EGERTON UNIVERSITY
TEGEMEO INSTITUTE OF AGRICULTURAL POLICY AND DEVELOPMENT
and
Michigan State University

TEGEMEO AGRICULTURAL POLICY RESEARCH ANALYSIS

TAPRA HOUSEHOLD SURVEY
YEAR 2007 DATA COLLECTION MANUAL

July, 2007

TEGEMEO AGRICULTURAL POLICY RESEARCH ANALYSIS PROJECT
TAPRA HOUSEHOLD SURVEY 2007

SURVEY 2007 MANUAL

This is a survey conducted by **Tegemeo Institute** of Agricultural Policy and Development, a policy research Center of **Egerton University** in conjunction with **Michigan State University.** The main objectives of the survey are:

1. Monitoring trends in growth and performance of the agricultural sector in Kenya. This involves:

- Assessing the direction and magnitude of change in agricultural productivity.
- Identifying the major factors affecting changes in agricultural productivity.
- Assessing the impact of market reform on household welfare.

2. Identifying cost effective strategies likely to promote future agricultural intensification and productivity growth in Kenya's agricultural sector in the post-reform period.

3. Identifying key household income indicators that could be used to monitor changes in incomes levels as a result of policy changes and public investment. This could be used to inform debate on poverty reduction strategies.

Scope and Coverage

The overall survey covers 24 Districts in Kenya within which are 39 Divisions and 120 villages with a total sample of 1550 households. A first round of the survey was carried out in 1997, with 1540 households, followed by repeat surveys in 1998 where 612 households were interviewed, then again in 2000 where 1512 households were interviewed and in 2004 where 1397 households were interviewed.

The survey instrument covers the following question areas: -

- Identifying variables
- Crop inventory, Main /short crops
- Field characteristics
- Labour inputs for hired and family
- Maize seed planted
- Fertilizer purchases
- Credit for agricultural and non-agricultural production
- Cash credit
- Food Security and maize stocks
- Access to basic infrastructure
- Purchases for home consumption
- Livestock revenue/output
- Demographic information, business & informal labour activities
- Agricultural assets, Perception questions
- Previous deaths in the household

1. ORGANIZATION OF THE SURVEY

Structure

The Survey field operations will be organized as follows:

Survey Manager

The major task is to coordinate all the survey activities by servicing the various teams. The survey manager shall be the ____________ assisted by _____________. He/She shall be in charge of the recruitment process and budgeting.

Trainer/Supervisor

The training program shall be conducted by trainers from Tegemeo Institute who shall oversee the training process and field operations in the province. He/She shall be in charge of carrying out supervision of field work. His/Her duties and responsibilities are outlined below.

Interviewer (Enumerator)

He/She shall carry out the administering of the questionnaire with sampled households the selected Districts.

Data entry clerk

Shall be responsible for receiving and sorting questionnaires, data entry and data verification.

Reporting System

In the operation of this survey, a clearly defined reporting system is very crucial. This means a bottom-up and top-down reporting system has to be adhered to strictly.
The following is the reporting system to be followed:

The interviewers shall report all the problems being encountered in the field to their supervisors quickly. The supervisors in turn shall offer solutions to their problems.

Where the supervisor has no solutions to the problems, he/she shall report to the survey manager who will liaise with other personnel for possible solutions.

2. DUTIES AND PERFORMANCE OF ACTIVITIES

Survey Manager

The survey manager will be in-charge of the overall operations. His/her duties and responsibilities will be mainly administrative. He will be required to see to it that the field operations run smoothly. This entails attending to problems and making quick decisions.

Duties and responsibilities

- Oversee the survey operations in all the districts and ensure that the survey program succeeds.

- Mobilize adequate transport for the survey operations.

- Monitor the recruitment of Interviewers by ensuring that proper procedures are followed.

- Ensure that all field staff have been trained and deployed in accordance with the survey program.

- Provide logistical and administrative support to Trainers in the training of Supervisors and Interviewers and during the field operations

- Arrange for adequate transport for the survey operations and ensure that adequate fuel, oil, and lubricants are distributed to the districts on time

- Facilitate deployment of Supervisors and Interviewers to their work areas after training

- Ensure that all the survey materials are distributed to the districts in adequate amounts and on time.

Trainer/Supervisor

The **Trainer** will help in the recruitment process, training program and field operations. Specifically, the trainer will perform the following duties and have responsibilities:-

- Help to recruit Interviewers

- Develop and implement a training program

- Train Interviewers and oversee the training program

- Allocate Villages to Interviewers.

- Deploy Interviewers to their respective work areas in the province

- Work closely with the survey manager in all matters pertaining to the survey operations

- Ensure complete enumeration of sampled households

- Attend to technical and administrative problems

- Report on the progress of the Survey to the Survey Manager from time to time

- Hold occasional briefs with the Interviewers

- Ensure that all questionnaires are properly edited, accounted for, batched and dispatched to the main office

- Ensure that all other survey materials such as manuals, pamphlets and questionnaires etc. are returned to the CSO provincial office.

- Perform, as the situation will demand, any such duties that will facilitate as far as possible the smooth execution of the survey activities.

Supervisor

Supervision of Interviewers is very important in the whole survey process. His/Her role is to act as the link between the Interviewers, who will be conducting the actual interviews in the field and the Survey organizers. The supervisor will be required to:

- Lead and guide Interviewers, seeing to it that they are performing their work according to instructions.

- **Ensure that interviewers go to the same households that were interviewed during the 2004 Survey, and verify cases of non-contact and dissolved/ moved households**.

- Check each completed questionnaire for completeness and consistency before submitting the questionnaires to the master trainer.

- Carry out the day-to-day supervision of enumeration work.

- Ensure that each person taking part in the survey under his supervision carries his full load of work and that all work is completed quickly and accurately as specified by this manual.

- Perform, as the situation will demand, any such duties that will facilitate as far as possible the smooth execution of the survey activities.

- Good performance will depend on how closely interviewers are supervised, correcting mistakes as they occur.

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- Prices for centrally marketed commodities are to be collected by the supervisor. Those commodities are: coffee, tea and industrial sugarcane, and others as required.

Interviewer (Enumerator)

Field interviewers are the eyes and ears of the data collection team. The interviewer serves as a link between those who analyze and use the data and the respondents who furnish the data. The information collected in any survey is only as good as the interviewers working on the survey. Quality depends on all interviewers following the same procedures. Only when the same techniques have been used for all interviews can the data be effectively analyzed and interventions confidently implemented.

