral) and bring a gift. It also includes gifts received. It is very important to cover this here, because it is not to be included in the expenditure section (section 8) under code 46. Avoid double-counting!
Vietnam: see instruction for 24012!
- Also ask for and consider money that the household spent for celebrations (e.g. wedding, funeral) of OTHER households. Expenditures for celebrations in OWN household must be entered in Section 8.

Section 3: Risks and shocks

3.1. Shocks

3.1.a

General instructions:

- Introduce the section by explaining to the respondent that these are now questions regarding events that cause problems. Interviewer read out the introductory question: *“When considering the time period between 05/10 and 04/11, has there been any event causing a big problem (shock) affecting the household?”* However do not get into long discussions, in case the respondent starts telling stories but move to the questions.
- Question to be read out: *“What were the three major shocks that affected your household between 05/10 and 04/11?”* Record the answers in rows 1 to 3 in table 3.1.a; *always ask row wise!*

Specific Instructions:

- | | |
|--------|--|
| 31002 | Do not read out code A! 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 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 verbally. |
| 31002a | Be aware of additional instruction “*/If the shock affects more than one person, please don’t fill in Q2a.” which you find below the table. |
| 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. |
| 31004 | Read out the answers from code B on the previous page and let the respondent choose the adequate one. |
| 31005a | Ask for the total sum of income losses due to the event in the reference period (e.g. forgone income of household member that stopped working due to illness; foregone income due to destroyed harvest).
<u>Vietnam</u> : Be careful, reporting units are 1000 VND! If the answer is, 98000 or 99000 Dong, respectively, fill in 98.1 or 99.1. Otherwise the values might be confused with “don’t know”, “no answer”, “not applicable”. |
| 31005b | Ask for the total sum of extra expenditure due to the event in the reference period (e.g. expenditures for coping activities such as medical treatment, planting and additional crop, etc.).
<u>Vietnam</u> : see instructions for 31005a. |
| 31006 | Ask for the estimated total monetary value of asset losses due to the event in the reference period (e.g. value of agricultural machines if it were destroyed by a flood).
<u>Vietnam</u> : see instructions for 31005a. |
| 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 five coping categories from code D (economics, demographics, sale, borrowing and savings, grants) and give one example from each of them. If the household did nothing in order to cope with the event enter "1". If question 8 (31008) was answered with "1", do not ask questions 9 and 10, but fill in "1" and proceed with question 11. If question 9 was answered with "1", do not ask question 10, but fill in "1" and proceed with question 11.
- 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 is whether the household reduced consumption due to the event despite (in addition to) the stated coping activities.
- 31012 Record the approximate number of months it took to recover from the shock. "Recover" means that the household is economically at the same level as it was prior to the shock. If the household is not yet fully recovered fill in "90". See instructions in the questionnaire.

3.1.b

General instructions:

- Read out Question b: *"Was your household affected by any of the following events between 05/10 and 04/11?"* To save time, please do not get into long discussions, but move on to the questions.
- Read out all the types of events! Ask row wise! If an event has occurred fill in an ID and the respondent's information in the respective row. If the event did not happen to the household, fill in anything and skip to next row.
- If one type of event (e.g. illness of a household member) happened more than once during the reference period, fill in the case firstly mentioned by the household in the appropriate row. Fill in the information about all the other cases of the same event in new rows below table 3.1.b.
- 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 row of table 3.1.b ("90 others, please specify"): 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 create a new row below table 3.1.b and fill in the information. Do NOT go back to section 3.1.a and fill in the information there.

Specific Instructions:

- 31001 Ask whether the shock in column 2 occurred between 05/10 and 04/11. If it occurred, fill in an event ID. The event ID starts with 4 even if the household stated less than 3 shocks in section 3.1.a. If the shock did not occur during the reference period, do not fill in anything in the respective row but proceed with the following row.
- 31002a Be aware of additional instruction *"*/If the shock affects more than one person, please don't fill in Q2a."* which you find below the table.

- 31003 Use numbers for months (1=Jan, 2=Feb, 3=Mar, 4=Apr, 5=May, 6=June, 7=July, 8=Aug, 9=Sep, 10=Oct, 11=Nov, 12=Dec). If the event lasted more than a month fill in the month when it started.
- 31004 Read out the answers from code B on the previous page and let the respondent choose the adequate one.
- 31005a Ask for the total sum of income losses due to the event in the reference period (e.g. forgone income of household member that stopped working due to illness; foregone income due to destroyed harvest).
Vietnam: see instructions for 31005a.
- 31005b Ask for the total sum of extra expenditure due to the event in the reference period (e.g. expenditures for coping activities such as medical treatment, diversification of agricultural portfolio, etc.).
Vietnam: see instructions for 31005a.
- 31006 Ask for the estimated total monetary value of asset losses due to the event in the reference period (e.g. value of agricultural machines if it were destroyed by a flood).
Vietnam: see instructions for 31005a.
- 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 they do not know how to answer the question you may state the five coping categories from code D (economics, demographics, sale, borrowing and savings, grants) and give one example from each of them. If the household did nothing in order to cope with the event enter “1”. If already question 8 is answered with “1”, do not ask questions 9 and 10, but fill in “1” and proceed with question 11. If already question 9 is answered with “1”, do not ask question 10, but fill in “1” and proceed with question 11.
- 31011 Tell the respondent that this is simply a “yes”/“no” (code E) question. If not clear to the respondent, explain that we want to know whether the household reduced consumption due to the event although despite of (in addition to) the stated coping activities.
- 31012 Record the approximate number of months it took to recover from the shock. “Recover” means that the household is economically at the same level as it was prior to the shock. If the household is not yet fully recovered fill in “90”.

3.1.c

General instructions:

- Previous to the interview fill in information about event ID (column 1), type of event (column 2), and when did the event occur (column 3) of shocks stated last year from which the household did not yet recover when last year's interview took place. You obtain this information from last year's household survey.
- If in last year's survey there was no event from which the household did not yet recover when the interview took place, skip section 3.1.c.
- Ask row wise!

- When entering the data from this sub-section into the computer use the full ID as in the questionnaire, composed from the year the event happened and the shock ID (e.g ID = 71) for an illness that happened in wave 1.

Specific Instructions:

- 31001 Enter Shocks from 2007 wave (shocks that occurred before May 2007), 2008 wave (shocks that occurred between May 2007 and April 2008) or 2010 wave (between May 2009 and April 2010) that had not been recovered yet. They get a 7, 8 or 10 in front, depending on the year they occurred. You find information on these shocks in the information sheet.
- 31008 -31010 Do not read out code D! If they do not know how to answer the question you may state the five coping categories from code D (economics, demographics, sale, borrowing and savings, grants) and give one example from each of them. If the household did nothing in order to cope with the event enter "1". If already question 8 is answered with "1", do not ask questions 9 and 10, but fill in "1" and proceed with question 11. If already question 9 is answered with "1", do not ask question 10, but fill in "1" and proceed with question 11.
- Fill in 30 if household received help (e.g. remittances) from relatives who are not members of the household (e.g. son, daughter, father, mother, aunt, uncle, cousin, etc.).
- 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 although it conducted the stated coping activities.
- 31012 Record the approximate number of months it took to recover from the shock. "Recover" means that the household is economically at the same level as it was prior to the shock. If the household is not yet fully recovered fill in "13".
- Beware that the number of months that it took to recover must be more than the number of months from the shock until April 2010 (wave 3rd period).

3.1.d

General instructions:

- Here we want to know if the shocks were connected to each other and if yes, which ones. For example, theft of agricultural equipment may delay field operations and result in lower production. Introduce this concept to the respondent before asking.
- Ask row wise!

Specific Instructions:

- 31021 Do not read out. Go back to the questions 3.1.a, b, and c and copy the ID in column1. Do not copy ID if row is empty.
- 31022 Ask for all the shocks indicated by the household in sections 3.1.a, 3.1.b, and 3.1.c.
If the answer is "YES", enter 1 and answer question 23 for this row. If "NO" enter 0 and go to next row (leave question 23 empty)
- 31023a,b,c Enter the ID of the "Resulting Shocks" in the row of the "Causing Shock"
Example: If a storm has cause damage to the house and flooding of agricultural land then enter the Shock ID of the house damage and the Shock ID of

the flooding in columns 23.a and 23.b in the same row that contains the Shock ID of the storm in column 21.

3.1.e

Specific Instructions:

- 31013-14 “Better off” refers to quality of life. Use code G.
- 31013b Refers to respondent only.
- 31014b Refers to respondent only.
- 31015 Refers to monthly income fluctuations during the last 12 months. Use Code H.
- 31016 “Well-being” refers to all aspects of daily life (i.e. eating, housing, medical treatment if needed, transport and communication, etc)
- 31019-20 “Better off” refers to quality of life. Use code G.
- 31024 If respondent does not understand enumerator can give examples related to the respondent’s situation. For example a person who is willing to take risks may be prepared to take up a dangerous but better paying job or may plant early despite of the risk of drought, etc.
- 31025 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 someone money who wants to start a shop or a taxi business.

3.2 Risks

General instructions:

- Introduce this section by explaining that these questions deal with the expectation that the respondent has regarding events that could cause a problem for his household. The list of events is the same as those mentioned under section 3.1
- When respondent hesitates, explain to him that these are scientific questions and the answer will not bring bad luck to his household!
- Ask column 2 first, then ask row wise, covering each possible risk mentioned on the left.
- Ignore (do not get confused by) the numbering of columns – the numbers are needed for internal reference.

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 98, ask the following questions nevertheless.
- 32004 If respondent hesitates ask for approximate number of events.
- 32003a-b Ask about approximate amount. If estimation is difficult for respondent use helping question “How many monthly incomes would be lost?” and enter the total amount.
- 32013 Record YES for any action taken BEFORE the event takes place.

- 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 any mitigation strategy which generates additional gross benefits, estimate the net costs of applying that mitigation strategy. E.g. purchase of additional crop land in order to diversify crop portfolio: net costs = gross costs (purchase price of land, costs for cultivating that land) – gross benefits (income generated on that land).
- 32016 With this column double counting of specific expenditure in 32015 should be prevented. Therefore record the code of the event type (NOT the risk ID) whenever the same expenditures appear again.

