



**Thailand Vietnam Socio Economic Panel**

# **Enumerator Guidelines**

**Household Survey 2016 (6<sup>th</sup> wave)**

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## 0 General

These guidelines are for the seventh 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 five waves of the household survey in early 2007, 2008, 2010, 2011 and 2013. 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 (–wave 7-2016) is to measure vulnerability to poverty of rural households in Thailand and Vietnam. It builds on the five waves of interviews and aims to extend the panel data by interviewing exactly the same households that have been interviewed in 2007, 2008, 2010, 2011 (only in Ubon Ratchathani and Thua Thien Hue) and 2013. As 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 2013,

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.
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 lose 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 or 98 write 97.1 and 98.1 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, Lending and Savings
  - 7.2 Public transfers and insurance
- 8. Consumption expenditures
- 9. Wealth and housing conditions
  - 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 tablet 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 fill in information a day before your interview.

- **Section 2.1: HH members**  
Please fill the information on household member into the tablet before the interview.  
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).
- **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 4.1: Land**  
Fill in the land parcel number (column 2) and the land area (column 3).

## 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

In this section, HH member ID and some information from 2013 (name/nickname, gender, age, place of birth, for how long has ... been living with the household, reason for joining, previous location, ethnic group, religion) will be filled in a day before the survey. If number of household has been increased (any new HH members joined the HH), please add the new roaster(s). Go roaster by roaster when asking. With the tablet version, you will be able to ask all question in sub-section 2.1, 2.2 and 2.3 for each household member

### 2.1 Household members

#### *General instructions:*

- Let the respondent decide who is considered to belong to this household!
- Please fill in information on household member into the questionnaire before the interview.
- Field to fill in include
- 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.

#### *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      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 05/15 and 04/16 and add the respective information in the rows below existing household members.
- If the household head denies knowing a household member who was reported last wave, put a note in 10022 by long clicking on the answering box, the note box will pop-up, 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.
- 21022a      If a person does not belong to a household anymore and the person left the household between 5/15 and 4/16 then fill in all questions as the other household members. But if the household left before 5/15 then go to question 18 and fill in only questions from 18 to 21.
- 21003      Fill in for NEW household members only.
- 21004      Please check whether the information from HH-sheet is correct. And fill in for NEW household members. Fill in the actual age in years and use full numbers for member who above 5 years' old
- 21004a      For HH-member below 5 years old, please fill in age in year first in question v21004 and then fill in age in month in this question (v21004a)
- For example, the child is 1 year 4 month:  
Fill in 1 in v21004 and fill in 16 in v21004a

- 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!
- 21006 Ask for OLD and NEW household members, who are older than 13. For the OLD members check if the information is still correct.
- 21007 Only for NEW household members. Let the respondent give the name of the place first and do not read out answering codes. However, if you do not know the place the respondent mentions then ask whether it is in the same district, in the same province but not in the same district, or in another province. For deciding whether the location 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. If the child who was recently born, please fill in fraction of number of month that the child live in HH divided by 12.
- 21009 If the person was born in the household go to V21011. Do not read out answering codes. Only if respondent does not know how to answer you may read out the codes and ask for the most adequate answer. Please decide into which category the case fits and try to avoid using code 90 "others pls. specify". If one of the codes applies, we do not need more detail.
- 21010 Only for NEW household members. (See also 21007)
- 21011 Only for NEW household members. Do not read out answering code
- 21012 Only for NEW household members. Do not read out answering code
- 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 students/ 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 students/pupil" and "11 child below school age").
- 21015 Ask for all household members. The "second occupation" is the occupation for which the household member worked the second longest during the reference period. For further instruction, see 21014. Answer code H = 20 "no second occupation" if the household member has no second occupation.
- 21016 Ask for all household members. Ask for the approximate number of days. If the answer is 98 fill in 98.1 Otherwise the values might be mixed with "no answer"

However, for household members who just moved into the household recently and who therefore have stayed less than 366 days in the household (without leaving the household permanently or temporarily after they moved in), and:

- Fill in code 90 in v21018 and specify in the answering box "just moved in"



- Fill in code 98-no answer in v21019 and click the answering box of this question for a second, the following box called "YOUR COMMENT" will pop-up, fill in "just moved in".

- 21018 Ask for all household members who stayed in the household for less than 366 days. For babies born in the reference period use code 90 and comment "newborn". Do not read out answering codes! ".For persons who passed away in the reference period Code 1) skip the subsequent questions. If otherwise you must use code 90 give specify the reason as precise as possible. Avoid using terms like "personal reasons".
- 21019 Ask only for household members that were absent at least some time in the reference period.
- 21019a Ask only for household members that were absent at least some time in the reference period.
- 21020 Ask only for household members that were absent at least some time in the reference period. Otherwise leave it blank. 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 Dong, respectively, fill in 98.1 or 99.1. Otherwise the values might be confused with "don't know", "no answer"
- 21021 Ask only for household members that were absent at least some time in the reference period. Otherwise leave it blank. 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!
- 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 in col.21. 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/100.000 VND every month. Put 12000 Baht/1200 VND 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.
- 21023 (only for Vietnam)  
Do not ask this question for persons under the age of 50.

## 2.2 Education

### *Specific Instructions:*

- 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.  |
| 22005a | In the electronic version, you have to firstly identify the category of educational level  |
| 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, 7, 8, 9 and 10 and carry out with question 11.<br><br>Note<br>VN: Some old people would be in the old educational system which had less than 12 years, but they completed high-school level.<br>TH: In the old educational system, people had to study until primary school grade 7 until they complete the primary school level |
| 22006  | Note that this is only a “yes”/”no” question. If the answer is “no”, proceed with the next household member.   |
| 22014  | Fill in the actual number of years the person went to school.  |
| 22007  | Be aware that there are two country specific codes B, one for Thailand and one for Vietnam.<br>Thailand: For bachelors: use Univ 4 in Thailand (if attained, irrespective of time needed for studying).  |
| 22008  | Fill in the (approximate) age.   |
| 22009  | Do not read out code C! Only if the respondent does not know how to answer read out the possible answers and ask for the most appropriate one.   |
| 22010  | Do not read out answering code. For further instructions see 21007!  |
| 22011  | If respondent does not know exactly ask for approximate age. Consult other household members if they are around.   |
| 22012  | Note that this is only a “yes”/”no” question. Absence means that the person off the normal education process e.g. stopped after grade 5 and returned after one year to continue with grade 6.  |
| 22013  | Do not read out answering code. Only if the respondent does not know how to answer read out the possible answers and ask for the most appropriate one.   |