(a) Ethics and Rules of Conduct of Interviewers

As an interviewer, it is your responsibility to **keep completely confidential** anything you learn and observe during an interview. Never disclose any facts about anyone you interview to someone else. Respondents should be told that the information they provide will be used in statistical form only and that their names will not be associated with their answers when the data are analyzed.

Things You Must Do

- You must introduce yourself on every visit and explain to the respondent the reason for your visit before starting the interview.

- You must read and intensively study your manual to become thoroughly familiar with its contents in order to do your work efficiently.

- You must ask the questions in exactly the same way to each respondent and in the same order in which they are presented in the questionnaire, since, if the interviews are to be comparable the question order needs to be standard from respondent to respondent.

- You must make every effort to write legibly, and keep the documents you are working on clean and free from damage.

- You must attend to all `call-backs' as early as possible, and must be punctual in keeping all appointments made.

- You are solely responsible for all documents issued to you in connection with the survey, and you must ensure that they are secure at all times. Remember that absolutely no one not employed by Tegemeo to work on this survey can be allowed to see the information you collect, nor must you discuss such information with anyone.

Things You Must Not Do

- You must not solicit or permit any unauthorized person to assist you with your work. No matter how intelligent they are, they will not have had the training you have nor the authority to participate in interviewing.

- You must not combine with the survey work any canvassing for personal gains, church, political party or any other organization.

- You must **NEVER** become involved in religious or political discussions while you are on the job.

(b) List of Basic Duties and Responsibilities

You, the interviewer, are the key to the success of the survey. You alone have a direct influence on the accuracy of the data collected. Since it is more practical and economical to concentrate on collecting accurate data than correcting inaccurate data after collection, you must make every effort to become familiar with this survey and follow its instructions carefully. It will be of utmost importance that you:

- Attend the training course and all other scheduled meetings.

- Study this manual very carefully and remember the main points which are explained here. Become fully familiar with the questionnaire.

- Complete all the data collection activities as required.

- Review each completed questionnaire for accuracy and completeness.

- Submit completed questionnaires to your Supervisor as promptly as possible.

- Enumerate all the households sampled in the area

- Ensure that all survey materials are looked after properly and returned to the supervisor after the survey exercise is over

- Perform any other functions which the supervisor may assign from time to time

- Keep all information received completely confidential.

At times you will find that the actual situation in the field will make your job somewhat difficult. For example, you may run out of pencils or your mode of transportation may break down temporarily. It is very important that you do not allow these obstacles to stand in your approach to this job. You should seek common-sense solutions to the kind of difficulties you are sure to encounter. If you are temporarily out of pencils, for example, borrow one from a friend; or if your transportation breaks down, consider another form of transportation until you are able to have it repaired.

It will be up to you to find temporary solutions to the problems you face until a more permanent solution is found.

(c) Timeliness of the submission of questionnaires
Prompt submission of the questionnaires is absolutely crucial for timely processing. If submission of the forms is delayed, it will be impossible to process them on a timely basis. The value of the data for planning and decision making is directly related to its timeliness.

3. GENERAL INTERVIEWING PROCEDURES

3.1 Preparing for the interview

There are four important steps that must be taken before you visit the household.

Reviewing the Interviewer's Manual
This includes reviewing the general interviewing procedures, the specific field procedures and the question-by-question instructions.

Reviewing the Questions on the Survey Questionnaire
Before you begin interviewing, practice using the questionnaire to build up your confidence. A successful interview requires an interviewer who fully understands the survey questionnaire and can use it easily and correctly. Stumbling through the questionnaire (losing your place, shuffling papers, etc.) can disturb the person being interviewed.

Organizing Survey Materials
Be sure you know what survey materials you need and that you have them with you before going into the field to interview.

Appearance and Behavior
The first thing a respondent notices about the interviewer is his appearance. It is important to create a good impression by being polite, neat and courteous.

3.2 Establishing a good relationship

A comfortable relationship between the interviewer and the respondent is the foundation for good interviewing. The person's impression of you during your visit will largely determine the atmosphere during the interview. If you seem bored, uninterested or hostile, the respondent will probably act in a similar way.

Remember that persons tend to react favorably if they think the interviewer is someone with whom they will enjoy talking to. This means that you have to impress the respondent as being someone who is friendly and understanding. Through your behavior you can create an atmosphere in which the respondent can talk freely.

3.3 Using the survey questionnaire and asking the questions

The goal of the interview is to collect accurate information by using the questionnaire and following standard interviewing practices. To reach this goal, the interviewer needs to understand the survey questionnaire, including how to ask the questions, how to follow the instructions in the questionnaire and how to identify the various types of questions.

In asking the questions, observe the following rules:

Remaining Neutral
You must maintain a neutral attitude with the respondent. You must be careful that nothing in your words or manner implies criticism, surprise, approval, or disapproval of either the questions asked or the respondent's answers.

You can put respondents at ease with a relaxed approach and gain their confidence. The respondent's answers to the questions should be obtained with as little influence as possible by the interviewer. Another interviewer should be able to obtain the same answers as you.

The questions are all carefully worded to be neutral. They do not suggest that any answer is preferable to another. When a respondent gives an ambiguous answer, never assume what the respondent means by saying something like `Oh, I see, I suppose you mean ..., is that right?' If you do this, very often the respondent will agree with your interpretation, even though it is not correct.

Asking Questions in the Order Presented
Never change the order of the questions in the questionnaire. The questions follow one another in a logical sequence; to change that sequence could alter the intention of the questionnaire. Asking a question out of sequence can affect the answers you receive later in the interview.

Asking Questions as Worded
Do not change the question. If the respondent does not seem to understand the question, simply repeat it. In order that the information from the questionnaire can be put together, each question must be asked in exactly the same way by each respondent.

In some unusual cases, the respondent may simply not be able to understand a question. If it is apparent that a respondent does not understand a question after you have repeated it using the original language, you can rephrase it in simpler or colloquial language. However, you must be careful not to alter the question when doing this.

Sometimes, respondents will ask you to define words in a question or explain some part of a question. When this occurs, consult the `Specific Data Collection Procedures' in Chapter 5 of this manual. All the important words and terms are defined there. If a word is not defined, tell the respondent to answer using his or her own definition. Say, `Whatever it means to you - just answer that way.'

Avoid Showing the Questions to the Respondent
Respondents can be influenced by knowing what questions are coming next or by seeing the answer categories which are not asked together with the questions.