3.2 Risk – Climate Risks

- 32025 - 27 Three possibilities to answer, put the most important change in variable a, the second most important one in b and so on. If the respondent did not recognize any change, enter Code A/ B/ C = 20 (no change) in a, b and c. If the respondent knows only one answer (or two, respectively), enter this in field a (and b), and enter 1 in field b and c (or only c, respectively).
- You can help the respondent, by giving examples from Code A.
If the respondent did not recognize any change in either of the questions 32025 – 27, skip to question 34.
- 32028/ 31 Three possibilities to answer, put the most important effect in variable a, the second most important one in b and so on. If the respondent did not recognize any effect, enter Code A/ B/ C = 20 (not affected) in a, b and c. If the respondent knows only one answer (or two, respectively), enter this in field a (and b), and enter 1 in field b and c (or only c, respectively).
- 32028: if the household does not have any agricultural activities, fill in 99. (cross check with sections 4.2/4.3)

3.2 Risks – Future events

- 32005 Read out possible answers! Record all codes that apply. If no code applies, enter 1.
- 32007 Ask for approximation. If the household says that he would never be able to get the amount, fill in 999.
- 32011 Read out possible answers! Record all codes that apply. If no code applies, enter 1.
- 32010 Ask for approximation. If the household says that he would never be able to get the amount, fill in 999.
- 32021a -23 These questions are meant to describe the reaction of the respondent to positive or negative events. Since they are very similar (but there are differences), please take your time to ask them in detail. You might also understand the questions more closely, if you try to answer them yourself or ask your friends.
- The motorcycle is meant as a valuable item that is important to the household. If he does not have a motorcycle, please find another valuable item for this situation (TV, house damage...). Repair costs might be exchanges by replacement costs, if necessary for the example. Important is only the price of repairing/ replacing the item.

Section 4: Land, agriculture, natural resources

General instructions:

- Pay attention to different units of measurement, convert to the unit given in the header of the tables, and – if necessary, take notes, e.g. Area: rai, sqm, ha or any local unit, Yield: kg, t, number (eggs e.g.) or local units, Production: kg, t, numbers (eggs, cattle, beef, pigs, ducks etc?)

4.1 Land

General instructions:

- Before the interview: Fill in the land parcel number (column 2) and the land area (column 3)
- Pay attention to numbering of parcels/plots in 41002, and write down the information according to 41002
- Introduce the section by reading out the text below 4.1. Explain that this section deals with land use of all purposes including agriculture
- If the household neither has land (own or rented) for agriculture and/or gardening then only ask information on homestead, i.e. only fill in information in row 1 of the table.
- Row 1 in table 41 is designed for the homestead. Here enumerator must check whether the information given for row 1 might correspond with the "home stead", which does not include the house (e.g. when giving rent/values). Better ask for the area of the homestead excluding the house when asking questions 41009a, 41010, 41011a, 41011b, and 41011e.

Specific Instructions:

- | | |
|--------|--|
| 41002 | Land IDs should be constant throughout all waves. Please therefore do not use an ID twice.
Special case: <ul style="list-style-type: none">• If a land parcel that existed in the last wave was split into two, report the two split parcels under new parcel IDs. In the old parcel's row use Code 7 in 41003a and specify details on the change in the code (e.g. "The parcel was split into new parcels 6 and 7"). |
| 41003 | For land IDs that already existed last wave, check land size, and correct if necessary. For new land plots, record the land size in the correct unit. For the area use rai (= 0.16 ha) in Thailand and units of 1000 sqm (=0.1 ha) in Vietnam. |
| 41003a | If the information was wrong and the plot never existed, fill in 5 and leave the row empty.
Special cases: <ul style="list-style-type: none">• If the household gave the plot to relatives or other persons as a present for free, fill in 4 and a price (41009a) = 0. Skip the rest of the row.• If the household lets other persons use the plot for free, please fill in 1, fill also in all other questions, and enter a rental value (41010) = 0. |

- 41005 A mortgage loan agreement is an official binding contract between a borrower and a lender that gives the terms and repayment information about the new debt. A borrower is required to repay the lender the debt on a set schedule.
- Redeem (mortgage): To cure a Default by paying all overdue loan payments and penalties after receiving a notice of default but before the Lender can foreclose the mortgage.
Example: William received a notice from his mortgage company that he was in default and they would begin foreclosure proceedings if he did not *redeem* the mortgage within the next 15 days. William promptly paid the two monthly payments that he had missed plus a late-payment penalty.
- 41010 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 We always need an estimate of the value, whether the land belongs to the household or not.
You may help the respondent to estimate the value by asking the following questions:
a) If the land belongs to the household: "If you were to sell this plot of land today how much do you think can you get?"
b) If the land does not belong to the household: "If you had to buy this plot today how much do you think would you have to pay?"
Put 0, if given for free to relatives or other persons OUTSIDE the household.

4.2 Agriculture

General instructions:

- When asking for the crop items (42002) respondents may not answer in accordance with the parcels (e.g. rice is grown on more than one parcel, one parcel is used for different crops during the year or within one season (different varieties of vegetables on one parcel). – if one crop is grown on more than one parcel: fill in the main parcel in row 4 if respondent cannot answer for all plots
- Read out precisely the explanations to questions (e.g. above 420014 to 42022) and use correct code or mention quantity. As mentioned in previous section add .1 if number is on code list (e.g. 90, 98, 99)

Specific Instructions:

42002/42003a

Jasmine rice, also called Hom Mali includes rice varieties such as Khao Khao Dok Mali 105" and "Gor Khor 15". Hom Mali is photosensitive and earns a higher price than other rice varieties .

There are also other fragrant rice varieties, e.g. Hom Putam and Hom Supan, which are non-photosensitive.

In our questionnaire, we differentiate the following rice varieties:

- Jasmine rice
- Other fragrant rice
- Glutinous rice
- Non-glutinous rice

42003a code C gives further specification for crop, e.g. the exact type of vegetables which we call variety

42004 When the same crop is grown on more than one parcel, give the parcel number of the largest plot. In this case the complete crop details are assumed to be identical for all plots.

42005 Please check the plausibility regarding the land plot size (41003).

42010 - 42016b

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

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

Home consumption: That 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, we will use the fresh weight equivalent to calculate the balance. In the questionnaire, you should always write down the corresponding - quality, quantity and price of a certain product type.

42017 – 42029a For permanent crops ask only for those costs which have occurred in the reference period (5/10 – 4/11).

4.3 Livestock

4.3.1 Stocks

General instructions:

Fill in the livestock ID (column 2) and the animal species (column 3). Please do not use IDs twice. Additionally enter the stock as of end 04/10 (column 9 /9a on the HH info sheet) as 'stock as of 1 May 2010' (column 3/ 3a) in the questionnaire.

- Units for all types of livestock are given the code A in variable 43102. Please use kg with fish, and number in most other cases. But always check in the code.
- If the respondent cannot give an exact figure or if he says that he doesn't know, ask him to give an estimated figure. Rough estimates are better than code 98.
- Check the livestock balance sheet 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:

43102 Do not list pets, but all other livestock for production purpose.

43105 - 43105a If animals were received in kind as a gift, please estimate the value and report it in 43105a, and additionally as remittances in kind in section 2.1 or 2.4.

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.

tion. If there is a good reason for unusually high or low figures, please make a note at the bottom or back of the questionnaire sheet.

Check also whether the balance of livestock is correct.

$430103 + \text{Additions (43104, 43105)} - \text{disposals (43106, 43107, 43108)} = 43109$

This rule does not work for fish, which is measured in kg.

43112, 43113, 43114, 43115, 43116

Check whether the cash expenditures 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 at the bottom or back of the questionnaire sheet.

43107
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 in the questionnaire sheet.

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

43105, 43105a, 43106, 43106a

Special cases from the third wave:

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 baby cow to a HH. When the cow is grown up and has given birth to another baby cow, the "old" 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!).

4.3.2 Livestock products

General instructions:

- Units for all types of livestock 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- 43207

Please check for a correct balance:

$43204 = 43205 + 43206$

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. If there is a good reason for unusually high or low figures, please make a note at the bottom or back of the questionnaire sheet.

43208, 43209, 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. If there is a good reason for unusually high or low figures, please make a note at the bottom or back of the questionnaire sheet.

- 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, ask again for clarification. If there is a good reason for unusually high or low figures, please make a note in the questionnaire sheet.
- 43209/10 If there are further cash costs, please specify in 43209 and fill in the value in 43210.

4.4 Fishing, hunting, collecting gathering

General instructions:

In this section the household should report his activities in fishing, hunting, collecting and logging. Please make sure that very intensive fishing activities (for example the HH members harvest about one ton of fish daily per member) should be reported in aquaculture (section 4.3).

Specific Instructions:

- 44005, 44011, 44012 and 44012a
Compare the sum of all costs (with the value of total output (44017a)). If the sum of costs is bigger than 44017a clarify with the respondent by asking for explanation and write a comment if necessary.
- 44010 Please make sure, that the amount of days is plausible with the length of the season (44008/9)
- 44011, 44012, 44012a For all these costs (fuel, hired labour, other) calculate the cost per time of activity conducted (44010) and ask the respondent if this figure is reasonable.
- 44012 If the respondent does not know how much is paid for hired labour in total, help him/her by asking, how many labourers worked for the household, how many days they worked and the rate per man day which they paid them and finally calculate the total amount paid
- 44013 For Thailand: 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. In case firewood also m³ is ok.
- 44016 Try to re-check whether the quantity given fits by calculating quantity consumed per day/person
- 44017a Try to re-check whether value given fits, i.e. for food calculate a per-kg price and compare it to other food. For example in Thailand firewood it should not be much more than 0.5 B/kg When the respondent estimates the value estimate avoid the highest seasonal price but use an average price for the relevant reason.

Section 5: Off-farm employment

General instructions:

In this section the enumerator need to prepare the respondent for a different set of questions by reading out the introduction in section 5 of the questionnaire. It is important to explain that off-farm 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 death members (and mark them in the household list!). For members who left the household we would like 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:

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).

50010 Interviewer please enter the number of times returning home to the village during a year or the period of job duration. If the employee did not return home at all and is not going to return within one year, enter zero.

50011-50013

Answer the distance between household's location and the place of work (not commuting distance within Bangkok)

50018 – 50019

If someone got the job because "he/she had good relationship with someone", fill in 4.

50023 - 50028

Here it is the interviewer's responsibility to avoid double counting. Include regular bonus payments in col. 23, and specify the unit correctly. If there are one-time bonus payments, they should appear with their value in the reference period in col. 28.

50027b Mind the reference period: it is **per day** for food

50027c but it is **per year** for irregular bonus payments!

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 a higher please put a note.

50028a 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.

Section 6: Non-farm self-employment

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.