## 2.3 Health

### *Specific Instructions:*

|       |  |
|-------|--|
| 23003 | Do not read out answering code of this question! “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 kilograms, fill in 98.1. Otherwise the values might be confused with “no answer”  |
| 23007  | Fill in the (approximate) height in centimeters. If the answer is 98 centimeters, fill in 98.1. Otherwise the values might be confused with “no answer”.   |
| 23009  | Assign the most appropriate value from answering codes to the illness mentioned by the respondent. If unsure put 90 and specify the disease as mentioned by the respondent. If the individual had no severe illness during the reference period, fill in zero (0) and go to next household member/ section (the sub-section 2.3 should turn green.)  |
| 23012  | Fill in the (approximate) number of weeks. If the household member’s occupation was not affected by the illness, fill in “0”. If person does not have any occupation, fill in 99. If it is a person that had to stop working completely after the event, then still just enter the number of weeks lost in the reference period. Fill in fraction, if HH reports less than a week. For example, if the HH reports 3 days, fill in $3/7 = 0.43$ . |
| 23017a | Please ask the respondent to recall when the impairment / illness started. If the respondent does not know, please try to ask in which season it happened and estimate the year.   |
| 23017b | Please ask the respondent to recall when the impairment / illness started. If the respondent does not know, please try to ask in which season it happened and estimate the month.  |
| 23013  | Do not read out answering code. 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 v23014, otherwise ask questions v23013a and v23013c, but skip question 14.   |
| 23013a | Do not read out answering code! 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.  |
| 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 answering code! 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:*

|       |  |
|-------|--|
| 24000 | Note that this is only a “yes”/“no” question. If “Yes”, continues with this sections questions, otherwise, move to the next section. |
|-------|--|

Ask HH for how many persons (relatives/friends) provided money, gifts or in kinds (remittances) to households or to whom the HH provided money, gifts or in kinds during 5/15 – 4/16 to create roaster(s). Also ask for and consider money that the household received for celebrations (e.g. wedding, funeral).

- 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 roaster by roaster 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 e.g. guests from wedding. Fill out the questions that cannot be answered in this case with 98.
- 24005 Do not read out answering code! 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 answering code! If you do not know the location the respondent mentions, see instruction for 21007!
- 24012 Fill in ONE value that is the sum of the estimated total amount of money as well as of the estimated total monetary value of gifts and in kinds received from the person in question during the reference period.  
Vietnam: Be careful, reporting units are 1000 VND! If the answer is 98000 Dong, fill in 98.1 Otherwise the values might be confused with "no answer"
- 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.

## 2.5 Trust and Fear

### *General instructions:*

- The questions on social networks, trust, fairness, and solidarity concern a relatively sensitive part of the respondent's life. Overall, make clear to the respondents that the questions do not aim to identify disagreements and disputes within the village population, but that the aim is to get a feeling of the social atmosphere within the village.
- Start by reading out the introductory sentence: "In every community, some people get along with others and trust each other, while other people do not. I would like to talk to you about trust and solidarity in your community."

*Specific Instructions:*

- 25001      This question can only be answered in one of the two categories (Most people can be trusted. / You can't be too careful when dealing with people.). If the respondent is unsure, ask to choose the category which fits his personal impression relatively more.
- 25002      Read out code N to the respondents, and let them choose which answer is most suitable for each category.  
If in doubt, make clear to the respondent that the answer "Your friends and relatives" includes only very close family and friends. Similarly, the group "Traders" refers to people that they sell to and buy from, but they do not know personally.

## 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 had caused problems to him or his household members. Interviewer read out the introductory question: *“When considering the time period between 05/13 and 04/16, has there been any event causing a big problem affecting the household?”* Give the respondent some time to think. However do not get into long discussions, in case the respondent starts telling stories. Politely continue with the questions.
- Question to be read out: *“What were the three major shocks that affected your household between 05/13 and 04/16?”* Fill in number of reported shock to create roaster(s). Ask questions in each roaster (shock).

##### Specific Instructions:

- 31002      **Do not read out code of this question.** 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 in the text field.
- 31002a      Please note “\*/If the shock affects more than one person, please fill in household head ID as a representative the overall household members V31002a.”.
- Example: Respondent reports one shock type that during the reference period his wife got illness. In this case, HH-member ID of person being affected is the wife. This would be so-called “individual shock”. If there was a flooding of agricultural land, and respondent reports this as one shock, this shock would affect all household members e.g. loss income. So, fill in household head ID in v312002a.
- 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.
- 31003a      Fill in the year (CE) of the event;
- 31004      Read out the answers from code B
- 31005a      Ask for the total sum of income losses due to the event in the reference period. For example, how much money was lost when a household member had to stop working due to illness; foregone income due to destroyed harvest).  
Vietnam: Be careful, reporting units are 1000 VND! If the answer is, 98000 Dong, respectively, fill in 98.1 Otherwise the values might be confused with “don’t know”, “no answer”,
- 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 an additional crop, etc.).  
Vietnam: see instructions for 31005a.

- 31006a Ask for the estimated total monetary value of asset losses due to the event in the reference period (e.g. value of an agricultural machine if it was destroyed by a flood, etc.).  
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 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 31008 was answered with “1”, do not ask 31009 and 31010, but fill in “1” and proceed with question 31011. If 31009 was answered with “1”, do not ask 31010, but fill in “1” and proceed with 31011.
- 31011 Tell the respondent that this is simply a “yes”/“no” (code E) question. If anything is unclear to the respondent, explain that we want to know is whether the household reduced consumption due to the event despite or in addition to the stated coping activities.
- 31012a 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 05/12 and 04/13?” To save time, please do not get into long discussions, but move on to the questions.
- Read out all shock types listed and tick those which the respondent reports! For all events that have occurred open Roster 3.1 B. If 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 roster. Fill in the information about all the other cases of the same event by tick 90-Other, specify to create additional roster. Within this roster (90-other, specify), you will be able to give the event ID., type of event and other questions.
- 
- If one type of event was already noted in 3.1.a, ask whether this event happened more than once. Only fill in information about shocks that were not already mentioned in section 3.1.a!
- Concerning the last boxes (“90-other, specify”, “91- other, specify 2” and 92-other, specify 3) below all given shock events: After you read out all the types of events ask the respondent whether there have been any other shocks, which were not captured by the type of events just mentioned. If the respondent mentions any new event, please tick this box and fill in the information. Do NOT go back to section 3.1.a and fill in the information there. These three boxes (90-92) allows you to fill in shock that happened more than one time as well (see explanation above).
- **Definition of some shock events related to crime:**  
Burglary means that a person entered the home (building, apartment) overcoming hurdles (breaking locks or windows, climbing in) without permission in order to steal.