Avoid Pausing for a long time to write the answer
If you pause, the respondent will be left wondering what is to come. Try to make the interview an enjoyable conversation so that there is a flow from question to question.

Use simple kiswahili.

3.4 Instructions in the questionnaire

In addition to the questions you must ask, the questionnaire contains instructions for you, the interviewer. The instructions are for you to use the questionnaire correctly and must be followed closely.

'Skip' Instructions
`Skip' instructions usually are written out. You must read the `Skip' instructions with care, so that you do not skip questions which should have been asked. Likewise, it is important that you skip to the correct question when necessary. If you are careless, you may skip some questions incorrectly and miss some essential questions. When questions are not asked because of a `Skip' instruction, leave the response boxes blank. The questionnaire has a good example of an important skip pattern.

EXAMPLE: Question 1.1:

INTERVIEWER:

Is anyone in this household a member of any co-operative or group? ***1=Yes 2=No -----> Go to Q 13***		GRPMEM

A 'No' response leads to Question 13 as indicated by the instruction to the right of the 'No' .

Question-specific Instructions
In addition there are `question-specific' instructions for you in the questionnaire. These instructions usually alert you to a consistency check that has to be made at the time of the interview, or tell you how to record an answer. In all cases, these instructions are bolded.

3.5 Probing

(a) Probing and Why It Is Necessary

Probing is the technique of questioning by the interviewer to obtain a full, complete and relevant answer. An answer is probed whenever it is not meaningful or complete, that is when it does not adequately answer the question.

In everyday social conversation, people normally speak in vague and loose terms. Therefore, it is understandable that respondents may at first answer questions in a way which is not clear or specific. It is essential, however, to encourage respondents to express themselves more precisely and in very specific terms.

Respondents sometimes miss the point of a question. They will provide an answer of a kind but they do not answer the question. It is easy to be misled by a respondent who is talkative and gives a full and detailed response - a response, however, which is quite beside the point and irrelevant. In most cases, respondents give an irrelevant answer because they have missed an important word or phrase in the question.

Sometimes, respondents will think that they are answering a question when all they are doing is simply repeating an answer which was already given, or repeating parts of the answer. A respondent can talk a great deal and still be merely repeating the already given answer in different words.

Probing therefore, has two major functions:

1. To motivate respondents to expand upon or clarify their answers;
2. To make the respondent's answer precise so that irrelevant and unnecessary information can be eliminated.

Probing must be done without introducing bias or antagonizing the respondent. Respondents must never be made to feel that you are probing because their answer is incorrect or unacceptable.

(b) Understanding the Intention of the Questions

The kind of probe to use must be adapted to the particular respondent and the particular answer given. There are some general types of probes that are frequently useful but the most important point is to avoid getting into the habit of using the same probe. Instead, you must seek to understand what the intention of each question is, so that you will always know in what way a particular answer falls short of being satisfactory. The probe, then, should be devised to meeting this gap. This will require ingenuity, tact and persistence.

(c) Neutral Probing Methods

It is always very important to use neutral probes. By `neutral', we mean that you must not imply to the respondent that you expect a particular answer or that you are dissatisfied with an answer.

The reason for probing is to motivate the respondent to answer more fully or more precisely without introducing bias. Bias is the distortion of responses caused by the interviewer favouring one answer to another.

EXAMPLE of a biased probe:

How much of this crop did the household sell for cash and/or barter for goods or labor since June 2006?

ANSWER: 50 or 60 bags.

IMPROPER PROBE: Oh, you mean 60 bags?

(This improper probe is pushing the respondent to say 60 bags when it may be 50 bags!)

PROPER PROBE: Was it 50 or 60 bags?

Some respondents have difficulty putting their thoughts into words. Others may give unclear or incomplete answers; still others may be reluctant to reveal their attitudes. You must deal with such factors and use procedures which encourage and clarify responses. The following kinds of probes might help you obtain more accurate responses.

<u>Repeat the Question</u>
When the respondent does not seem to understand the question, when he misinterprets it, when he seems unable to make up his mind, or when he strays from the subject, the most useful technique is to repeat the question just as it was asked the first time.

<u>An Expectant Pause</u>
The simplest way to convey to a respondent that you know he has begun to answer the question, but that you feel he has more to say, is to be silent. A pause - often accompanied by an expectant look or a nod of the head - gives the respondent time to gather his thoughts.

<u>Repeating the Respondent's Reply</u>
Simply repeating what the respondent has said as soon as he has stopped is often an excellent probe.

<u>Neutral Questions or Comments</u>
Neutral questions or comments are frequently used to obtain unbiased, clearer and fuller responses. The following are examples of the most commonly used probes:

- Repeat question
- Anything else?
- Any other reason?
- How do you mean?
- Any other?
- Could you tell me more about your thinking on that?
- Would you tell me what you think?
- What do you mean?
- Why do you feel that way?
- Which would be closer to the way you feel?

These probes indicate that the interviewer is interested and they make a direct request for more information.

(d) Asking For Further Clarification

In probing, it will sometimes be useful to appear slightly puzzled by the respondent's answer and intimate with your probe that it might be you who failed to understand. For example, `I am not quite sure I understand what you mean by that - could you please tell me a little more?' This technique can arouse the respondent's desire to co-operate with someone he thinks is trying to do a good job. It should not be overplayed however, otherwise the respondent will get the feeling that you do not know when a question is properly answered. Occasionally, a respondent will give an `I don't know' answer. This can mean any number of things. For instance,

- The respondent does not understand the question and answers `I don't know' to avoid saying he does not understand.
- The respondent is thinking the question over and says `I don't know' in order to fill the silence and to give himself time to think.
- The respondent may be trying to evade the issue, or he may feel that the question is too personal and does not want to hurt the feelings of the interviewer by saying so in a direct manner.
- The respondent really may not know, or may not have an opinion or attitude on the subject.

Try to decide which of the above is the case. Do not immediately settle for a `don't know' reply. If you sit quietly, but expectantly - the respondent will usually think of something to say. Silence and waiting are frequently your best probes for an `I don't know' answer. You will also find that other useful probes are, "well, what do you think?' or `I just want your own ideas on that'. If you feel that the respondent has answered `I don't know' because he was afraid of admitting ignorance, you should say that there are no right or wrong answers to the questions and that you just want the respondent's answer or opinion.

Likewise, if you think the respondent says `I don't know' because a question is too personal, you should remind the respondent that the survey information is confidential.