Specific Instructions:

- 62005a Code B “28” means agricultural services. This includes renting out a tractor with which he/she works on somebody’s field.
- 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.
- 60013 - 60014
We need the distance between household's location and the place of business. If that person runs a mobile car shop or a taxi, fill in 99.
- 60024 Customer subcontracted: this relates to small scale enterprises, which work for a bigger company (i.e. in the textile industry) and are under contract with these companies.
In most cases in our sample, self employments will be non-subcontracted (code J = 2).
- 60033 Include all cost items including electricity, fuel. Be sure that these costs are not considered again in the expenditure section 8, because the latter one is for consumption expenditures only.
- 60038 First calculate the cash profit by calculating 60029 - 60021 – 60033. Thereafter inform the respondent about the result and ask for confirmation. If respondent cannot confirm clarify and recalculate. If any of the detailed information is missing (Don't know, 98) ask for a profit estimate only.
- 60040b 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 a 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.

6.2 Investment

General Instructions:

This section refers to the investment strategy for farm or business of the household. We are interested which durable goods the household has bought or sold in the last year (05/10 - 04/11) and what he plans to invest for the future.

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 one season or year. Seeds are therefore only an in-

vestment if they are for permanent crops, which can also be used in the next seasons. One investment is always related to one **investment decision**. If the HH decided to buy 100 chickens, this is **one** investment decision; purchase price can be added up and entered in one row. If they decided to buy another 30 chickens 2 month later, this would be another investment decision.

- 62003 Fill in each investment decision in one row. Often, it is difficult for the respondent to remember all investments. Therefore, please read out the categories of code A and give 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 and vehicles is section 9.1. Please cross check later in the interview.

Write down the item in words, and enter the correct Code from Code A in Q3a.

- 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 Code B gives you an idea, which technical characteristic might be important for a certain item. If the item is given in Code B, please use the referred unit. If there is no unit given for an item, but there is an important characteristic, use Code 90. If there is no important characteristic leave blank.

- 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.

- 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.

- 620011 Does the respondent think, that his investment was successful or not?

- 620013 This is the filter question for divestment. Divestment means, that the HH sold a durable good for a price above 5000 THB, which has former been used for more than one season.

- 62015 Fill in each divestment decision in one row.

- 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 a crops or livestock (Q20) or does not have a self employment (Q 21).

- 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.

Section 7: Borrowing and Lending

7.1

7.1.1 A: Borrowing

General instructions:

- Fill in the loan ID from last wave and do not use the IDs from last wave for the next loan. Also fill in the amount of the loan (column 4/5). Only fill in loans, which have not been fully repaid before 05/10, therefore those, who had a remaining debt larger than 0 at the end of the last wave (19b on the household information sheet).
- 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).
- Ask row wise, start with Q 1a.

Specific Instructions:

Q 1a: 71033 - 71036

The purpose of this question 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. The interviewer should also ask for the location and travel time of the nearest branch/group of each and every financial institutions listed below. 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 H=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 H=1.

71003 – 71005

Check if the loans you filled in are still owed or have been fully repaid during the reference period (05/10 -4/11). If yes, ask for further information row wise. If not, delete the row, but do not use this ID again.

71106a - 71106c

Record the most important usage of the loan in column 6a, the second most important in 6b and the third most important in 6c. If the loan was used for only one purpose, put that purpose in column 6a, and be unfilled in column 6b and 6c. If the loan was used for two purposes, leave column 6c unfilled. As in section 6.2, business and agricultural investments (code 1 and 2) relates only to durable goods used for longer than one season, 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.

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 column 12. Please record the unit in 13.

71114 A borrower can pay back the loan in cash or in-kind. If the repayment is in cash, put code A=5 in this column. If the repayment is in kind for example agricultural outputs (e.g. rice or other crops) or food, put code A=4 in this column. 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 baht every month, then put code CC = 1. If the amount of each payment stream varies but the repayment has a fixed schedule, e.g. pay back 100 baht for the first 10 months and 1,000 baht for the last two month, then put code CC = 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 CC = 3 (pay whenever the borrower has enough money). For this case, the repayment has a flexible schedule.

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. If 14a=3, then 14b should be 99.

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 column 16 and '1 (per year)' in column 17. If a loan has an interest rate of 2% per month, put '2' in column 16 and '2 (per month)' in column 17. If the respondent does not know the interest rate, put '98' in both column 16 and 17

71115a - 71115b

If no payment has been made between 5/10 and 4/11 then put 0 in both columns.

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 4/11. If no past payment has been made before 4/11, then put 0 in this column.

71119b This is the amount including some parts of principal and interests that a borrower still owes as of 4/11. If the loan has been fully repaid, put 0 in this column.

If the respondent does not know either column 19a or column 19b, put 98.

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

19a: Total repayment of loan as of end 4/11	19b: remaining debt as of end 4/11	Note
0	1500	No past payment is made before 4/11, i.e. 19b=1500
1500	0	The loan has been fully repaid
800	700	The loan has been repaid and still owes

71121 If the loan has no collateral or if the collateral is in the form of guarantor or work contract, then leave in column 21 unfilled (do not put 0 in these cases).

71122 – 71124

If there is no other requirement, record 0 in column 22, 23 and 24. If there is 1 requirement, record the response in column 22, and put 0 in column 23 and 24. If there are 2 requirements, record the most important requirement in column 22, the second most requirement in column 23, and put 0 in column 24.

71131 This is the location of the lender specified in column 9.

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

Installment

This is a special case which appeared during the survey time of wave 3. The purpose of this example is to clarify the procedure for this common credit contract.

Example: In 2/50 (VN: 02/2007) 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:

3	4	5	6a	6b	6c	7	8	9	10
1	5	380,000	7	-	-	2	-	61	2

11	12	13	14	14a	14b	16	17	15a	15b
50/2007	5	1	5	1	12	98.1	98	75,600	12

19a	19b	20	21	22	23	24	25	31	32
321,300	56,700	5	480,000	3	-	-	50/2007	3	15

Notes:

Q5: 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.

Q12: 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.

Q14b: Household and debtor agree on monthly payments, i.e. 12 payments per year.

Q16: 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.

Q17: 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.

Q15b: The household pays monthly during the reference period. We do not have information of late payments. Thus the correct answer is 12.

Q15a: The household pays 6,300 THB for 12 months, which is 75,600 THB.

Q19a: The household pays monthly starting from 2/50 (VN: 2007). This yields 51 payments until the end of 4/54 (VN: 2011). We do not have information of late payments. Thus the correct answer is 321,300 THB (51 x 6,300 THB).

Q19b: The remaining debt (in total) is (60-51) x 6,300 THB, which is 56,700 THB. This implies a total debt value of 378,000 THB (60 x 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.

Q20: 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.
 Q21: The value of the collateral is the full purchase amount, i.e. 480,000 THB.
 Q25: 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.

7.1.2 B: Lending

General Instructions:

Fill in the lending ID from last wave and do not use the IDs from last wave for the next lending. Also fill in the amount of the lending (column 4/5).

Specific Instructions:

71206a - 71206c

Record the most important usage of the loan in column 6a, the second most important in 6b and the third most important in 6c. If the loan was used for only one purpose, put that purpose in column 6a, and leave column 6b and 6c unfilled. If the loan was used for two purposes, leave column 6c unfilled.

71207 – 71208

This is different from question 7 in borrowing section because the person to whom the household lent money did probably not suffer the same shocks as the household. If the household was lending to the borrower who used this loan to cope with a shock, use the code of the shock (code I) for question 8 and NOT the shock I.D. from section 3.1.

71211 - 71232 question 11 - question 32: see borrowing section.

7.1.3 C: Credit rationing

General instructions:

- Please record all the loan items that a household applied for between 5/10-4/11 without getting it or without getting the full amount a household applied for

Specific Instructions:

71302 Pls. record the month in numbers, e.g. 4 (for April).

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

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

7.1.4 D: Default history

General instructions:

Please cross check with information on late repayments in section 7.1 Borrowing.

Specific Instructions:

- 71421 If the loan has no collateral or if the collateral is in the form of guarantor or work contract, then leave column 21 unfilled (do not put 0 in these cases).

7.1.5 E: 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 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 leave column 10b and 10c unfilled. If there are two sources, leave column 10c unfilled. 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 column 11a, leave column 11b and 11c unfilled. If there are two reasons, be unfilled in column 11c.
- 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 1, the third largest in account 3, the forth largest in account 4, and sum up the rest in row 5.
- 71514 This is the account balance as of today (approximately as of 4/11). If possible, the interviewer may ask the respondent to show the bank accounts. If a household has not updated the bank account recently, then record the available account balance as the date closest to 4/11.
- 71515 This is the account balance about a year ago (approximately as of 5/10). If a household has not updated the bank account up to 5/10, then record the available account balance as the date closest to 5/10. If the household owned 2,000 THB on April, 1 2010 on his bank account Q15 is 2,000 THB. To be clear: This question does not ask about the cumulative sum of payment throughout the year. You can also use to information from the Household information sheet to clarify.
- 71516 If a household has never withdrawal from this bank account during the past 12 months, then put 0 in column 16.
- 71517 If a household has never added money this bank account during the past 12 months, then put 0 in column 17.
- 71505 This is the name of the financial institution/group at which a household has a bank account.
- 71518 This is the location of the branch/group of financial institutions that a household has saving account.
- 71519 This is the travel time 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 during the past 12 months (05/10-04/11) 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 per cent). 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 Q14 and Q15. If the household does not know the interest rate please put in 98. Do not assume any interest rate even if it seemed to be feasible.

Remark: We ask for the hypothetical returns received not the actual payments. This has some direct implications for the case when a household opens an account during the reference period. In this case there might have been no actual payments. Even though the household might have already gain claims against the bank. Therefore also calculate the interest return in this case. (Background information: if we do not use this broad definition of interest payments we discriminate between person who opened their bank account during the reference period and others. When we calculate the dividend payments using the percentage interest rate we do not know whether actual payments have been settled.)

7.2

7.2.1 A: Public transfers and other payments

General instructions:

- Please **read out** type of program (code A) and ask whether any of the household members has received any of these payments during the last year
- Each row 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 rows. If the household as a whole, not a single member, received a transfer, then put the member ID of the household head in column 1, and record the relevant information in that row
- Ask row wise.

Specific Instructions:

72102a If the type of transfer is in-kind, estimate its value and put the estimation in column 3. If the transfer is a mix of cash and in-kind, estimate the total value.

72103 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.