Attempted burglary means that a person tried to enter the home (building) overcoming hurdles (breaking locks or windows, climbing in) without permission in order to steal, but did not succeed to enter resp. to steal something.

Robbery means that somebody uses force or threatens to steal something.

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

Theft of personal property means that a handy, jewelry or clothes or other things were stolen without using force or threats. (So, burglary and theft are often closely related. In every burglary, there is generally also theft included. If it is not included, then it can be ignored here).

Vigilantism/banditry means groups of outlaws that commit crimes like robbing, taking hostages for ransom, burning or pillaging houses, thus spreading fear and feelings of insecurity.

- Crime ID needs to be repeated if a crime occurred several times. Try to capture worst case, typical case, and total in the last 12 months. A case becomes typical, if it has happened 3 times or more.
- The value of harm is captured by the medical cost (e.g. having to go to hospital, buying medicine. Psychic costs are only captured if they result in any medical costs).

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

- |              |  |
|--------------|--|
| 31201        | The event ID starts with 4 even if the household stated less than 3 shocks in section 3.1.a..  |
| 31203        | 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.   |
| 31203a       | Type the year ( between 2013 – 2016) when the event took place   |
| 31204        | Read out the answers from code B on the previous page and let the respondent choose the adequate one.  |
| 31205a       | Ask for the total sum of income losses caused by the event in the reference period<br>see equivalent instructions for 31005a.<br>In Section 3.1.a  |
| 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.).<br><u>Vietnam</u> : see instructions for 31005a. |
| 31006a       | see equivalent instructions in section 3.1.a.  |
| 31007        | see 30.  |
| 31008 -31010 | see equivalent instructions in section 3.1.a.  |
| 31011        | see equivalent instructions in section 3.1.a   |



|       |   |
|-------|---|
| 31012 | see equivalent instructions in section 3.1.a                                    |
| 31227 | Ask if the household mentioned or reported this event to any kind of authority. |

### 3.1.e (Subjective assessment of wellbeing)

#### *Specific Instructions:*

|          |  |
|----------|--|
| 31313a   | "Better off" refers to general conditions of live. Use code G.   |
| 31115    | Refers to monthly income fluctuations during the last 12 months. Use Code H.   |
| 31116    | "Well-being" refers to all aspects of daily life (i.e. eating, housing, medical treatment if needed, transport and communication, etc.)  |
| 31329    | Here we want to know what the respondent expects (even she is not sure) whether his monthly income will go up, stay the same or decline; enumerators please choose one of the five option on the code list   |
| 31330    | Here we want to know the assessment of the respondent how likely she thinks the expectations will be become true. Based on the answer of the enumerators choose among the four code options from very certain (sure) to very uncertain (not sure at all).  |
| 31019-20 | see 31313a   |
| 31024    | Here we want to know if the respondent is a person who is rather very careful (avoiding risks) or is a person who is not afraid of risks provided these risks are associated with opportunities to improve the life situation. We ask the respondent to choose a number between zero and ten. The higher the number the more the person is willing to take risk. A low number means that the respondent is not easily willing to take risk even though there are opportunities. If necessary enumerator can give examples related to the respondent's situation. For example, a person who is willing to take risks may be willing to migrate to another country (like Japan or Korea) to get a better payed job without exactly knowing the conditions there. |
| 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 money to a friend/relative who wants to start a shop or a transportation business.   |
| 31328    | The question refers to current versus future consumption preferences. We want to know if a person is rather "patient" or is a rather "impatient" person. The scale from zero to ten indicates the degree of patience, i.e. a very impatient person has a value of zero and a patient person a value of 10.   |

## 3.2 Risks

### 3.2 Risk (Part I)

#### *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 in the future. 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!
- In Roster 3.2 all events are listed, starting with 3.2-1 “illness of household members” to 3.92-92 “others”.
- .
- .

*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. If the answer is no, go to question 32013.

32004 If respondent hesitates ask for approximate number of times the event may happen in the next five years.

32003;a;b Ask about approximate amount. If estimation is difficult for respondent use helping question “*How many times of your monthly incomes would be lost?*” and enter the total amount.

32013 Record YES for any action taken BEFORE the event takes place. Do not accept “don’t know” as an answer. If respondent really cannot say type 98 = no answer.

32014 Specify the most important action that was taken BEFORE the event takes place.

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

For 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 The purpose of this question is to avoid double counting in v32015. Therefore, record the code of the event type (NOT the risk ID) whenever the same measure is used to prevent several different events from happening i.e. the expenditures would appear again.  
E.g.: the household built a dam to prevent flooding of the fields. This also might reduce the chance of crop pest. So in that case, note down the code for crop pest here.  
If there is no other event type, fill in code 23- no other risk type.

### **3.2 Risk (Part 2) – Climate Risks**

32025 - 27

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 98. (cross check with sections 4.2/4.3)

## 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:

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

- .
- .

Fill in information on how many land parcels from the HH information sheet (2010) the day before interview to create roaster(s) as well as land IDs and land areas in each roaster. Roaster 1 is always for HOMESTEAD. If there is new land parcel(s), please create new roaster(s) during the interview.

#### Specific Instructions:

41002 Land IDs should be constant throughout all waves. Please enter the land ID from the HH info sheet the day before the interview.

Special case:

- If a land parcel that existed in the last wave was split into two, report the two split parcels under new parcel IDs. In v41003a, you answer code G = 7, after that click on the answering box of this question for a second, the new box called "YOUR COMMENT" will pop up. In this box, you can note down e.g. the old parcel ID ... was split into new parcels with ID .....and ID.... (parcel ID should be equivalent with roaster number)
- 

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. The program allows you to use decimals of the land units (e.g. for TH half rai = 0.5; for VN 1200 sqm = 1.2))

41003a If the respondent cannot confirm the information it was recorded wrongly from the 2013 survey and the plot never existed, fill in 5 and leave the row empty.

Special cases:

- 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, enter 3 in V 41010a and 0 in V41011h.