Always probe at least once to obtain a response to a "don't know" before accepting it as the final answer, but be careful not to antagonize the respondent or force an answer if he says again `I don't know'.

(e) When to Stop Probing

You should stop probing when you have a clear, relevant answer. However, if at any time the respondent becomes irritated or annoyed, stop probing that question. We do not want the respondent to refuse to complete the rest of the interview.

3.6 Controlling the Interview

While it is important to maintain a pleasant, courteous manner in order to obtain the respondent's co-operation, you must also be able to control the interview so that it may be completed in a timely and orderly fashion. For example, when answering questions, the respondent may offer a lengthy explanation of problems or complaints. In this situation, you must be able to bring the discussion to a close as soon as possible so that the interview may continue. Politely, tell the respondent that you understand what he is saying but that you would like to complete the interview. If necessary, you may try to postpone any outside discussion by saying `Please, let's finish this interview first and we can talk about that later'.

In some cases, the respondent may start to provide information about some aspect of his farm which is covered at a later time during the interview. Again, you must control the interview by telling the respondent that you must ask other questions first and that he should wait until later to provide information on that particular aspect.

During the interview another person from a different household may come in and start interrupting the interview and answering questions on behalf of the household. You should take control and remind that person that you are interviewing the owner of the household.

The respondent may need a few minutes to do something else during the interview, e.g. cook food for a child from school, run to the loo, tend to crying baby. Be sensitive to these needs, but draw the person back as soon as possible to continue.

3.7 Recording the Answers

Asking the questions correctly and obtaining clear answers is only part of your job. Equally important is recording the answers given by the respondents.

(a) Legibility

It should be obvious to you that all the entries you make in the questionnaire must be legible. If your Supervisor cannot read an entry, the questionnaire will be returned to you for correction. When this happens, much time will be wasted. Since you must spend a great deal of time to go to a household and obtain the information in the first place, why not take care in recording information so that no one else will have difficulty in reading it later.

All responses which require written words should be clearly printed in block letters rather than script. All numbers should be clearly written so that one number is not confused with another. Remember that the numbers will be used in both hand and computer calculations. If they are not legible, mistakes will be made in hand calculations and in entering the numbers on diskettes for computer processing.

(b) Recording information in the proper place

There are basically two types of responses required in the questionnaire i.e., writing words and recording numbers

<u>Writing words</u>

In some cases, you are required to write in the questionnaire; this may be the name of the head of the household, the village/locality name, or comments concerning the problems encountered.

To avoid the difficulty of reading script, you should print all words in block letters.

<u>Recording numbers</u>

Special care must be taken when entering numerical responses because they will be used in calculations and some will be keyed directly from the questionnaire for computer processing. Special care should be taken with some numbers such as a ‘1’ and a `7', a `4' and a `7', or an `8' and a `9' or an 8 and a 3 which can be misinterpreted.

Recording Fractions

In most cases, only whole numbers (for example: 4, 6, 7, 15, 21, etc.) will be recorded since this is the kind of information usually required. Sometimes, however, the respondent might provide you with an answer in fractions. This is especially the case with area. For example, if the respondent tells you that he has 2 ½ hectares of crop land which he cultivated during the 2003 agricultural season, make sure that when you record his answer, you convert it to decimal numbers. That is, change the fraction ½ to 0.5 and record 2.5 hectares. Never record a fraction, always convert it.

The following are some commonly used fractions and their decimal equivalents rounded to the nearest tenth.

¼ = 0.25 ½ = 0.50 ¾ = 0.75

a = 0.33 b = 0.67

Recording dashes

If the quantity reported is "0", record "0" for the quantity and "NẠ" for the unit. If question is to be skipped, place a dash in the field. Do not confuse dashes or NAs with zeros.

3.8 Interviewer comments/calculations

The only kinds of entries which should be made in the spaces provided for answers are writing names or recording numbers. If any other notes or explanations are necessary or if you must do some arithmetic, use the spaces around the table or below the questions. Do not make any comments or calculations inside a space provided for an answer. If you require more space for comments/ calculations, use any available space on the page with reference to the item number on which the comments/calculations are being made. The use of the spaces around the table for comments or calculations is very important.

If you have any problems of any kind in obtaining the information which is required, make a note explaining it in the open space available on that page.

An important phrase to remember is `When in doubt, write it out'. If you cannot understand what a respondent means, write out his response in the open space. This will be of great use to your Supervisor and to office staff in trying to resolve any problems in the questionnaire. Any arithmetic should also be done in the open space. When making a comment in the open space, always indicate the question to which the comment relates. If there are several parts to the question such as 1.1, 1.2, etc., be sure to indicate the part also of the question referred to.

All outside calculations done on the questionnaire to get an answer MUST NOT BE RUBBED. It helps to know exactly how the value was calculated if there is a problem with the data.

3.9 Ending the interview

It is important that you leave the respondent with the idea that you are grateful for his or her co-operation. After all the questions have been asked, thank the respondent and mention that his or her co-operation has been most helpful in providing the information for the survey. Also inform the respondent that you may possibly be returning to collect more information. At this point invite the respondent to ask you any questions that he/she might have. Answer where you can. If you do not know the answer(s), tell the respondent that his/her questions will be forwarded to a relevant person who can respond.

4. SPECIFIC DATA COLLECTION PROCEDURES

4.1 Introductory Statement

The interviewer is expected from the onset to identify him/herself and explain the purpose of the visit. The interviewer is not expected to read this statement word for word. The interviewer is expected to explain the purpose of the visit, the confidential nature of the interview, and the expected time the interview will take. The purpose of the interview is to collect data which when processed will provide information to assist with the formation of agricultural policy and to help policy makers to plan and make better decisions. The interviewer should not make promises. Just stick to the purpose.

4.2 Pre-entry of survey data

These questionnaires are personalized for each household in the sense that the interviewers are going back to the same households that were interviewed either in 2004. Selected data will be entered beforehand to guide the interviewer on issues the current survey is following up. Pre-entry of these data will take place in the evening before the household will be visited the next day. Each supervisor is expected to make sure that this pre-entry is completed prior to commencing interviews. In the process of establishing that the interviewer has found the correct household, he/she will use **sheet provided** to verify that that most of the members listed are still currently members of the household. If the respondent does not agree, the interviewer must conclude that the wrong household is being interviewed. The interview should be terminated and search for the correct household should be done.

Identification information
The hhid, surdate, and identifying variables will be pre-entered on each questionnaire. Please copy the relevant information from the sheet of paper that will be provided with the previous data onto the 2007 questionnaire. The Supervisor will assist the interviewer in completing these entries.