72106 Pls. recode the month in numbers, e.g. 4 (for April).

7.2.2 B: 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).
- Please **read out** code B for types of insurances
- Each row 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 rows. If the household as a whole, not each member, enrolls in an insurance scheme, then put the member ID of household head in column 1, and record the relevant information in that row.
- Ask row wise. For insurance(s) other than health insurance **stop** asking with **72216** and go to next row.
- Please check with the health section in 2.3 who of the household members had been sick during the last year. **Ask 72217-28 only** for the household members that **have health insurance**
- From 72205-28 will be recorded only insurance arrangements the household maintains at the moment. **These exclude the free health card (TH).**

Specific Instructions:

- 72206 VN: Code B “3” and “4”. “4” means a health insurance which covers costs caused by physical disabilities.
- 72209 This is the amount of premium the insuree paid between 5/10-4/11. If an insuree has not paid any premium between 5/10-4/11, put 0 in column 9.
- 72215 If the household member bought the insurance, please indicate where the insurance agent was met to buy the policy (same village, district town etc.). If insurance is provided through employer (e.g. health insurance for government employees), please indicate the location of the work place.
- 72212 Please ask the respondent give the exact amount or an value of in kind (goods), if households get 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 insuree has never received any compensation between 5/10-4/11, then put 0 in column 12.
- 72216 Please indicate if household member had to buy insurance mandatory (e.g. household member working for non-state business with more than 10 employees or state enterprises etc.).
- 72218 The “outpatient care” relates to a household member who visited a doctor but did not stay overnight in a clinic or hospital. This question wants to ask whether insuree has to pay for medical treatment in advance if he/she is in **outpatient care**.
- 72219 The “copayment” is that the insurance usually pay a fixed amount of money, i.e. an insuree has to pay the rest amount of treatment expenditure. Does the insuree have to pay a fixed percentage or a fixed amount of money that he/she always has to pay when he/she seeks OUTPATIENT CARE that is NOT covered by the insurance? (COPAYMENT)
- 72220 In case of any of household member received **outpatient care**, was the insurance policy covered for this? Last time the insuree received OUTPATIENT CARE, was this treatment covered by the insurance policy (excluding the COPAYMENT, if insuree had to make on)?
Example: An insured person that seeks treatment has to pay, in most cases, a share of the bill (copayment). That is the minimum amount the person has to pay. But in some cases the insurance policy does not cover a particular treatment (or only a share of it). That means, the treated person has the copayment + some amount of X (which could be the rest of the bill if the insurance policy does not cover this treatment at all). So I want to know in this question, if the household member had to pay more than the copayment last time he/she was treated.

72221 Does the health insurance policy allow you to **choose out patient care** from a **private health provider** (private doctor, private health clinic, private hospitals) in the case of need?

72222 The “inpatient care” is a household member who visited a doctor and stay overnight in a clinic or hospital. This question wants to ask whether insuree have to pay for medical treatment in advance if he/she is **inpatient care**.

72223 - 72225

See 72219 - 72221

72226 – 72228

Pls. see 72223 - 72225. Medicine in this case is medicine that was prescribed by a doctor. If medicine is included in the outpatient/inpatient bill, please record the same answers as for 72218 - 72220 and 72222 - 72224

Example 1: The funeral insurance (Thailand)

The funeral insurance is counted as insurance and should be recorded in this section. For funeral insurance from BAAC, put ‘funeral insurance’ in column 5 and ‘BAAC’ in column 6. Usually, the premium for funeral insurance is paid whenever someone in the group passed away. For example, a member household has to contribute 20 baht to the group when another group member passed away. If two members passed away in the past 12 months, then the household has to contribute 40 Baht to the group. In this case, we should put ‘40 baht’ as the total premium amount. If someone in the household passed away and the household received a compensation from the funeral insurance, then put the compensation amount in the row that records the information of a household head (as if a household head received this compensation).

Example 2: Health Insurance (Vietnam)

A. A student getting a rabies vaccination

A student has a voluntary health insurance (question 16, Code F) from the insurance company Bao Viet (question 6, code C). As health insurance is not for free (question 5a, code G) he has to pay between 15-45000VND (question 12). In the past he used his health insurance (question 17, code G) to get a rabies vaccination. For that he needed to see a doctor who inoculated the vaccination but he did not have to stay overnight in a hospital or clinic (Outpatient care, questions 18-21). He paid the bill (question 18, code G). As the insurance company did not cover this kind of treatment (question 20, code G), the student had to pay the full bill and not a percentage of the bill as co-payment (question 19, code G). After the vaccination the student suffered from terrible headaches as a side effect, thus he was buying some aspirin. As this medicine was also not covered by his insurance policy (question 28), the student had to pay the full price for the medicine (question 26, code G). Inpatient care was not needed, therefore fill in “does not apply” (code 99) for questions 22-25.

B. An employer having a traffic accident

An employer working for an enterprise with foreign investment got involved in a traffic accident. As this non-state business had more than 10 employees he had to pay for mandatory health insurance (question 16, code F) and paid 1 percent of his basic monthly salary plus allowances (question 9). He broke his leg in an accident and needed a surgery plus a longer stay in hospital. He could choose the health provider (question 25). He had to pay the bill or a share of the bill (question 22, code G). The insurance covered 80 percent of the bill (question 24, code G), 20 percent of the bill had to be paid to the health care provider (question 23, code G). Outpatient care was not needed, therefore fill in “does not apply” (code 99) for questions 18-21.

Section 8: Household Expenditures

General instructions:

- Household includes all members mentioned by the respondent in section 2.1!
- Left Table: Ask for approximate expenditure of each item per MONTH.
- Right Table: Ask for approximate expenditure of each item per YEAR.
- Only use local currency
- Exclude durable goods from the estimation (these should be filled in Section 6.2 if above 5000 THB)

Specific Instructions:

- 80000 Item ID.: Fill in consecutive numbers only for assets that are actually owned by the household.
- 80001 line 38: This line can be used for additional educational costs, such as kindergarten. Please ask for these costs.
- 80002 Sub- Totals (line 15, line 25, line 30, line 39, line 45, and line 55) should only be filled in, if the respondent is not able to give details. Anyway, they might be helpful for assessing validity of the data. Therefore, when recording, calculate sub-totals (but don't fill them in). Ask the respondent again, in case sub-totals seem too big or too small.
- 80009 Enter 0 if the household rents its house, but does not have to pay a rent.
Skip or leave blank if the household is the owner of the house

Example:

Remember the following example from section 2: Child 1 of household head is studying in the capital city and therefore absent for 300 days received support from home: Enter the total value of support received from household. If child 1 pays the dorm rent from that money make sure that in the consumption expenditure section 8 no additional dorm rent is given.

Section 9

9.1 Household Wealth

General instructions:

- Ask row wise!
- Read out assets (*column 1*)

Specific Instructions:

91000 Asset ID.: Fill in consecutive numbers only for those assets that are actually owned by the household, and not broken.

91001 Code 43: Jewelry includes any jewelry whether its gold, silver, precious stones or of lower value materials.

Ask for further asset items which are not on the list!

Please check for all items above 5000 THB, whether they have been bought during the last year, and cross check if these have been entered as investments in section 6.2.

91003 Ask for approximation. Fill in 98 if not known. Make sure response is plausible. If the household received the item as a present, please let him estimate the value and do not enter 0.

91004 Ask for approximation. Enter 0 if bought during the last 12 months.

91009 Ask for approximation of re-sale value in nearest town. Fill in 98 if not known. Make sure response is plausible.

91008a Business use means productive use in general (i.e. use for agriculture, natural resource extraction, off-farm wage employment, non-farm self-employment), also if the product (i.e. rice) is produced for self consumption.

91005 Question refers to the average household in your village.

91006 Question refers to the average household in the entire country. Use Code B.

91007 "Minimum net income" is the money needed to barely sustain a household.

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 at this place

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.
- 92003 – 92005
 Refers to newest house only. (Not those under construction)
- 92006 Read out options. “Tenure status” refers to ownership of house.
- 92007 Read out options.
- 92008 Read out options. Check only 1 option.
- 92009 – 92011
 Read out options. If various materials check only one option: the main material of the newest house.
- 92012 Ask for source of water, and if source is shared.
- 92013 Politely ask about toilet. Ask to see if, if answer does not seem plausible.
- 92014 – 92015
 Check only one option for light AND one option for cooking.
- 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.

Appendix

DFG FOR 756
Household survey
4th wave 2011

Exercises and Role Plays for Training
in Thailand and Vietnam

Introduction

These exercises and role plays are meant to help the enumerators who will conduct the fourth wave of the household survey for the project on vulnerability to poverty of rural households in Thailand and Vietnam. The exercises are prepared for the different sections of the questionnaire. They are mostly short and actually are like exam questions. The correct answer will be provided after you have done the exercise. Doing these exercises should help enumerators to better understand the nature of the questions and become aware of difficulties with possible answers of respondents. In fact, many of the examples have emerged from the data cleaning process of the first three waves.

The role plays are special exercises where someone plays the respondent using a prepared story. The enumerator must then learn how to assess the information given by the respondent and ask back for clarification.

After having done the exercises and role plays enumerators should be more confident to make decisions in the field and navigate through the questionnaire during the interview efficiently. The exercises and role plays are prepared for both trainings in Thailand and Vietnam but some exercises are specific to the situation in one of the two countries.

The first part of the document contains normal exercises, which relate to specific questions in the questionnaire and the second part has a collection of role plays.

Section 1

Vietnam specific:

10008 The interview time per plan was supposed to start at 8.30 a.m. but because the respondent was not there the interview actually started at 2 p.m. What time do you put?

Answer: 2 p.m.

10014 Interviewer "A" was assigned for respondent "B" and a defined date and time. But because interviewer "A" did not feel well on that day the field supervisor took over another day and conducted the interview. Whose name is to be put in Variable 10014 and whose name will be put in variable 10016.

Answer: the name of the field supervisor

Section 2

2.1

21005 The household member in question is an adopted son. Fill in the correct number!

Answer: 14

21014 The household member in question has not got a job. The reason for this is a serious illness he suffered from. Fill in the correct number.

Answer: 16

21016 Household member in question stayed in the household from January 2010 until the end of July 2010. Fill in the correct number.

Answer: 92 (90 is also ok)

21019 1.) Household member in question went to

- Thailand: *nai khet thetsaban* in the same province but in another district. Fill in the correct number!

Answer: 5

- Vietnam: a town with 7000 inhabitants in the same province but in another district. Fill in the correct number.

Answer: 5

2.) The household member in question went to Bangkok (TH)/ Ho Chi Minh City (VN). Fill in the correct code!

Answer: TH: 9 (and not 7!) / VN: 11 (and not 7!)

Vietnam specific:

21020 From household member in question the household received 98000 Dong. Fill in the correct number.

Answer: 98.1

2.2

22009 Household member in question became a refugee. Fill in the correct number (code).

Answer: 13

2.3

23009 Household member in question lost two fingers when he/she crashed his/her motorbike. Fill in the correct number!

Answer: 33

23013 Household member in question did not do anything. Fill in the correct number and mark the question with which you are supposed to proceed.