- 41004 The first roster (row) in the land section is always homestead. This includes the land area of the house plus the garden around it which is sometimes fenced; enumerator should estimate this area during the interview when sitting in the house/garden. For other parcels if the household rented the land in and rented it out at the same time (or passed it on to someone for free) use code 90 in V41004 and specify "land rented in at a rate of xxx THB/VND. The rate for renting out is put in V41011h.
- 41005 A mortgage loan agreement is a legally 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: A. 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. A. promptly paid the two monthly payments that he had missed plus a late-payment penalty.
- 41007 Only fill in 41009a if the land was purchased between 05/2013 and 04/2016 or if the land had been sold during the same period.
- 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 This question is only asked if the land was purchased or sold since 05/2013. If no sales/purchase enter 000

## 4.2 Agriculture

### *General instructions:*

**In this section we want to record the crops planted per parcel. The program requires that you first determine the number of rosters. To do so first refer to V 41004 in section 4.1 where you have the number of parcels planted, i.e. codes 3,4 7. For each parcel ask which crops were grown in this parcel. Then ask if these crops were sequence or in parallel. For sequential cropping the farmer may for example grow rice followed by vegetable. For parallel cropping she may have split the plot and grow rice and crop for example. In either case you have to open two rosters. Of course the farmer may have both on the same plot: sequential and parallel cropping. The number of rosters will then increase accordingly. Note the case on your booklet and repeat the question for the next parcel. Then summarize the number roster and enter the result in the second question in section 4.2. Every roster is given a crop ID. Please also note that the farmer may tell you that the inputs for a crop (e.g. rice) planted in different plots is the same but you still have to open a roster for each plot (and crop).**

### **Example to determine the number of rosters:**

A household has 4 plots and in two of the plots is planting rice in wet and in dry season. In wet season she is planting non glutinous rice on both plots and in dry season she plants glutinous rice on one plot and mungbean on the other plot. The fourth plot (remember plot # 1 is always homestead) is used in parallel (plot is split) for garlic, tomato and banana Therefore in total for this household you should have 7 rosters.

### *.Specific Instructions:*

- 42002 This code contains the crop category. In Crop production we can distinguish between rice and field crops (maize, mung beans, soybeans, etc), tree crops (fruit trees, rubber) and Horticultural crops (vegetables, flowers etc.). As enumerator you must find

the right category as the respondent will usually tell you the crop, e.g. Mango. In this case you enter code 2.

- 42002a With the same example “Mango”, the crop type in this question, you enter code 4
- 42003a This code specifies the type of rice and the kind of corn, e.g. maize that is used for feeding animals or sweet corn produced for human consumption. Furthermore, we specify “glutinous corn”, also called “waxy corn” which is used as a source of starch for animal feed and industrial purposes. For other field crops we only identify the exact crop without further specification. For Rice which is the most important crop in our sample we want to know the specific type. This includes first of all, Jasmine rice which also called Khao Hom Mali. It includes popular rice varieties such as Khao Dok Mali 105” and “Gor Khor 15”. Khao Hom Mali is photosensitive and earns a higher price than other rice varieties.
- In our questionnaire, we differentiate the following rice varieties:
- Jasmine rice (Thai: ข้าวหอมมะลิ; or “Khao hom mali”; is a long-grain variety of fragrant rice (also known as aromatic rice).
  - Other fragrant rice: any other aromatic rice variety e.g. Hom Putam (ข้าวหอมปทุม) and Hom Supan (ข้าวหอมสุพรรณ), which are non-photosensitive.
  - Glutinous rice is sticky rice, also called sweet rice or waxy rice is a type of rice which has opaque grains, and is especially sticky when cooked. It is called glutinous because it is glue-like or sticky. Sticky rice, differs from non-glutinous strains of japonica rice.
  - Non-glutinous rice includes all ordinary rice, especially the high yielding rice varieties of the Rice Department in Thailand (RD-varieties) or those bred by the International Rice Research Institute (IRRI-varieties). These varieties have short-stems and are highly responsive to fertilizer. These also include Hybrid Rice or genetically-modified rice like golden rice which however is not yet officially registered in Vietnam or Thailand.
  - Organic Rice: this is rice that could belong to any of the types specified above but which is grown following the standards of organic farming, e.g. no use of mineral fertilizer or chemical pesticides.
- 42004 When the same crop is grown on more than one parcel, repeat the entries for each parcel. If necessary go back to section 41 (V 41001) and increase the number of parcels.
- 42005 Please check the respondent’s answer with regard to plot size (41003). Please note that it is possible that the farmer may not plant the entire plot. However, area planted cannot exceed plot size!
- 42006/8 We ask the month planted and the month harvested; for annual crops this is less than one year, e.g. rice usually between 3 and 5 months; for corn about 3 months, vegetables are shorter, between 1 to 3 months. For perennial or crops growing longer than 1 year (e.g. coffee trees, mango trees) please put the year in which the tree was planted for the start of the planting period. Leave the end of the planting period (420008) blank in this case.
- 42050 Here we are asking if the crop is under any certification system. For example, some Thai farmers may grow their rice following the Good Agricultural Practices standard (Q-GAP) provided by the Ministry of Agriculture. In this case, this farmer also received a kind of Q-GAP certification for their rice production. Or Vietnamese coffee producers also participate in the Fairtrade system for their production system.
- FAIRTRADE Farmers are under the farm-ing contract with a company to produce certified crop quality. Fair trade practices prohibit child or forced labor, support producers and sustain environmental farm-ing practices.

- **UTZ** Using for coffee: UTZ Certified is a program and a label for sustainable farming of coffee and cocoa in the world. The UTZ Certified program covers good agricultural practices, farm management, social and living conditions, and the environment.
- **4C** Using for coffee. Common Code for the Coffee Community (4C) requires that coffee producers and other supply chain members comply with its standards in order to sell 4C compliant coffee. This type of certification started since 2006
- **RAINFOREST ALLIANCE** Sustainable agriculture certification provides for tropical crops. To obtain certification, farms must meet the Sustainable Agriculture Network (SAN) standard which is designed to conserve ecosystems, protect biodiversity and waterways, conserve forests, reduce agrochemical use, and safeguard the well-being of workers local communities
- **ISO22000** The ISO 22000 family of International Standards addresses food safety management. Applying for crops, livestock, and aquaculture
- **ISO14001** ISO 14001 is designed to help the implementation of environmental management systems. Applying for crops, livestock, and aquaculture
- **IFOAM** Certification system for organic products
- **PGS** Certification system for organic products
- **GI** Geographic indication (GI). The use of a geographical indication may act as a certification that the product possesses certain qualities, is made according to traditional methods, or enjoys a certain reputation, due to its geographical origin
- **COFI/CCRF** Certification system for aquaculture. Code of Conduct for Responsible Fisheries (CCRF) issued by Committee on Fisheries (COFI) on aquaculture
- **Q-GAP-** Good Agricultural Practice standard (Q denotes quality) is the public GAP standard that is issued by the Ministry of Agriculture
- **ThaiGAP** is the private GAP standard that is now equivalent to the GLOBALG.A.P standard (this standard is initiated by the European retailers).