Copy the information from the sheet into the appropriate boxes on the 2007 survey instrument, as follows:

Identifying Variables – Page 1

The household number has already been assigned. Copy the **hhid** number to the appropriate place on the first page and on **each subsequent** page at the top of the page. In case the pages become separated from the front page, you will still know which household the page belongs to.
DO NOT REMOVE ANY PAGES FROM THIS PACKET.

Date refers to the date the interview is carried out and should be recorded as **ddmmyy**

Continue filling in the enumerator code, the supervisor code and the province through Village information.

A qualified respondent is an adult member of the household preferably over 18 years old who is knowledgeable about household activities including crops and livestock. A respondent may consult any other member of the household on different items of the questionnaire.

The codes for geographical location of the household (province, district, division, location, sub-location, village) should be copied onto this front page of the survey from the demography sheets provided. Indicate both the name and the code for each of the geographical services. Your supervisor will also provide codes for the enumerator and supervisor (you can fill in the names of the enumerator and supervisor).

GPS readings- the enumerator should record the GPS coordinates properly using the Degrees, Minutes and Seconds format. There are two GPS readings, one for latitude and one for longitude. The variable **HH1** records the latitude reading that is either North or South of the equator. The variable **HH2** records the longitude reading (which will always be East). The enumerator should also record the altitude in meters in variable **HH3**. GPS units will be provided for use and the enumerators will be trained on how to use them.

There will be no replacement done for this sample. Every effort must be made to locate the households interviewed in 2004.
If the enumerator is unable to locate the household, note in the **INTVIEW** variable the reason the household cannot be found. The supervisor for the area will then assist the enumerator to locate the household.

Page 2 – Crop Inventory and Crop Codes

Note that this page **must** be filled in, even though it lists all the crop codes. This is the first set of questions to ask a farmer to understand what crops he plants. The aim here is to quickly ask the respondent if each of these crops were planted in either the main season and/or the short season. Of course in some regions of the country, some of these will not be grown. Your supervisor will alert you to these. There is a column headed M for the main season and a column headed S for the short season. Record a 1 in either of these columns or both if the respondent grew that crop in those seasons. If the respondent did not grow the crop, leave it blank. For perennials, only indicate a 1 for the main season, leave the short season blank.

Page 3 - Q1.

TACRES – Q1a. Ask for the total land holding **OWNED** by the household. Land that is rented will be captured in the crops table. This includes homestead land, and is not just the acreage of land farmed. If the farmer responds in hectares, convert it to acres by multiplying by 2.47.

ATREE – Q1b – Ask about the area under trees in the farm. This must be trees planted in portion of the farm BUT not trees planted as boundaries in the farm.

MAINCROP – Q1.1 – Ask whether the household had any cropping activity during the main crop season in 2006/2007.

LEASE – Q1.1.b. – Ask about land that was leased out on the last main season 2006/2007.

RENT – Q1.1.c – Ask about how many acres were rented in the main season for 2006/2007.
FALLOW –Q1.1.c. Ask for land that was fallow/abandoned in the last main season for 2006/2007.

SHOTCROP – Q1.2 – Ask whether the household had any cropping activity during the short crop season in 2006/2007.

Pages 3 through 6 – Q 1.3 MAIN CROP 2006/2007, Q1.4 SHORT CROP 2006/2007.

This purpose of this section is to obtain information on the crops produced during each of the seasons. You will collect the number of fields, acreage, land preparation cost, seed type, fertilizer applied, crop production and sales.
Both main and short crop harvest should be recorded – Main crop information is recorded on pages 3 and 4, short crop information is recorded on pages 5 and 6. Information for a full cropping year is to be captured.
NOTE: **Harvest seasons differ across regions**. So make sure you can identify the relevant seasons. You can ask the farmer to identify the two seasons and then discuss the season where he got the larger harvest. When interviewing do not refer to the seasons in months, but instead in terms of the main and short seasons.

Definitions

Harvest seasons

Harvest	**Eastern**	**Western**	**R/ valley**
Main	Jan-March07 (plant in Oct)	July-Aug06 (plant in Apr)	Nov-Dec06 (plant in Apr)
Short	July-Sept06 (plant in Apr)	Dec-Jan07 (plant in Oct)	Vegetables (plant in Oct)

In Eastern, do not refer to seasons by the terms “long rains” and “short rains” as that will totally confuse farmers.

Parcel
A parcel of land can contain several different fields.
Field
A field is contained within a parcel of land. A field is defined as piece of land with a uniform crop mixture, e.g. maize alone or maize and beans intercropped in a uniform order. The field may have a boundary such as napier grass or a row of trees or bushes; however, in most cases the field will be defined by the uniformity of the crops dispersed within an area. If pure stand maize, for example, is grown in two separate areas that is two fields, not one.
Data to be collected about the field are: acres, land preparation cost, fertilizer information and tenure system. This information is to be recorded only once for each field.

Farm
A farm is defined as one parcel or several parcels in relatively close proximity and within the same Agricultural Ecological Zone (AEZ).

We are interested in the cropping information for the household. The household may own more than one farm. As long as the farms are located in the same AEZ, the information can be collected. If the farm is in another AEZ the income from the farm should be recorded in the Business and Informal Income table.

Refer to the crop inventory to know what crops were planted in what field. Record those crops. Then probe to see what other crops might be planted with this crop, if any. Usually that group of crops will be considered a "field".

You should probe to determine if the crops are together or in different areas. If some of the crops are elsewhere, then you would assign that group of crops to a new field number.

CROP. Write the name of the crop to the left of the column for "Crop Code". The crops will be coded later.

- Separate dry maize from green maize. Green maize should be in unshelled form.
- Separate coffee into cherry, mbuni and churned.
- Sugar cane is industrial or chewing
- Separate cowpeas, pumpkins into grains and leaves

FIELD. Remember, as you are recording the crops, you must decide what groups of crops are together and to define that as a "field". There should be a uniformity of crops with the area considered as a field. So always ask whether crops are planted together or on their own.

Always refer back to the crop inventory to see that you have captured all crops that were mentioned in the inventory.

ACRES – Ask the area of each of the fields. This information is to be recorded on the first line associated with a field. Subsequent crops in the same field should not have anything recorded in this column. So for each field, this variable should only be filled in once.

Measurement of the field

- Pacing is to be done and measurements converted into acres
  ((# of paces for length) x (# of paces for width)) / 4800.