Answer: 0; skip to question 14

23013a Household member in question got main treatment in a district town in another commune. Fill in the correct number.

Answer: 4

23013b Household member got traditional medical treatment from an expert in a village but it did not help. He then went to the district hospital, but they send him to the province hospital. Fill in the correct code.

Answer: 3

2.4

24002-13 The household head that was born in the same village and temporarily had been in Hanoi/Bangkok during the reference period sent approximately 94000

VND/ 3000 THB to the household during the reference period. Fill in the correct numbers.

Answer: nothing has to be filled in

24002-13 The household was invited to a friend's wedding. The friend VN: Tung/ Th: Sommai, age 28, was born in the same village and lives currently in Hanoi / Bangkok. The gifts for the friend had a monetary value of approximately 400,000 VND / 400 THB. Fill in the correct numbers!

Answer: Q2: Tung (VN)/Sommai (TH), Q3: 1, Q4: 28 Q5:12, Q6:1, Q11: 10 (VN)/9 (TH), Q12:0, Q13:400

24002-13 Household member got many gifts from many friends in the same commune on her birthday, valued 900,000 VND / 900THB. Fill in the table.

Answer: Q2: gift, Q3,4 empty, Q5: 12, Q6: 1, Q11: 1, Q12: 900, Q13:0

Section 3

3.1.a

31a002 The respondent does not remember any shock. What do you do?

Answer: Leave blank and skip to next section. Do not read out Code A!

31a002 The household has to pay for an attorney. Fill in the correct number.

Answer: 38

31a003 The shock occurred in August and September 2010. Fill in the correct number

Answer: 08 : month when the shock started.

3.1.b

31b001 In section 3.1.a two shocks were mentioned by the respondent. When reading out the first shock in the table of section 3.1.b ("illness of household member") the respondent states that this shock took place. Fill in the correct ID.

Answer: 4

31b008-10 One adult member of the household moved to live in another relative's household due to the shock. This was the only coping activity. Fill in the correct numbers.

Answer: 9,1,1

31b008-10 In order to cope with last years shock, the household sold livestock, took some children out of school, and sold some assets.

Fill in the correct numbers (in order).

Answer: 11, 6, 14

31b012 By the end of November 2010 the household had fully recovered from a shock that took place in July 2010. Fill in the correct number.

Answer: 5

3.1.c

31c002 Last year the household experienced a livestock disease. Fill in the correct number.

Answer: 15

31c012 The house was damaged in a storm in 7/10. The house was only fully repaired in February 2011. Fill in the correct number.

Answer: 8

3.1.d

31d021 The following events were recorded in sections 3.1a-c:

-Drought; event ID 01; Type of event: 11

-Accident; event ID 02; Type of event: 57

-Collapse of business; event ID 701; Type of event: 18

Which numbers do you fill in column 31d021?

Answer: 01, 02, 701

31d021 The following events were recorded in sections 3.1a-c:

-Conflict with neighbours in the village; event ID 701; Type of event: 8

-Collapse of business; event ID 01; Type of event: 18

-Job loss (agricultural); event ID 702; Type of event: 60

Which numbers do you fill in column 31d021?

Answer: 701, 01, 702 (order irrelevant)

31d022-23 A big storm (event ID 05) caused damage on the house (event ID 04).

Please fill out table 3.1.d

Answer:

21	22	23a	23b	23c
04	2			
05	1	04		

3.1.e

31013a After asking the question the respondent complains about how difficult life still is. You ask again if life has improved, but the respondent doesn't think it has improved. What do you enter?

Answer: 3

31014a After asking the question the respondent starts complaining about the big floods that destroyed the harvest 2 years ago. Ever since, life is very difficult. What do you enter?

Answer: 4 or 5

31015 /16 After asking the question the respondent tells you that income always fluctuates after harvest, but that the household is used to it. What do you enter in Q 15 and Q16?

Answer: Q 15: 2, Q 16: 3or 4

3.2

32003 Respondent says a) 'don't know' in Q32002 or b) "no" in Q 32002, which is the next question, 32004 or 320013 or next row?

Answer: a): 32004, b) 32013

32011 The household would sell land and livestock, borrow from friends and a commercial bank, and try to find an additional job. Fill in the correct number.

Answer: 12, 11, 18, 22, 2 (order irrelevant)

32014 In order to prevent flooding, the household build small damns around their fields. Fill in the correct number.

Answer: 16

32014 To prevent theft, the household raises a dog. Fill in correctly for Q14 and Q15. What do you have to ask for to get a plausible answer?

Answer: 18, Cost of buying a little dog (divided by years a dog lives), and cost it in the last 12 months.

32015

For income diversification, the household bought some land to grow vegetables in 07/10 for 50000 THB / 50 million VND . Can you answer 32015 or do you need more information?

Answer:

You should not just fill in 50,000 / 50 million VND, since net costs per year should be estimated. How long will you use the land (depreciation). How much does planting of vegetables cost, including forgone income due to time worked in the garden). Of course this is difficult to estimate, but you should try.

32016 A household thinks that they might face a drought 2 times in the next 5 years, and a strong increase in input prices 3 times within the next 5 years. For the both the impact on the income would be high, but no impact on their assets.

To mitigate the impact of both, they store some rice seeds with a value of 1000 THB/1 million VND. Please fill out the table.

Answer:

0	1	2	4	3	3a	13	14	15	16
12	11	1	2	1	4	1	10	1000	22
25	22	1	3	1	4	1	10		

Section 4

4.1

General The household has a pond, 200m². Fill in or not?
Answer: yes

41003 The household has a house of 120m², it is in the garden of 230m². Which number do you fill in?
Answer: 230. Note: DON'T fill in 120
VN: The household has a house of 140m², it is in the garden of 1100m². Which number do you fill in?
Answer: You should divide it into 2 parcels. 1st is homestead with 300m² (limited by the law- CHECK) and the 2nd is 800m², code 4 in Q41004.

41003a You found that the information of the area of a land parcel in the information sheet is incorrect. How can you deal with this? Do you need more information?
Answer: Check, whether only the land area is incorrect, but the rest of the information (from the household information sheet) fits roughly. If so, correct the area. If the description does not fit at all, use Code 5 in Q41003a. Leave the row empty, and fill in the correct information in a new row.

41003a The household tells you that they allow their neighbours to use some of their land for feeding the buffalos, but they do not have to pay for this. Do you have to enter this land plot? If so, fill out the table. Which additional information do you need? How would this change, if they gave it to their neighbours as a present?

Answer:

2	3	3a	4	5	6	7	8	9a	10	11f	11g	11e	12	13	14
x	x	1	2	1	x	x	x	x	0	99	99	0	x	x	x
x	x	4						0							

X – information still needed

41007 Respondent says he has received his farm land through land allocation from the Land Development Department but he does not know the value if he had to buy the land.

Which code do you put and how do you obtain a value for the land?

Answer: Put Code 6 in 41007 and in 41009a ask respondent if he knows the price of similar land either on his own farm or from his neighbours.

41003 Respondent answers that he has three parcels of land: rice, cassava and gardening land, which belongs to the homestead.

Where do you report the land for gardening?

Answer: Information on land is in row 1 and details of land use are to be reported in section 4.2

4.2

General_1 The household has a 500m² garden, grow variety of fruits, tea, vegetable, sweet potato. All are not for sale, used only for household consumption and feeding livestock. Do you fill in anything in the table?
Answer: fill in some rows, each row represents a group of trees. They are not for sale but the household had to buy these products if it had nothing in the garden.

42002 Respondent plants rice for seed production but he does not sell the seeds. He has harvested 600 kg per rai/ 1000 m2.

Where do you report the quantity?

Answer: in 42013a

42006/8 A HH has a five year old pomelo orchard.

What do you report as the planting period?

Answer: Q 06: year 2549 (2006), Q08: empty

42000 The respondent said his total harvest from his three plots of rice is 6000 kg and as of today he keeps 1000 kg in his own storage.

Where do you report the 6000 kg and where do you report the 1000 kg.

Answer: interviewer must ask respondent to split up among the three plots. The stored amount does not need to be split up.

420010 – 15 The respondent reports the following amounts for one plot: The harvested in total 1300 kg rice, of which the household consumed 500 kg. They reserved 20 kg for seeds and sold 800kg. Would you accept this amounts.

Answer: the balance is not correct. In this case total production should equal home consumption plus seeds plus sales.

42017 - 21 The household grow gluey trees 7 years ago, they are expected to be cut in 10 years. All the cost in Q42017-21 is spent in 2004 and 2005. How do you fill in the columns 17-21?

Answer: fill in 0 for this reference period.

42025 Respondent has 10 rai / 1000 m2 of rice planting traditional varieties. He reports the use of 20 000 Baht/ 200,000 VND of pesticide use. Would you accept this information?

Answer: Amount for pesticides is unreasonably high. Please ask the respondent for details of use (Number sprays, type of pesticides, etc.) and correct the amount, if necessary.

4.4

44002 HH with 5 members says he alone goes fishing in his own pond and says that he harvests 25 tons of tilapia fish per year.

What could be wrong with this answer?

Answer: Interviewer must check if this activity belongs to aquaculture (section 4.3)

44002 – 44017a A household with 4 persons, husband, wife and two children who still go to school went to a forest to cut firewood 15 times (one day each) and to collect wild plants during the period 05/10 and 04/11. The forest is owned by a friend and the HH does not pay for access. Each time they collected approximately 40 kg of firewood, which is for home consumption only. Respondent estimates the value of the firewood with 1200 Baht/ 120,000 VND. The HH also collects 2 different types of wild plants in the same forest for home consumption. From the one type HH collects 5 kg with a total value of 150 Baht/ 15000 VND. From the other type of wild plants HH collects 30 kg with a total value of 900 Baht/ 90,000 VND. HH is collecting wild plants at the same time while cutting wood. HH pays 38 Baht for the transport to the forest (fuel) for each time he goes to the forest. The HH does not hire labor for cutting wood. In addition to collecting firewood and wild plants, HH goes fishing (snakeheadfish) in a canal of the community. There is no need to pay any access fee. The respondent says that he and his wife are going at least every other day or more. He estimates

the total times with 200 days. He estimates the fish catch with 1 kg per fishing on average. He sells half of the fish and estimates the total value at 16000 Baht/ 16,000 VND.

Questions: 1) Would you accept the values for firewood and fish? 2) Fill in the information provided by the respondent in the correct columns.

Answer: 1) Value of fish seems OK, but for firewood 2 B per kg seems high so the interviewer should check again.