42010 - 42013a

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, (e.g. from paddy rice to milled rice the conversion is around 70 %) 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.

In the electronic version, you will ask HH whether they sold the given produce during the reference period. If HH did not sell at all, fill "no" in this question, questions v42015a – v42014b will disappear. If HH sold the produce during the reference period (fill in "yes"), those questions will pop-up and please continue asking.

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

42016/42016b We have included two points of sale. Farmers often sell right after harvest and may store some of the produce for later sale. Here we are asking for the two points in time where farmers sold most of their produce. In case the farmer has only one sales leave sale 2 empty.

42017 - 42029a For permanent crops ask only for those costs which have occurred in the reference period (5/15 – 4/16).

42037a - 42045d Here we are asking for inputs both material which we ask in monetary units and labor which we ask in "Person hours". The latter that we must first ask for the average number of hours worked per day and then ask how many persons have worked for how many days.. Similarly, to calculate the person hours for family labour, the interviewer should ask the average number of hours (normally) worked per day, the number of family members and the number of days they have worked for this activity. For example:

a. Person days for hired labour:

- If a household hired 5 labourers to work for 10 days who work 8 hours per day on average , the person hours are equal to 400 ( $5 \times 10 \times 8 = 400$ ).
- If a household hired 5 labourers who work for 10 days but only for half a day (say only in the morning) then the labour hours is  $5 \times 10 \times 4 = 200$

b. If a household hired 3 labourers to work for 3 days but only half a day and 2 labourers who work 5 days but for full day (8 hours per day) then the total labour hours is  $3 \times 3 \times 4 = 27 + 2 \times 5 \times 8 = 80$ . So in total it will be 107 hours

42013a and 42020 (seed, seedlings and planting): should they also record in 42020 seedlings that they got from their own production here or only those that they bought additionally?

42029awe only want you to fill in this question if HH does not know the details of expenditure of each activity (but please try to avoid using of this question)

## 4.3 Livestock

### 4.3.1 Stocks

*General instructions:*

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

43100            *here enumerator must first give a livestock ID.*

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

43102   *here we specify the animal species and the production purpose (e.g dairy cow).*

*Units for all types of livestock are given the code A in variable 43102.*

*Please use kg with fish, and number in most other cases. But always check in the code.*

*Always 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:*

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. 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 + Additions (43104, 43105) – disposals (43106, 43107, 43108) = 43109*

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

43112, *all cash expenditure e.g. artificial insemination but not for the value of the animal its self because it is already recorded in 43105a*

43107   *Check whether the amount of home consumption is realistic considering the number of household members. If the amount of livestock or livestock products consumed by household appears to be unreasonable high, ask again for clarification. If there is a good reason for unusually high or low figures, please make a note 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 products are given in the code A in variable 43202.
- If the respondent cannot give an exact figure or if he says that he doesn't know, ask him to give an estimated figure. Avoid code 98 as much as possible.

*Specific Instructions:*

43204- 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.

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.

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

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:*

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

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

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  
44016a, 44005, 44011, 44012 and 44012a together should be smaller than total output (44017a)

44018 and 44016 should be equal to the overall output

44008/9      What do we do if the season has two peaks – e.g. from May to August and again from November until March? In that case they would just record that the main fishing season was for the whole year?

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

44013      For Thailand (same for Vietnam in Dak Lak): To fish marine fish seems not very plausible. Please make sure that they really fish it and if yes, write a note why it is reasonable.

44015a      This variable should give the unit used for 44014, 44018 and 44016. Whenever possible try to use kg or if the respondent uses another unit, try to convert it to kg. In case firewood also m<sup>3</sup> 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.

After asking v50002 on the number of household members have worked as wage-employee between 5/15 – 4/16, the roasters will pop-up. Asking roaster by roaster for every questions. If one household member has two kinds of off-farm job, there will be 2 roasters for this household member.

### 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).
- 50023      This includes regular bonus payments and one-time bonus payments , and please specify the unit correctly.
- 50028      Please be reminded that the maximum possible for working hours is not 24 a day, but rather around 12 hours, since the employee needs to sleep and eat. If for certain reasons the daily working hours are higher please put a note (click the answering box of this question for a second, the new box called "YOUR COMMENT" will pop-up, in this box, you can note certain reasons.
- 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.

After asking v6001a – v60002, you will ask HH for how many businesses are run by household members. This will create roaster(s). Ask roaster by roaster for all questions.

### Specific Instructions:

- 62005a Code A “28” means agricultural services. This includes renting out a tractor with which he/she works on somebody’s field.
- 62006 We would like to know since when HH-member run this business. For this question, please fill in the year (BE) that the HH started running the business. In case that the business has been run for less than 1 year, please enter “0”, the following question (v60006m) will pop-up. Fill in the month (1-12) in v60006m.
- 60007 We want the value of the initial amount of investment in the first year of the business, i.e. in terms of the currency value at that time. For example, if the car costs 500,000 THB, but HH paid in the beginning only 200,000 THB, please still the record the value of the car – 500,000 THB.
- 60007a We want to know the source of the money used to cover the initial investment.
- 60033 Include all cost items as well as electricity and fuel. Be sure that these costs are not considered again in the expenditure section 8, because the latter one is for consumption expenditures only.
- 60040b Please be reminded that the maximum possible hours for working is not 24 a day, but rather around 12 hours, since the employee needs to sleep and eat. If for certain reasons the daily working hours are higher please put a note.
- 60040a The maximum of working days per month is 30 (or 31). Please make sure to deduct free weekend and an appropriate portion of yearly holidays.
- 60039 The maximum of working months per year is 12. Please make sure to deduct free months and an appropriate portion of yearly holidays.

## 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 three years (5/13 – 4/16) and what he plans to invest for the future.

After opening the section 6.2 in the tablet, you will question how HH plan for the next 5 years and the plan regarding to specific issues (v62020 – v62027). Please start with all these questions.