The respondent should be given a chance to give acreage of each field, but the enumerator should pace the field to establish or confirm the acreage. This is possible for small fields, which are within the compound. If fields are very small and cannot be paced, please use an example of a nearby plot for comparison that can be paced.

For large pieces of land within the compound, which cannot be paced, the enumerator is to compare the respondent's measurements with his own knowledge of what the size of an acre is (this will be emphasized during the training). The same applied to irregular fields.

For land far away from home, the enumerator should rely on the respondent, but probe further using an example of a nearby plot to confirm the approximate size of the field.

If the respondent is unable to give the actual acreage for perennial crops like tea and coffee, check to see that the number of trees / bushes has been recorded in the inventory table on Page 2. Later the enumerator can compute the actual size of the plot using the formula: tea (3500 bushes/acre) and coffee (540 trees/acre).

- Tree crops like tea, coffee and mangoes will be recorded only in the main harvest. Tea prices includes monthly + bonus payment. Production information should cover the full 12 months.

- Conversion from hectares to acres – probe to be sure that the value being given is really hectares by asking for an example of plot that is similar in size. Conversion values to acres is: 1 hectare = 2.47 acres.

TENURE - Land tenure system is a field level question and should only be recorded in the first row where the acres are recorded for each field.

SYSTEM – ask for the watering system used on this field. Use the codes provided.

LANDPREP – Enter the **main** type of land preparation used on the field. This is a field level question and should only be recorded in the first row where the areas are recorded for each field.

LPCOST – This is a field level question and should only be recorded in the first row where the acres are recorded for each field.

- Land preparation cost is the **actual costs** incurred during land preparation for **<u>hired</u> labor, <u>hired</u> oxen and/or <u>hired</u> tractors.** (**NOTE: Do not include family labour.)**
- Land preparation cost for crops planted more than 1 year ago should not be included.
- If land preparation is done by a salaried worker, then do not include the cost here

SDTYPE – This is a crop level question and each crop should have information in this variable.

- For tree crops like tea, coffee etc, the quantity of the seedlings is equal to the number of trees in the field.
- Caution: Maize seed that has been purchased may not necessarily be "hybrid". Confirm the type of seed is really hybrid.

<u>Retained hybrid seeds</u>
Retained hybrid seeds are originally hybrid seeds that have been used and saved to be used as seeds over a long period of time.

SQT – Enter the quantity of the seed or seedlings/cuttings/splits.

SUNIT – Record the appropriate seed unit code.

SCOST – Record the cost of the seed/seedlings/cuttings/splits per unit specified only if it has been purchased this season.

PTREES - Only those fruit trees that produced fruits in the last cropping year will be captured

FT1, FT2, FT3 – record up to three different types of fertilizer that has been used for this crop

- If no fertilizer was applied then write "0" = none.

FQ1, FQ2, FQ3 – record the quantity of the fertilizer for each of the fertilizers applied. If there is not a second fertilizer, write "0", or if there is not a third fertilizer, write "0".

FU1, FU2, FU3 – record the appropriate unit of measure. If there is not a second or third fertilizer, put dashes in the column.

HVT – record the amount harvested. **DO NOT INCLUDE "POTENTIAL" HARVEST, only the amount actually harvested in the last main/short season or the last 12 months**. If the crop has not yet been harvested, enter –777.

- Napier/fodder harvest per year – the amount that can be harvested at one time should be obtained and note it on the side. Ask the number of times that the harvest occurs during the year and note this on the side. Multiply the two together to get total quantity. Be sure that the quantities given are in the same units.
- For crops harvested over a long period of time (e.g. tomatoes, French beans), total harvest over the period should be recorded.
- Shelled or unshelled – several crops may be reported as shelled or unshelled. Note what the form is so that a proper conversion can be done later.
  - Maize ratio 1 unit of shelled = 2 units of unshelled
  - Groundnuts ratio .3 unit of shelled = 1 unit of unselled.

HUNIT – record the appropriate unit of harvest.

- If quantity harvested is in a unit for which there is no code, estimate the number of kgs the unit is equal to and convert the quantity of the unusual unit to quantities in kgs. For potatoes the standard weight is debes; estimate the weight in debes and record the quantity in units of debe.

SOLD – record the amount sold.

SLUNIT – record the appropriate unit of sales. If amount sold is in a unit for which there is no code, estimate the number of kgs the unit is equal to and convert the quantity of the unusual unit to quantities in kgs. For potatoes the standard weight is debes; estimate the weight in debes and record the quantity in units of debe. Note that this unit can be different from the harvest unit.

MONTH – Record the month for the largest sale using the month codes provided (1=Jan… 12=Dec).

PRICE – record the price received for the **LARGEST** sale transaction.

- Price refers to price per unit sold. It refers to the unit of sales recorded in SLUNIT so make sure this is the case.

BUYER – record the buyer type for the **largest** sale.

KM – record the distance in kilometers from the homestead to the point of the **largest** sale.

SPOIL – for vegetables and fruits only – ask how much of the harvest **spoiled** so that it could not be sold or consumed by anyone. The quantity should be in the same unit as the harvest. **Do not include quantity that is given away**. Note that this refers to the quantity harvested that is spoilt not what was spoilt on the shamba.

As you fill out the main harvest table and the short harvest table, remember to cross check with the crop inventory on page 2 to be sure that all crops are specified in both tables. A crop may have been talked about in the crop table that was not recorded in the inventory. Go back to the inventory and add the information. Any crops listed in the inventory must be listed in either the main harvest or the short harvest. Check this before going on further.

Note: There are 2 pages available to enter crops for the MAIN CROP season and 2 pages avai1able to enter crops for the SHORT CROP season.

Page 7- Q2 – USE OF MAIZE SEED

This table asks about the maize seed that has been used during the main and short seasons. We have already asked about the seed type for maize in the crop table, but we would like to ask more detailed information about the variety, quantity and price. Refer to Table 1.3 and Table 1.4 to determine which fields contain maize. First, record the first field and season and then begin with the specific questions about the variety of maize.
Note: More than one variety of maize can be planted in the same field. Make sure you double check this with the respondent. If only one variety is planted in a field, please cross check this data with earlier data from the crop table. For the cases where more than one variety is planted per field, this table is where you separate those. You can have more than one entry for each field here.

FIELD – record the number of the field where maize was planted.

HARVEST – record the season, 1 = main, 2 = short.