1a	2	3	4	5	6	8	9	10	11	12	12a	13
1	3	6	3	0	98	05	04	15	190	0	0	12
2	3	6	3	0	98	05	04	15	190	0	0	16
3	3	6	3	0	98	05	04	15	190	0	0	16
4	1	5	1	0	98	05	04	200	0	0	0	3

Part 2

1a	14	15a	18	16	16a	17a
1	600	2	0	600	18000	18000
2	75	2	0375	225	0	225
3	450	2	0	450	13500	13500
4	200	2	100	100	800	1600

Section 5

- 50001 A household with 5 persons (husband, wife, and 3 children) is mainly engaged in agricultural production on its' own farm. However, for 6 month during the last year, the father also worked as an agricultural wage worker (harvesting cassava and corn) on a neighbouring farm and the oldest son (26 years old) was working as a construction worker in an urban area in another province for 9 month since he left home. Now he is in a leading position and is still in that urban area during the time of the interview.
Question: Would you record both jobs?
Answer: Yes
- 50009 – 50013 The son (26 years old) is said to return 2 times a year, he comes back on a motorcycle and his place of work is 7 km away from the home village.
Question: Would you accept this information?
Answer: To return 2 times a year seems normal but why is the urban area in another province only 7 km away from the home village? You should check whether this is possible.
- 50014 – 50021 It took the son no time to find the job and he got it because of his job experience of 10 years.
Question: Would you accept this information?
Answer: He is only 26 years old – 10 years of job experience in construction work seems very much. You should check this information again.
- 50022 – 50030 The father received 6.984 Bath/ 72 1000 VND per day and no non-monetary benefits in his job on the other farm. He worked for 8 hours a day and for 15 days a month.
Question: Would you accept this information?
Answer: Amount seems too high for a daily wage. Perhaps this is the monthly wage?

Section 6

- 60003 – 60016b A household with 4 persons (father and mother with two children at the age of 12 and 16) has a small shop in operation in order to sell food and drinks to people in the village. When you get to the home, the mother and the oldest daughter are sitting behind the desk. The father tells you the business is run by the mother, is not registered, and there are also no employees (no family and no non-family members).
Question: Do you accept this information?
Answer: Why is the daughter also behind the desk selling things? You should check again, maybe she can be counted as a family employee.
- 60017 – 60020 It becomes clear that the daughter is also working as an employee in the business until she finds another job. However, she has no written contract.
Question: What do you enter this in 60017 – 60020?
Answer: Fill in a 1 for limited (verbal agreement) and a 0 for the other types of contract.
- 60021 – 60027a The customers are mainly people who buy drinks and either come from the home village or the neighbouring villages.
Question: How do you fill in 60023 - 60027a?
Answer: 60023: 1 (consumer). 60025: 100%. 60026: 0%. 60027a: 0%.
- 60034 – 60036a Suppose a household states the following values for 60034 – 60036a: 70, 20, 30.
Question: What is wrong?
Answer: Values are shares and should add up to 100%. In this case $70+20+30=120$. You should recheck the values.

6.2

62001/2/ The HH has bought the rice field of the neighbour in 2004 for 60000 THB/ 60 million VND. In 07/2010 they had to buy seeds for the rice plantation for 7000 THB/ 700000 VND. A water pump was necessary in 09/2010, normally it has a price of 5500 THB/ 2 million VND, but since they know the shop owner they just had to pay 4000 THB/ 1.2 million VND. The harvest was good, so they build a new storage room, for hired labour and materials they paid 7000 THB/ 7 million VND.

In 2009 the son decided to do some additional education in the provincial capital, so they bought a motorcycle for him for 7000 THB/ 7 million VND. The family also lives near a lake. Since one of their boats had a leak and the father decided that it was too dangerous to use, they needed a new one. Since they found a really good offer (each 4800 THB/ 1.1 million VND), they even bought a second one for the uncle, who also lives in the household.

Questions: 1.) What would you fill in Q1-3a?
2.) What technical characteristics would you ask for?
3.) What would you ask to correctly fill out Q4?
4.) Are you able to give any information on Q10, and how would you code it?

Answers: 1.) Rice field purchase was longer ago than 5 years, rice is not a permanent crop, so does not count as investment. Since they paid only 4000 THB/ 1.2 million VND for the water pump it is not an investment as well, no matter what the original purchase price was. The storage room is an investment, therefore Q1=1, and Q3a=4. The motorcycle should be entered, but its use should be reported as private in Q 8. The boats are one investment decision, therefore the price is 9600 THB/ 2.2 million VND, they have to be included in Q3 and Q3a=25

2.) Storage: Code B1: m2, boat: if it has a motor: Code B2=2, otherwise leave blank.

3.) Ask where the storage room is located.

4.) investment in boats because it was too dangerous, Code E= 90: reduce health risk. Investment in motorcycle E =90: investment in social capital. Investment in storage because of a good harvest, which means a better income, Code E=1

62013- Since the son decided in 2009 to attain an educational programme in the provincial capital, the household decided to sell the small shop the son had worked in before, to bear the costs of going to school.

62019 **Question:** 1.) What information is necessary to fill in Q13, 15 and 16? 2.) What would you fill in (Q13-19) if you had that information?

Answers: 1.) It can only be included as a divestment, if the price was higher than 5000 THB/ 5 million VND.

2.) If it would be lower than 5000 THB/ 5 million VND: Q13 = 2, leave the rest blank.

If it would be higher than 5000 THB/ 5 million VND, Q13=1, fill in Q15, Q16=11, Q17= price. Need information for Q18/a. Q19=2, since they needed the money to pay for the school, which is investment in human capital.

Section 7

7.1 A

- 71101-02 Case (1) a household has only borrowed 10,000 baht/ 10 million VND from BAAC/ agricultural bank 3 years ago and has fully repaid the loan in March 2010. Case (2) a household has only borrowed 20,000 baht / 20 million VND from Rung Thai Bank/ Dong A in January 2009 and has fully repaid the loan in December 2010.
How do you fill in 71101-2 for case (1) and (2)?
Answer: case (1) 71101=1 (yes), 71102=2 (no); case (2) 71101=1 (yes), 71102=1 (yes).
- 71107-08 A household took a loan. A share of the loan was used to buy expensive medicine for a sick household member. What do you fill in 71107 and 71108?
Answer: 71107=1 (yes), because household was borrowing because of a shock (please don't forget to check if this shock is recorded in section 3.1), 72201=shock I.D. from section 3.1, and NOT the shock code!
- 71114 If a household took a loan of 5,000 baht/ 5 million VND and has to repay the loan by cash for principle and pay back in rice as the interest payments, how do you fill in 71114?
Answer: 71114=90 (mix of cash and rice).
- 71114a – 14b If a household is currently owned a loan but can pay back any amount whenever he has enough money, how do you fill in 71114a – 71114b?
Answer: 71114a=3, 71114b=[blank].
- 71116-17 Suppose a household borrowed 10,000 baht/ 10 million VND from neighbour. When asking a respondent about the interest rate on loan, the respondent answers no interest but when asking about repayment streams, the respondent says that he has to make 1,000 baht(1 million VND)/month for 12 months.
Question: How do you fill in 71116-17?
Answer: The interviewer should calculate the total repayment which is 12,000 baht in this case. This repayment is greater than the loan the household took, thus the respondent's answer of 'no interest' is probably not correct. The interviewer should show the total calculation and ask respondent whether this is correct. If the respondent does not know the interest rate fill in 98.
- 71119a – 19b If a household has to repay 10,000 baht/ 10 million VND in total and already made some repayments as follows: 1,000 baht/ 1 million VND in Jan 2010; 1,000 baht/ 1 million VND in May 2010; and 2,000 baht/ 2 million VND in Dec 2010.
Question: How do you fill in 71115a – 71115b and 71119a – 71119b?
Answer: 71115a=3,000; 71115b=2; 71119a=4,000;71119b=6,000.
- 71103 – 32 goods on instalment Suppose a household bought a motorcycle in Jan 2010. A household has to pay 10,000 baht/ 10 million VND for initial down payment and has to make monthly payments of 1,250 baht (1250 million VND)/month for 20 months (or the interest rate is 2% per month).
Question: (1) What is the type and amount of the loan? (2) How do you fill repayments of the loan? (3) what are the collateral and its value?
Answer: (1) 71104=2; 71105=25,000 For good on installments, the value of loan is the total value of monthly payments (1,250x20) and excluding the initial down payment.

(2) 71114=5; 71114a=1, 71114b=12, 71116=2, 71117=2, 71115a=15,000, 71115b=12, 71119a=20,000, 71119b=5,000.

(3) 71120=5, 71121=35,000 The value of collateral for goods on installment is the sum of initial down payment + total monthly payments. The reason why the sum of these amounts is the value of collateral is that if a borrower cannot complete monthly payments, the motorcycle will be seized. The borrower will lose a motorcycle with an estimated value of (1,250x12) and the initial down payment (10,000 baht / 10 million VND that has already been paid).

7.1 E

71510a-c The respondent tells you, that he usually saves a part of his income, and that he saves in order to be a member for borrowing a loan. How do you code these answers?

Answer: Salary = 1, but the second answer is not a source of saving!

71514-17 The household has a saving account. The amount of savings was 1,5 Mio Dong /1000 THB on year ago. During the year the household members added 4 times 100000VND/ 2000 THB to the savings account and withdrew 200000/ 800 THB once. What do you fill in 71514-17? **Answer:** 71514=1,7 Mio Dong (1,5 Mio + 4*100000Dong – 1*200000VND=1,7 Mio Dong// 8200 THB (1000 + 4*2000 -800)), 71515=1,5 Mio Dong / 1000THB; 71516=1 and 71517=4.

71520 The household receives 7 percent interest per year on the average savings it holds in that account. What is the return on the account? **Answer:** 71520=0,07*average savings. Careful: This is only a proxy. Ask first if some household member knows the exact amount of interest payments received during the last year.

7.2 A

72102-6 The harvest of a household suffered from a tropical storm. The receive help financial help through the government and food aid from an NGO. What do you fill in 72102-6?

Answer Row 1 (government): 72102=2 (Vietnam) and 72102=52 (Thailand), 72102a=1 (because help was in cash), 72203=cash amount, 72206=month cash amount was received. **Answer** Row 2 (NGO): 72102=70 (Vietnam and Thailand), 72102a=2 (because help was in kind), 72203=estimated value of food aid, 72206=month food aid was received.

7.2 B

72201-3 A rather poor family, receives health insurance through government program (free health card). The household head would like to buy some livestock insurance, because last year some of his chickens were killed by the bird flu. But given all the other expenditures he cannot afford other insurance. What do you enter in 72201, 72202 and 72203 and what do you do about the rest of the section?