- 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.

### 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 investment 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.

- 62003a Often, it is difficult for the respondent to remember all investments. Therefore, please read out the choices 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.
- 62004 Fill in where the item is located. If the household bought a tractor, that is used on the own farm in the village, fill in 1. If they bought land which is located some 2 kilometers away from the house, but in the same village/commune, fill in 1. If they i.e. bought land for a chicken farm in another province, fill in 6.
- 62004a Fill in how many items the household bought. If they bought 1 tractor, fill in 1. If they bought 300 chickens, fill in 300. For land, please fill in the number of land plots.
- 62005a This question gives you an idea, which technical characteristic might be important for a certain item. If the item is given choice of this question, please use the referred unit. If there is no unit given for an item, but there is an important characteristic, use Code 90, and specify in the following question. 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. Fill in the credit and loans information in borrowing section.
- 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 during the last three years (5/13 – 4/16). Divestment means, that the HH sold a durable good for a price above 5000 THB or 1.5 Million VND, which has former been used for more than one season.
- 62014 put in ID according to roster number
- 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).

## Section 7: Borrowing and Lending

### 7.1

#### 7.1 C: Credit rationing

##### *General instructions:*

- Please record all the loan items that a household applied for between 5/15 - 4/16 without getting it or without getting the full amount a household applied for
- Ask HH for how many rationing cases to create roster(s). Ask roster by roster for all questions.

*Specific Instructions:*

71302 Pls. record the month in numbers, e.g. 4 (for April). 12 (= December) is the highest number you can use.

71306 Amount actually received should in most cases be equal or less than what person has applied for (i.e. value from 71305)

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

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

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

## **7.1. D: Default history**

*General instructions:*

Please cross check with information on late repayments in section 7.1 A Borrowing, question v71102a and the loan rosters. Ask HH for how many cases of default there were during the 5/15 – 4/16 to create default roster(s)

*Specific Instructions:*

71321 If the loan has no collateral or if the collateral is in the form of guarantor or work contract, then leave this question unfilled (do not put 0 in these cases).

## **7.1 A: Borrowing**

*General instructions:*

- Please introduce the section by explaining that we would like to understand the characteristics of the rural credit market in Thailand/Vietnam and how the household participates. Please emphasize that we are interested in all sorts of borrowing/lending (formal and informal, cash and non-cash).
- First ask EACH RESPONDENT for the location of the nearest branch/group of the four financial institutions and the travel time. Also ask this question, if the household has not borrowed anything.
- Then, ask number of loan to create roster(s) in the electronic version,
- Fill in the loan(s) in each roster that is still owned or has been completely repaid in the period between 5/15 – 4/16 in decreasing order of value

*Specific Instructions:*

– Roster: Financial Institutes 71133 - 71136

The purpose of these questions is to obtain information on the location of the nearest branch/group of the four financial institutions and the travel time (in minutes) from the household to each branch/group. The interviewer should address this question to all households not only households that have borrowed. 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 CC=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 CC=1.

71003 – 71005

Check if the loans you filled in are still owed or have been fully repaid during the reference period (5/15 – 4/16). If yes, please ask for further information row wise (paper-based) or each roaster (tablet version).

71106a - 71106d

Record the most important usage of the loan in 71106a, the second most important in 71106b and the third most important in 71106c. If the loan was used for only one purpose, put that purpose in 71106a, and fill in code B “20” and “21” in 71106b and 71106c, respectively. If the loan was used for two purposes, fill in code B “21” in 71106c. As in section 6.2, business and agricultural investments (code 1 and 2) relates only to durable goods 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. When the respondent answers to have used the loan for business related purposes, then fill in the ID of the specific business from section 6 for question 6D and fill in the share of loan used for business related purposes in percent in question 6E.

71107 - 71108

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

71112 – 71113

The duration of the loan begins from the time a borrower received a loan until he/she fully repays the loan. The reference period does not play a role for answering this question. The duration refers to the actual duration of the loan, not the one that is initially agreed between a borrower and a lender. The actual loan duration may be different from the agreed one if a borrower made a late repayment. In this case, the actual duration should be entered in question 71112. Please record the unit in question 71113.

71114

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

71114a

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

If a borrower has to pay back fixed amount regularly, e.g. pay back 1,000 baht/1000 VND 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/1000 VND for the first 10 months and 1,000 baht/1000 VND 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.

#### 71116 – 71117

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

If a loan has no interest rate, put '0' in 71116 and '1 (per year)' in question 71117. If a loan has an interest rate of 2% per month, put '2' in question 71116 and '2 (per month)' in question 71117. If the respondent does not know the interest rate, put '000' and keep your finger crossed and write comment "don't know".

71115a - 71115b If no payment has been made between 5/15 and 4/16 then put 0.

71119a This is the amount of cash or the value of goods that have **already been paid** back starting from the first payment time until the end of 4/16. If no past payment has been made before 3/16, then put 0.

71119b This is the amount including some parts of principal and interests that a borrower still owes as of end 3/16. If the loan has been fully repaid, put 0.

If the respondent does not know 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 4/16 | 19b: remaining debt as of end 4/16 | Note   |
|---|------------------------------------|--|
| 0   | 1500                               | No past payment is made before 3/16, i.e. 19b=1500 |
| 1500  | 0                                  | The loan has been fully repaid                     |
| 800   | 700                                | The loan has been repaid and still owes            |

71133 The purpose of this question is to determine if the household has totally repaid each loan in total or if it still owes some amount of the loan. The respondent's answer to this question should be cross checked with the amount of loan the households still owes (71119b). If 71119b greater than zero, then the answer to this question (71133) should be NO, whereas, the answer to this question should be YES, if 71119b is equal to zero.

71121 If the loan has no collateral or if the collateral is in the form of guarantor or work contract, then skip 711 21 unfilled (do not put 0 in these cases).

#### 71122 – 71124

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

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

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

#### *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 2/2011a household buys a car exclusively for private use. Shocks did not cause the purchase. The price of the car is 480,000 THB. The household agrees to pay 100,000 THB immediately and to pay monthly 6,300 THB for 5 years. The car is owned by the seller as long as the credit is not paid back. Additionally, some household's friends have to guarantee for the loan. The showroom is located in the nearby district capital. The household does not owe any other loans.