CROP – record the crop (since this is about maize it will be either 1=dry maize, 2=green maize, 4=fodder maize). Only when most of the maize is harvested green use the green maize code.

SDVAR – record the type of maize seed that was planted. If the type does not appear in the list of codes below the table, write the code "30" and write the type of seed that was specified. If the respondent only knows the company but not the specific variety, record the company name.

SDTYPE – record the type of seed

SDOBTAIN – record the process used to obtain the seed (use the codes provided)

SOURCE – record the source of the seed (use the codes provided at the bottom of the page)

QTY – record the quantity of seed used on this particular field

UNITS – record the appropriate unit for the quantity received

For the next variables there are 3 options:

1. If the seed was obtained by **cash or credit**, fill in only **one of the following fields,** not both:

    PRICE – If the VALUE variable has been filled, place a 'dash" in the price column. Otherwise, fill in the price per unit corresponding to the unit specified for the quantity of seed.

    <u>OR</u>

    VALUE – If the respondent knows the total value of the quantity received, enter that value in the column headed VALUE. If the respondent does not know, place a "dash" in the column.

2. If the seed was **exchanged** get the cost equivalent
3. If the seed was **free** do not fill in any of the fields asking for cost, leave all these blank.

Page 8 – Q3 – Credit

CASHCRD – Q3a- Ask if the household tried to obtain **cash credit** during the 2006/2007 year. If the answer is Yes, move to question 3.b, If the answer is no, move on to question 3g.

CASHRD –Q3b- Ask if the household received the cash credit. If yes, go to on to the next question. If no, then go on to Question 3g.

CASH – Q3c – If the household received cash credit, ask how much they received

Q3d – Ask for the two main sources of this cash credit and the amount received from each (use the codes provided). These are to be recorded under **CSRC1, CSRC2, CAMT1 CAMT2**.

MAINPUR – Q3e Ask how the credit received was used (whether for agricultural or non-agricultural purposes or both). If credit used for agricultural purposes only, go to question 3.g but make sure you then fill in table Q3.k. If used for non-agricultural purposes only go to question 3g but make sure you fill in the table in Q4. If used for both agricultural and non agricultural purposes, go on to Q3g but make sure both tables in Q3k and Q4 are answered after completing this page of questions.

NCASH – Q3f – This should be asked for anyone who tried to get cash credit but did not receive it (see the skip codes explained above too). Ask the reason why the household did not get the credit.

INKDCRD – Q3g – Ask if the household **tried to obtain credit in kind** e.g., maize grain, fertilizer, seed, etc over the 2006/2007 year. If the answer is yes, then proceed to the next questions. If the answer is no, then proceed to Q3k or Q4 as necessary or as determined by the skip rules above.

CRED – Q3h Ask if the household actually **received credit** in kind. Enter "1" if the response is yes, "2" if no. **Note that a situation of contract farming is a form of in kind credit.** If this is Yes, proceed to Q3i. If no, then proceed to Q3j.

FCREDIT –Q3i Ask what form the in kind credit was received (either agricultural inputs, household consumption or both). If the credit was agricultural inputs, proceed to Q3k, make sure you fill table 3.k. (it is for all input purchases, cash, cash credit or in kind credit). If it was household consumption, make sure you proceed to Q3k if needed (if the household purchased any inputs) but make sure you also fill table 4a. with respect to in kind non agricultural credit.

NCRED – Q3f – This should be asked for anyone who tried to get in kind credit but did not receive it (see the skip codes explained above too). Ask the reason why the household did not get the in kind credit.

Page 9 – Crop Inputs (purchased using Cash or Credit (cash or in kind))

Q3.k. For this table, you should record all the inputs which the household purchased using cash or any type credit. This is **not only** credit. It also record purchases in cash. Make sure you probe for some of these inputs like insecticides and equipment ("AT equip" means Agricultural Technology equipment). Remember to include any land preparation cost that was on credit. If the respondent received the same type of input, for example - 2 types of fertilizers, the code for fertilizer should be recorded on two different rows. The full details should be recorded for each row of that input.

INPTYPE – record the type of input. If the type is not in the list write out the kind of input. Note that there is a code here (code 54) for land preparation cost – only record this in the table if it was purchased on credit.

QBOUGHT – record the quantity received or purchased on credit.

UNIT – record the type of unit of measure for the input. For input from people, the unit “days” is available as a choice.

MDPURCH – record the mode of purchase, whether it is own cash, borrowed cash or in kind credit. Note that there is a code for the scenario where a farmer buys using some credit and some of his own money.

INPSORCE – record the source of the credit. If the source is not in the list, specify the source.

PUNIT – record the price per the unit that is specified

KMS –record the distance from the point of purchase to the farm in kms.

TRANCOST – record the transport cost per unit *(For fertilizers only).*

MCROP –establish the **main crop** for which the input was used.

INPAID – Ask how the credit **is** to be repaid (or was repaid if it has already been repaid).

Page 10 – Credit for Non-Agricultural Activities

Make sure you ask this table of questions for everyone who got credit for non agricultural purposes (refer back to page 8 if you need to). This can be cash credit or in kind credit. Make sure you fill all credit for non agricultural purposes on this table. Refer back to page 10 if needed.

CRDUSE – ask what was the use of the cash credit (remember this is non agricultural credit)

CTYPE – ask for the type of credit received (cash or in kind)

CRDSOR – Ask for the source of the credit (remember this is for the non-agricultural purpose specified in the first column under CRDUSE)

CVALUE – Ask for the value of the credit

REPAY – Ask how the credit is to be repaid (or was repaid if it has already been repaid).

Remember that there are still two text questions on this page. Do not forget to fill them in.
Before asking these questions, refer back to the crop table and check to see if the household used any chemical fertilizer. If they did not use any, then proceed to page 11 and Q5.

NOFERT - Q4b – Ask why the household didn’t use chemical fertilizer in the cropping year 2006/2007 (use the codes provided). Note that this is only chemical fertilizer and doesn’t include things like manure.

NFERMZ Q4c – if the household didn't not use chemical fertilizer **on maize**, find out why not.

Page 11 - LABOUR COSTS

SALFWRK – **Q5a.** ask the household how much was spent on salaried farm workers for both the main and short season cropping activities. The cost should reflect only the amount that was spent when the workers was performing cropping activities and not other activities.

The next questions and the table ask about the amount of labor spent (both hired and family) for the different cropping activities for the **largest monocrop maize field, otherwise the largest intercropped maize field** in the **main season**.
Ask about labour activities related to maize only. The activities have been coded in the table.
Ask about each of the activities that are performed from land preparation to the end of the processing of the crop and record the amount of labor required, either as hired, adult family labor and/or child family labor.