Answer: You fill in 72201=1 (yes), 72202=2 (no) and 72203=3 because the household head finds other insurance too expensive. Afterwards you go to next section because the household does not have any other insurance arrangement.

72205 A family member works for a big company that provides health insurance.

72215-6 He works in the province capital. What do you enter in 72205, 72215 and 72216?

Answer: 72205=53 (TH) / 3 (VN) (because type of insurance is health insurance), 72215=5 (because he gets the insurance through his employer in the province capital) and 72216=1 (because he works in a big non-state company as an employee and thus health insurance is mandatory for him).

72217 - 28 During the last year the father was involved in a traffic accident. His arm was x-rayed but was not found to be broken. Thus he could go home after the doctor had a close look at his aching arm. The father did not have to stay in hospital overnight. He had to pay 20 percent of the bill, while his insurance covers the other 80 percent. What do you enter in 72217-28? Answer: 72217=1 (yes, because he used health insurance), 72218=1 (because he had to pay the bill or a share of it), 72219=1 (yes, because he always has to pay a certain share of the bill as a co-payment when he needs treatment), 72220=1 (yes, because the insurance covered his treatment with the exception of the co-payment). 72222-28=99 (because he needed no inpatient care and did not get a prescription for other medicine).

Section 8

80002 The household (4 persons) spends 20 Baht / 20 000 VND per day on eggs. What do you enter in row 5? Do you accept the answer?

Answer: 600 ($=30*20$) How much does an egg cost? How many eggs does the household then eat? Is this reasonable?

80002 The household spends 300 Baht/ 300,000 VND every week on cigarettes and 2000 per month on alcohol. What do you enter in row 13?

Answer: 3200 ($=4*300+2000$)

80002 The household spends 1000 per month/ 1,000,000 VND on lunch, of which 200 Baht/ 200000 VND is consumed by children attending school and university. No pocket money is paid. What do you enter in row 37?

Answer: 2400 ($=12*200$) , but better too ask again regarding semester break.

Section 9

90001 Imagine this room is the house of the respondent, and you are just conducting the interview there. This is his only house. You ask him for the size, he answers 15 m2. Is this a plausible value? Try to estimate the size of the room yourself.

Answer: (?)

90002 The household owns two tractors with 2 wheels. One is broken. What do you enter in row 1?

Answer: 1: Broken items should not be entered.

90003 - 9 The household owns one pick-up truck which cost 50,000 Baht/ 50 million VND when bought 3 years ago. The answer to 90009 is 80,000 THB/ 80 million VND. What do you fill in?

Answer: 90003= 50.000, 90004= 3, 90009: value too high!

Role plays for single sections.

These role plays describe one (imaginary) household section by section. You can do this exercise in teams of two: one is the respondent (reading information from this exercise), the second is the interviewer, filling out his questionnaire. You might check together, if you think the questionnaire is entered correctly. Especially take care, if the respondent got confused or forgot something. Cross checks will be useful.

Section 2 – Household information:

Last year there have been five household members: The household head, his mother, his brother, his daughter and her husband. The household head is the respondent. This year there is one new household member. The enumerator is supposed to fill in the information about the new household member.

Information for the respondent:

2.1: The new household member is the six months old daughter of the daughter of the household head (ID 6). She was born in the same village, is of Chinese (Han) origin, and Buddhist. Since she was born she never left the household.

2.3: The girl weighs about 3200 grams and measures approximately 48 centimetres. Since two weeks child is suffering from influenza which has been the only illness it suffered from so far. The mother went with the child to a doctor in the next clinic. They went only once and only to this clinic. The clinic is in another village but in the same commune. Mother and child stayed at the clinic for a couple of hours and returned home afterwards.

Answers:

1	2	3	4	5	6	7	8	9	10	11	12	13
6	...	2	0	8		1	0.5	3		4	1	2

1	2	14	15	16	17	18	19b	19	19a	20	21
6	...	11	11	180	2	99	99	99	99	99.1	99.1

Section 2.2 - Education

1	2	3	4	5	6	7	8	9	10	11	12	13
6	...	2	2		2							

Section 2.3 - Health

1	2	3	4	5	6	7	8	9	12	13	13a	13b	13c	14
6	...	3	99	99	3.2	48	1	27	99	1	2	1	2	

Section 3 – Shocks and risks.

Section 3.1.a The respondent does not know anything about shocks that occurred to the household during the reference period.

Section 3.1.b When shocks are read out, the respondent remembers that household experienced the following shocks:

- Brother (ID “4”) and household head (ID “1”) lost their job on a chicken farm, the brother in July 2010, the household head in June 2010, because he got sick. In April 2010 a storm damaged their house.
- While they can still deal with the problem, that the household head lost his job, it is really hard for them, that the brother does not earn money now. They earned 6000 THB (household head) per month and 4000 THB (brother) per month / 500000 VND (brother), 330000 VND (father). They did not have to spend any extra expenditure due to the job loss, but they had to sell one motorbike (value 5000 THB / 5 million VND). The repair of the house cost them 5000 THB/ 5 million VND. For the clinic, the father had to pay 500 THB/ 500000 VND, but luckily insurance paid for this later
- [Enumerator is supposed to go back to 31004, since information provided there is obviously wrong. – If enumerator goes back to 31004 respondent answers: medium (father), high (brother)]
- only the two household members were affected
- The brother went to the province capital to look for a job and (less importantly) used savings to compensate for income loss; father – used savings to compensate for income loss and sold a motorcycle.
- They did not have to reduce consumption.
- The brother found a new job in November 2010; the father is still jobless, but was healthy again in August. The house was repaired in the same month.

1	2	2a	3	3a	4	5a	5b	6a	7	7	9	10	11	12
4	1	1	05	10	1	500	0	0	1	16	1	1	11	4
5	60	4	07	10	2	40000/ 330	0	0	1	8	15	1	2	5
6	60	1	05	10	1	60000/ 600	0	0	1	15	14	1	2	90

Hints:

- Fill the information for one of the two cases of job loss in the given row. Create a new row for the other case. House damage and storm would be two shocks, but not in reference period.
- 31004: brother – “1”; household head – “2”
And NOT brother – “2”; father – “1”; certainly the respondent states brother – “2”; father – “1”, but the information obtained in 31005a and b clearly shows that it is the other way around. When having asked 31005a and b, the enumerator should wonder whether the respondent’s answers concerning 31004 were correct and re-ask 31004.

Section 3.1.c -

3.1 Shocks															
01	02		02a	03	03a	04	05a	05b	06a	07	08	09	10	11	12
101	46 โดนโกง		6	11	2551	1	0	0	60,000	2	2	1	1	2	90
71	22 ราคามีปัจจัยการผลิตเพิ่มขึ้นมาก			6	2550						1	1	1	2	90

How would you prepare the table 3.1c BEFORE the interview?

-To cope with the strong increase in input prices, the household had to borrow from an informal money-lender to maintain consumption unchanged. They were not yet able to pay back the loan. Luckily they were able to end the business contract that they were cheated with in September 2010, without additional efforts or reducing the consumption.

Fill in the columns 31008-12

1	2	3	3a	8	9	10	11	12
101	46	11	2551	20	1	1	2	21
71	22	6	2550	1	1	1	2	90

Hints: there was a loan mentioned: this should be included in section 7.1

Section 3.1.d & e

What do you have to fill in?

21	22	23a	23b	23c
04	1	05		
05	2			

Section 4 – Agriculture

Section 4.1 - Land

4.1 Land														
02	03	04	05	06	07	08	09a	10	11f	11g	11e	12	13	14
1	25													
2	7	3	2	1	2		200,000					1	3	6
3	0.08	1	11	1	2		30,000					1	0	99

This is the information given for the land from the Household information sheet.

Please enter the necessary data in the table and complete the section. Why is the first row grey?

The second plot can be identified by the household, but the area is 10 rai (Th)/ 5000 m2 (VN). In general, he confirms the data of the household information sheet, but he thinks, that the current value is around 50 000 Baht/ 50 million VND higher than reported.

The third plot he is not able to identify.

Since this year they additionally use a plot (8 Rai/ 10000 m2) of their neighbours for their rubber plantation. They estimate the value as 500 000 THB / 30 million VND. They do not have to pay for the land, which is in the village (500 m away) and not irrigated.

2	3	3a	4	5	6	7	8	9a	10	11f	11g	11e	12	13	14
2	10	1	3	2	1	2		250000					1	3	6
3	5														
4	8 / 10000	1	4	9				500000 / 3000	0	99	99	0	1	0.5	1

Hints: Although the information is given in the household information sheet, the interviewer should ask for all details. Grey: was wrong information in the last wave.

Section 4.2 - Crops

The family grows Jasmine rice on 40 rai / 5000 m2 of plot 1. The rice grows from June to November, they produced 2 Tons last year, whereof they consume 810 kg, gave away 10, had to pay 200 THB to the family that gives the land for the rubber plantation to them, reserved 90 for seeds. They sold 1 Ton of paddy, for a price of 15 THB/ 4500 VND per kg (*HINT: If asked for correction, please adapt the self-consumed amount*). They have their own machine, for fuels they had to pay 1000 THB/ 100000 VND. Two neighbours helped them for planting, each working 10 days for 200 THB/ 200000 VND. They did not have further expenditures. Now, they still have stored 600 kg.

0	2	3a	4	5	6	8	9	10	11	11b	12	13	12a	13a
1	101	11	1	4	6	11	2	2000	700	10	0	200	0	90

0	2	15	14	16	15b	14b	16b	17	18	19	20	21	22
1	101	1	1000	15/ 4.5		0		1	1000/ 100	0	0	4000	0

0	2	23	24	25	26	27	28	29	36	29a		30a	31	32	33
1	101	0	0	0	0	0	0	0	0	0		1	101	600	9000

Hints: Unit has to be converted to kg.

Since they pay in-kind rent for the rubber plantation, this has to be entered in section 4.1 as well

The price of the stored rice is calculated by the price of the sales.

Section 4.3 - Livestock

Please fill in the table as BEFORE the interview and complete the section.

4.3 Livestock						
00	02	03	03a	09	09a	10
1	2 วัวเนื้อ (ตัว)	0	0	0	0	0
2	7 ไข่	8	480	20	1200	0

During the reference period 15 chicken were born, and for home consumption they used 8 chicken. The value of one chicken is 60 Baht. They did not have any costs.

0	2	3	3a	4	5	5a	6	6a	7	7a	8	10	9	9a	12	13	14	15	16
2	7	20	1200	15	0		0		0		8	480	27	1620	0	0	0	0	0

Section 4.3 - Livestock products

As livestock product, the household uses the dung of the animals. They produced 100 kg per month, which they use for their rubber trees. Value is about 1000 Baht/ 1 million VND per Ton. They did not have other costs.