Answer:

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

| 71111   | 71112 | 71113 | 71114 | 71114a | 71114b | 71116 | 71117 | 71115a | 71115b |
|---------|-------|-------|-------|--------|--------|-------|-------|--------|--------|
| 52/2009 | 5     | 1     | 5     | 1      | 12     | 98    | -     | 75,600 | 12     |

| 71119a  | 71119b | 71120 | 71121   | 71122 | 71123 | 71124 | 71125   | 71131 | 71132 |
|---------|--------|-------|---------|-------|-------|-------|---------|-------|-------|
| 321,300 | 56,700 | 5     | 480,000 | 3     | -     | -     | 02/2011 | 3     | 15    |

Notes:

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

71112: The duration of the loan is the whole time from the start of the loan until the end of the loan. The reference period does not play a role for answering this question.

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

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

71115b: The household pays monthly during the reference period. We do not have information of late payments. Thus the correct answer is 12.

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

71119a: The household pays monthly starting from 2/2011. This yields 51 payments until the end of 4/2016. We do not have information of late payments. Thus the correct answer is 321,300 THB (51 x 6,300 THB).

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

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

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

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

## 7.1. B: Lending

*General Instructions:*

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

## 7.1. 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 put code C = 9 and 10 in v71510b and v71510c, respectively. If there are two sources, put code C = 10 in v71510c. Make sure not to confuse reason and source of savings.
- 71511 This question may be simply asked as '**why do you/your household save?**' Record the most important reason in 11a, the second most important in 11b and the third most important in 11c. If there is only one reason, put that reason in v71511a, put code D = 14 and 15 in v71511b and v71511c, respectively. If there are two reasons, put code D = 15 in v71511c.
- 71512 Record the bank account in a descending order of amount. If a household has more than 4 bank accounts, then record the bank account with the largest amount in bank account 1, the second largest in account 1, the third largest in account 3, the fourth largest in account 4, and sum up the rest in roster 5.
- 71514 This is the account balance as of today (approximately as of 4/16). 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 4/16.
- 71515 This is the account balance about a year ago (approximately as of 5/15). If a household has not updated the bank account up to 5/15, then record the available account balance as the date closest to 5/15. If the household owned 2,000 THB on April, 1 2015 on his bank account 71515 is 2,000 THB. To be clear: This question does not ask about the cumulative sum of payment throughout the year. 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 saving 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 (05/15-04/16) 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 71514 and 71515. If the household does not know the interest rate please put in 98. Do not assume any interest rate even if it 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 A: Public transfers and other payments

#### *General instructions:*

- Please state the number of public and other payments the household received between 5/15 – 4/16 to create roaster(s). If HH state 2 payments during the reference period, 2 roasters will show up.
- Start to ask questions roaster by roaster.
- 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
- Make sure that, 1. the income you record here is from a governmental institution or an NGO and 2. the household did not pay contributions to be entitled to receive the transfer. The latter would refer more to a private or government insurance and is recorded in the next section.
- Each roaster 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 roasters. If the household as a whole, not a single member, received a transfer, then put the member ID of the household head in v72101, and record the relevant information in that row
- Ask row wise.

#### *Specific Instructions:*

- 72102 Try to identify the public transfer program exactly in the Code. In case the transfer received does not correspond to any of the specified programs in the code identify exactly, whether the program is a government program (80), a commune program (81), a project of donors (70) or any other payment (90). Use the regarding code number in the questionnaire and specify/describe exactly the name of the program or the purpose/reason of the payment in the following question.
- 72102a Please Specify whether the type of transfer is in-kind, in cash or a mix of both.
- 72103 Record the amount of transfers received in THB/1000 VND. If the type of transfer is in-kind, estimate its value and put the estimation in v72103. If the transfer is a mix of cash and in-kind you estimate the total value and put the estimation in v72103. Record the actual amount of transfer received not the amount that the person is supposed to receive.

There are a few cases where a household member received a transfer less than he/she is supposed to get. (For Thailand: Most of these cases are cash transfer from 'support to the elderly fund'). The payment is sometimes delayed.

72106 Please fill in the month in numbers, e.g. 4 (for April).

72107a-b Please record the month and the year the household received payment for the very first time. Please fill in the month in numbers, e.g. 4 (for April). If the first payment happened a long time ago and the respondent has difficulties to remember, you should focus on finding out the correct year at least. Then you put 0 or an estimate for the season (e.g. "after harvest season") for month.

72108 Ask the respondent, whether the received payment has to be paid back. If the money has to be paid back in any case, code 1. If the money has to be paid back only partly or under certain conditions, code 2. Please ask exactly, whether there are conditions under which the payment has to be paid back. Especially ask in the case of scholarships. For example, in some cases they might have to pay the scholarship back if they earn above a certain annual income, but not if they stay below this threshold. Specify exactly!

If HH reports more than 1 public transfer/other payments, PLEASE DO NOT FORGET TO CONTINUE ASKING THE OTHER ROASTERS !!!

After you finished asking information about payments in each roaster, go back to overall page of section 7.2 A, you will see following questions about rice, other crops and non-farm business support programs

72109 – 72011a

We would like to know whether households registered for any government support programs for rice, other crops and any non-farm/business. For example: in past years, Thai government offered income guarantee insurance for rice, cassava and maize farmers. In Vietnam, the government also offers input support program for rice farmers (sometimes other crops) e.g. 60 percent of fertilizer cost or lower price of new rice variety.

Please be careful that we would like to know how much households got paid from the support program(s) they participated, especially rice we would like to know for 3 years reference period.

## **7.2 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).
- Ask HH for how many insurance arrangements that HH has at the moment to create roaster(s).
- Each roaster 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 roasters. If the household as a whole, not each member, enrolls in insurance scheme, then put the member ID of household head in V72204. Please ask roaster wise.
- From 72205-32 will be recorded only for insurance arrangements the household maintains at the moment. These exclude the free health card (TH).