0	2	4	5	5a	6	7	8	9	10
1	26	1200	1200	1200	0	0	0	0	0

Hints: Dung has to be converted to kg, as described in Code A. The total production has to be calculated. In section 4.3 chicken were mentioned. Did they not produce any eggs?

Section 4.4 – Fishing and hunting

The household goes fishing every day in their own ponds (no access fee) and harvest one 300kg of fish daily.

Note: Normally the interviewer should ask if this is aquaculture! This does not belong in the section 4.4

If the interviewer does not ask, please try to give extreme answers and some hints that he/she might notice that this does not belong here. For example: You hire 3 persons, have other very high costs for the pumps for instance

In addition, in August the whole family went to a forest (no access fee) of your friends and collect 1 carload of timber to build a house.

Note: only the interview ask if you could convert the carload into kg then answer one carload is approximately 500 kg

Fuel cost: 20 Baht / 20000 VND

Completely self-consumed

The estimated value of your total output is 250 Baht/ 250000 VND

1a	2	3	4	5	6	8	9	10	11	12	12a	13
1	3	6	3	0	Decision of owner	08	08	1	20	0	0	12

1a	14	15a	18	16	16a	17a
	500	2	0	500	250	250

Section 5 – Off farm employment:

The brother started to work as construction worker in November 2010 in the provincial city of the same district. He does not have a leading position. The respondent does not know the name of the company. He stays for free in a dormitory of the company and walks from there to the workplace every day. He comes back to the village once a week on his free day with the public bus. This costs 20 THB/ 20000 VND. The provincial city is 30 km away, and it takes him 2 hours on the bus. The brother has a verbal agreement until end of the year and thinks that is ok. He got his job because a friend works there as well. Before, he always had worked on chicken farms. He earns 200 THB per day, and does not get additional bonuses or holiday.

2a	3	4	5	5a	6	7	7a	9	9a	8a	10a	11	11a	12	13	14	14a
1	4	1	19	2	6	98	3	2	26	8	20	30	2	4	4

2a	3	4	15	16	17	18	19	21	22	23	25	26	27	27b	27c	28	28a	29	30
1	4	1	3		4	4		0	200	2	1					9	26	6	1

Hints: For some information, it was necessary to cross check with section 3 and get the information from there.

Section 6 – Self employment

The daughter of the household head (ID 3) has a small food shop in the village next to their house, since 2005. At the beginning they had to buy a small vehicle and all what is needed for cooking. They paid around 10000 THB/ 10 million VND. She is not registered. Sometimes her mother helps her. Since she cooks well, many persons from the village eat there daily, she has around 50 customers per day. One dish costs 20 Baht/ 20000 VND. Nevertheless, the household members usually do not eat there. Input costs for one dish are 15 Baht/ 15000 VND, and the daughter buys everything in the village. She works a lot, around 12 hours a day, but on Mondays usually the shop is closed.

2a	3	4	5	5a	6	7	8	10	10a	9	11a	12	12a	13	14	15	16a	16b
1	3	1	...	14	2005	10000	7	...	1	1		1	0	0	0	1	2	0

2a	3	4	17	18	19	20	21	22	23	24	25	26	27a	29	30	30a	31	32
1	3	1	0	1	0	0	0	1500	1	2	100	0	0	30000	2	0	2	0

33	34	35	36a	38	40b	40a	39
22500	100	0	0	7500	12	26	12

Section 6.2 – Investment

For their rubber plantation the household bought a tractor last year in October. It is a small tractor with two wheels and 30 HP. They got it from a friend, very cheap for only 10000 Baht/ 15 million THB, but they think they will be able to use it, until the rubber trees will be grown up in 7 years. The tractor will make the work much easier, and they think it was a good idea to buy it. But they had to take up a loan for buying it.

They did not sell anything

Did the respondent forget any investment items? Where do you have to check? For these information fill only in what you know. For the rest you would have to ask. Which additional cross checks are necessary?

2	3	3a	4	4a	5	5a	6	6a	7	8	9	10	11	12
1	...	14	1											

Hints: Did the respondent forget any investment items? Where do you have to check?

Land: section 4.1 – only rented, no investment

Permanent crops – rubber plantation.

Livestock – nothing in the last year, no investment

Divestment: the household sold the motorcycle.

Cross check: the household has to mention the tractor in the asset section, and the loan in the loan section.

Section 7 – Financial situation

Section 7.1 – Borrowing & Lending

7.1.a Borrowing																	
03	04	5	06a	06b	06c	07	08	09	10	11	12	13	14	14a	14b	16	17
15	เงิน	200,000	2	7	9	2		52	11	2009	13	1	5	1	1	11	1
25	เงิน	20,000	5	2	9	2		60	1	2010	1	1	5	1	1	4	1

15a	15b	19a	19b	20	21	22	23	24	25	31	32
34,154	1	34,154	451,846	1	630,000	1	3	5	1987	3	20
0	0	0	20,800	7		1	3	5	2002	0	3

When asking, the respondent mainly gives the same details on the loans again. For the first loan they again paid 34154 Baht this year.

As initially agreed with the lender, the household paid back the second loan in 2011, but actually 2 month too late (in March)

To pay back the debt, the household had to take up an additional loan. Originally they had planned to pay back by remittances, but because the relatives stopped sending money, they could not. They went to a commercial bank, but they did not give the loan to them. At another commercial bank they were able to borrow a loan of 10000 THB / 10 million VND with an interest rate of 10% per year, with duration of 2 years. The repayment is 5000 Baht/ 5 million each year plus interests. No collateral was needed. They had never before borrowed from this bank. It is located in the provincial capital (40 minutes).

The household did not lend any money.

They did not apply for a loan without getting it.

They did not default any payments.

3	4	5	6a	6b	6c	7	8	9	10	11	12	13	14	14a	14b	16	17
1	5	200000	2	7	9	2		52	11	2552	13	1	5	1	1	11	1
2	5	20000	5	2	9	2		60	1	2553	1	1	5	1	1	4	1
3	4	10000	5			1		64	03	2011	2	1	5	1	1	10	1

3	15a	15b	19a	19b	20	21	22	23	24	25	31	32
1	34154	1	68308	147692	1	630000	1	3	5	2530	3	20
2	20800	1	20800	0	7		1	3	5	2545	0	3
3	0	0	11500	11500	2		0	0	0	2554	5	40

Hints:

- Although information is already given, interviewer should ask again, and check for plausibility with the information sheet.
- Loan 1: Last year the debt was calculated to simple ($200000 + (200000 \times 0.11) \times 13 = 486000$ total debt). Ask again and try to calculate correctly.
- The respondent says, that they borrowed because of a shock (relatives stopped sending remittances). But cross checking shows that the shock is not reported in section 3.1. Please add the shock there.
- The remaining debt is $11500 = 10000 + 10000 \times 0.1$ for year 1 + $5000 + 0.1$ for year 2.
- The respondent said, that he paid back 2 month too late. So 7.1.C should be filled out.
- The respondent said, they tried to get a loan from a commercial bank, but did not. So 7.1.D must be filled out.
- The land of the collateral of loan 1 is not included in the land section. Ask again.
- In section 3 they said to have taken a loan to deal with the price increase. Why is this loan not included in this section.

The respondent tells you, that they have 1 bank account, which at the moment, contains 5000 THB/ 5 million VND. A year ago they still had 1000 THB/ 10 million VND. They withdraw once and did not add any money. They have the account at a commercial bank in the provincial capital. They get 1% interests.

0	12	13	14	15	16	17	5	18	19	20
1	Bank account1	1	5000	10000	1	0	64	5	40	75

Hints:

- All other rows (1-8) should be filled out with Q13 = 2
- The interests are calculated using an average of savings $(10000 + 5000) / 2 = 7500$

Section 7.2 - Public transfers

The mother of the respondent (ID 5) receives support for the elderly. Usually this is 200 Baht (200000 VND)/ month but she did not yet receive the amount for March and April.

0	1	2	2a	3	6
1	5	65	1	2000	02

Hint: only the actually received amount should be entered.

7.2.B - Insurance

The respondent says, that they do not have any insurance

Hints:

Cross check! Do you remember the respondent talking about a health insurance in the shock section?

Section 8 – Expenditures

- The respondent cannot distinguish the different food items, but he thinks that they spend around 2000 Baht/ 2 million VND on food per week for the 6 persons in the household.

- The household had the following expenditures for non-food items:

- Personal care supplies: 50 per week
- Clothes: 5000 per year
- Shoes: 1000 per quarter year
- Accessories: nothing
- Detergent/washing powder: 200 every two weeks
- Electricity: 2000 per month
- Water cost: 300 every two months
- Liquid propane gas: 400 per months
- Charcoal: not used
- Hair dresser: not used

Fill in 80002 for food and non-food items.

0	1	2
1	15	8000
2	17	500
3	18	750
4	19	400
5	20	2000
6	21	150
7	22	400

Hints: all costs have to be calculated per month. The total non food has not to be entered, but might be used for checking plausibility of values.

- The household had the following expenditures for transport and communication:

- Fuel for car: no car
- Fuel for motorbike: 250 per week
- Public transportation: 10 per day
- Telecommunication (includes mobile credit): 80 per week
- Other transportation and communication: nothing
- Maintenance for car: no car
- Maintenance for motorbike: 2000 per year
- Insurance and tax for motorbike: not paid

0	1	2
8	126	1000
9	27	300
10	28	320
11	127	2000

Section 9 – Household wealth

Section 9.1 – Household wealth

The household owns the following items:

- Radio(s): 2 in household, newest is 2 yrs old, cost then 350, would cost now 50, private use
- Stereo (s): 0 in household

- Regular Phone (s): 0 in household
- Mobile Phone (s): 2 in household, newest is 1 month old, cost then 2000, would cost now 2000, business use
- Refrigerator (s): 0 in household
- Gas Stove (s): 1, in household, is 5 yrs old, cost then 500, would cost now 200, private use
- Water heater (s): 1 in household, broken, is 1 yrs old, cost then 350, would cost now 50, private use
- Washing Machine (s): 0 in household

1	2	3	4	8	9
29 Radio (s) and Stereo (s)	2	350	2	50	3
30 Regular Phone (s)	0				
31 Mobile Phone (s)	2	2000	0	2000	1
32 Refrigerator (s)	0				
33 Gas Stove (s)	1	500	5	200	3
34 Water heater (s)	0				
35 Washing Machine (s)	0				

Hints: The water heater is broken and hence should not be counted.