*Specific Instructions:*

- 72202 Please read out the types of insurances. This question only refers to official insurance arrangements with the government, a government agency, a private company, etc. Any contributions the household makes to an informal or local insurance club are not included in this question.
- 72205 Attention! Please make sure, that you specify the type of insurance exactly in terms of whether it is an insurance offered by the government / a government agency or by a private insurance company. Note that some of the items are listed twice (e.g. health insurance, crop insurance), one item under “Insurance offered by government” and one item under “Insurance offered by private company”, respectively. Make sure that you code exactly!
- VN: Code B “3” and “4”. “4” means a health insurance which covers costs caused by physical disabilities.
- 72205a Be careful: in case the household did not pay a premium for the insurance you have to ask whether someone else (e.g. the employer) paid for the insurance.
- 72209 This question refers only to the amount of premium the insured paid between 5/15-4/16. If an insured has not paid any premium between 5/15-4/16 or if the employer paid the premium, put 0 in in this question.
- 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 insured has never received any compensation between 5/15-4/16, then put 0 in this question.
- 72230 Please ask the respondent if insurance membership is mandatory or voluntary. “Mandatory” means that the insurance membership is required by law or that it is obligatory for the household to have insurance whether it wants or not (e.g. household member working for non-state business with more than 10 employees or state enterprises etc.).
- 72231 This question wants to ask whether the insured has to pay for his costs in advance which will be later reimbursed by the insurance company (e.g., an insured household goes to a doctor to get a medical treatment and is required to cover the cost which should be paid by the insurance company and gets reimbursed later by the insurance company).
- 72232 The purpose of this question is to find out whether the insured has to make a copayment. “Copayment” refers to a payment owed by the insured at the time a covered service is rendered, covering part of the cost of the service. It is usually a pre-determined amount set by the insurance company that the insured will pay prior to receiving services and it is often associated with physician office visits.

## 7.3 Taxation

### 7.3.A: Tax payments

#### *General Instructions:*

- The purpose of this section is to obtain information on the perception of tax payments, the actual taxes paid, and potentials for future tax increases.

- Since this section only focuses on taxes it is important to be aware of the differences between taxes and fees. While the public administration uses taxes to gain revenues and use them for different purposes (e.g. salaries for public employees and providing public goods), fees are paid for a definite service in return (e.g. irrigation of land).

*Specific Instructions:*

- 73001 For this question, interviewers have to read out the answering choices code 1-3
- 73002 If the respondent is not sure please give the House tax and the Personal Income Tax as examples. Note that this is only a “yes”/“no” question. If the answer is “no”, proceed with the next subsection. If the answer is “yes”, proceed with the following questions “how many taxes did your HH pay?” to create roaster(s).

Ask following questions roaster wise.

- 73004 Be aware that there are country specific taxes in the answering code. Please use “Excise tax” in Thailand and “Special sales tax” in Vietnam for tax type 6. On the other hand, the “Signboard tax” only exists in Thailand. Furthermore, if the household has paid more than six types of taxes please list those with the highest payment contributions.  
Value added Tax is paid by the HH who has business.

- 73005 If the household does not know the exact amount please list an approximation.

Back to the overall sub-section 7.3.1 page, you will see the last question.

- 73007 The purpose of this question is to examine whether the total amount of tax payments in the last year did place a big, small, or no economic burden on the budget of the household.

### **7.3.C: Future Taxation**

- 73301 Please look at the interviewer instruction written on the right hand side of the answer box. Please read out code E 1-3.

## **Section 8: Household Expenditures**

*General instructions:*

In this section, we would like to know how much HH spent on each food and non-food items during the reference period (5/15 – 4/16). Household includes all members mentioned by the respondent in section 2.1!. Some items will be ask for approximate expenditure per MONTH and some will be annual basis (Please be careful with the unit).

- Only use local currency
- And exclude durable goods from the estimation (these should be filled in Section 6.2 if above 5000 THB)

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

- 8A- Food
- 8B- Non-food
- 8C- Transport and communication
- 8D- Education
- 8E- Health
- 8F(a)- Social
- 8F(b)- Bribe

Before asking roaster 8F(b), please slowly read the statement “Sometimes, government officials , police officers or business partners, ask people (or expect people) to pay a bribe for their service. This includes cash and in kind payment e.g. invitation for dinner, nightclub. How much did you have to spend...? (These questions might be sensitive for some HH, so in case other people are around just speak in a low voice.

60 Bribery / corruption - police

61 Bribery / corruption - government officer

62 Bribery / corruption - business partner (these partners like trader are mostly private...a public business partner would be really an exception and we would ignore it here)

#### 8G-Total

Total expenditure for each group should only be filled in, if the respondent is not able to give details. However, try to get information on expenditure of each items in the rosters above and avoid using total expenditure in this roaster

Click each roaster and ask the expenditure HH spent on each item. After finish asking one item, please click “TO PARENT”, the program will be back the previous page allows you to ask the following items.

#### *Specific Instructions:*

- 80000      Item ID.: Fill in consecutive numbers only for expenditure items that the household actually spent money on. For each item please continue with the I.D. code that chronologically follows the last I.D code in the previous roster
- 80001      Line 38: This line can be used for additional educational costs, such as kindergarten. Please ask for these costs.
- 80003      Please ask this question only for food and drink items, i.e. only for lines 1 to 11.
- 80009      Enter 0 if the household rents its house, but does not have to pay a rent.  
If the household is the owner of the house, fill “000” in v80009 and click this answering box for a second, the box called YOUR COMMENT will pop up, please make note that “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: Household wealth and housing conditions**

### **9.1: Household Wealth**

#### *General instructions:*

- Read out assets *and tick on items that household has*
- The selected items will show up as roasters and please ask Q2, Q3, Q4, Q9 and Q8a in each roaster

#### *Specific Instructions:*

- 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.
- 91008 Fill in the three major reasons why the respondent thinks rich people have high incomes. Please fill in the answer in order of importance. If household report only one reason, fill in code B=13 and code B=14 in Q8b and Q8c, respectively.
- 91009 Fill in the three major reasons why the respondent thinks poor people have low incomes. Please fill in the answer in order of importance. If household report only one reason, fill in code C=13 and code C=14 in Q9b and Q9c, respectively.
- 91010 Question refers to the people with whom the households compare themselves with when they compare their standard of living.

## 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)
- 92016 Question refers to value of the houses recorded in 92000, excluding the land it/they are built on. Be sure the amount seems plausible.  
You may help with the respondent to estimate the value by asking the following questions:  
If you were to sell this house today how much do you think can you earn? Ask for approximate value in case house was to be sold to a rich person from the village or from the next town.
- 92017 Fill in the three major improvements that the respondents made on their house since 2010. Please fill in the answer in order of importance based on the amount of money spent on the improvement.
- 92018 Fill in the amount of money spent on house improvement in total. Vietnam: Be careful, reporting units are 1000 VND!
- 92019 We would like to know the major device used in terms of time it is being used. For example if the smartphone is used for 2 hours every day by the kids and the computer for 1,5 hours by the adults, please indicate the smartphone.



92020 & 92021:

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