Always refer back to the maize field in question and the main season throughout these questions so that the farmer doesn't forget and start giving you general answers.

FIELD - Go back to pages 4 / 5 to find the **largest monocrop maize field (if there is no monocrop then the largest intercrop)**. Record that number in the **FIELD** variable.

SLOPE- Establish the slope of the maize field identified.

TPLANT – Ask if the maize in the identified field was planted on time. Note that there are three codes here. The farmer may understand early to be the same as on time. But they are not the same. Make sure you understand which of the two is relevant for this farmer.

SALLBR – ask if any of the respondent's salaried workers worked on **this** maize field in the **main** season. This is a filter question as if the answer to this is yes, then you will be expected to fill in the contribution of the salaried workers to this maize field below.

The next 4 columns ask about hired labor. If the hired labor is **on contract**, go immediately to LB04 and do not ask the questions LB01 through LB03.

LB01 – record the number of people hired for the specific labor activity.

LB02 – record of days these people worked on this specific labor activity.

LB03 – if the hired labor was by the day, record the amount paid in Ksh for each person per day.

LB04 – if the hired labor was paid on a contract basis, enter the total amount in Ksh that was paid.

Note: If any salaried workers worked on this maize field, check if they got paid in addition for their services. If they did, they should be treated exactly as hired labor.

The next 4 columns ask about the adult family labor and the last 2 columns the labor from the children. Be aware that if the respondent says that his child has performed the labor, verify that the person fits the definition of child (under 15 years of age) or adult (15 years and older). Example: the head of the household is 80 years old and will respond that his child has done the weeding. Since we've not yet filled the demography table, you will have to probe to see if the person is 15 years and older.

LB05 – enter the number of adult males (those members age 15 and older) who worked on this activity.

Then under "# of hours each", for each of the males mentioned in LB05, fill in the **total** number of hours (not hours per day) spent by that male adult on that particular activity. Probe for days spent on the activity by each male and then the hours per day (which can vary across the days) – then fill in the total hours spent by each male adult in each box in this column.

LB06 – this is to be filled in later, in the evening before the questionnaire is given to the supervisor. It is simply the addition of all the values in the boxes under "# of hours each" to get the total hours worked by the adult males.

LB07 – enter the number of adult females (those members age 15 and older) who worked on this activity.

Enter the hours worked by each female under "# of hours each", as was done for the male adults.

LB08 – this is to be filled in later, in the evening before the questionnaire is given to the supervisor. It is simply the addition of all the values in the boxes under "# of hours each" to get the total hours worked by the adult females.

LB09 – enter the number of children (those members younger than age 15, e.g. < 15) who worked on this activity.

Enter the hours worked by each child under "# of hours each", as was done for the male and female adults.

LB10 – this is to be filled in later, in the evening before the questionnaire is given to the supervisor. It is simply the addition of all the values in the boxes under "# of hours each" to get the total hours worked by the children.

Now if any salaried workers worked on this maize field and were not paid extra, their information on labor inputs needs to be filled in the next three columns.

LB11 – ask how many salaried workers were involved in each activity

LB12 – ask how many days each of these salaried workers worked on this activity (on average)

LB13 – ask how many hours per day each worked on this activity (on average)

Pages 12 – Food Security and Maize Market Access

The next several questions are looking at food security. We want information about stocks from the household's **own production**.

BAGSSTK – Q6.a. ask how many 90 kg bags the household had in it's own stock before the main season maize crop was harvested. The answer can be given in decimals, e.g. if the respondent says ¼ of a bag, then record 0.25. You should relate this question to the main harvest crop table. For example, in Eastern Kenya if the respondent did not harvest any maize during the short harvest and he gives an answer of 5 bags, then try to establish where he got the maize – it could be from another farm, bought or gift. If the answer given comes from some place other than the household's own harvest, you must record "0" and ask the next question

STKNOW – Q6.b. If the farmer has harvested maize in the most recent main harvest, ask how many 90 kg bags the household has in stock right now from their own production. The answer can be given in decimals, e.g. if the respondent says ¼ of a bag, then record 0.25 If the farmer did not harvest maize, record "NA".

MTHFIN, YRFIN – Q6.c. - If Q.6.b. is zero (no bags), then ask what month and what year the HH ran out of maize stocks from its own production. Record the month in MTHFIN using the month codes. Record the year in YRFIN – make sure you record the full year, eg.. 2003.

OWNPRD – Q6.d. – ask if the household has relied entirely on staples from its own production over the period July 2006 to June 2007.

PURCH – Q6.e. – ask if the household has relied entirely on purchased staples over the period July 2006 to June 2007.

RELIEF – Q6.f. – ask if the household has relied entirely relief food over the period July 2006 to June 2007.

COPING – Q 6.g. – ask what coping mechanisms the household uses or reverts to during famine or food scarcity. List up to 3 of the most used mechanisms.

Q 7.1 and Q7.2 are about the access to maize markets over the last several years. Note that here we are interested in just general maize market access compared to 6-7 years ago and **not** prices.

EZYSELL - Q7.1 ask how convenient it is to sell maize compared to 6-7 years ago.

EZYBUY - Q7.1 contd ask how convenient it is to buy maize compared to 6-7 years ago.

BUYERS - Q7.2 ask whether there has been a change in the number of private maize buyers or brokers compared to 6-7 years ago. *(Enumerator to mention about the period of maize price controls and the situation after maize liberalization).*

Page 13 – Decision Making and Soil and Water Conservation

Q7.3 and Q7.4 ask the proportion of time by Head and Spouse allocated to farming activities in the period July 2006 to June 2007. You will first need to introduce this question as suggested in the questionnaire. This will be from 0 to 100. Record the answer in percentage numbers but without the percentage sign (e.g. 75). These questions should not be asked as a proportion. Instead a line has been provided to show these percentages. Show the line to the farmer. Explain what 0 means on this line (the farmer is not involved in any cropping or livestock activities). Then similarly explain what the

100 means on this line. Then ask him to choose a point on the line which describes how he allocated his time in the past year. If there is no spouse, use -9 for Q7.4.

DECISION – Q7.5 Ask who make decisions on how to use farm inputs (all inputs in general).

YEARHMZ – **Q7.6** -Enter the year (example: 2001) that the household first used hybrid maize seed. If the household has never used maize, enter “0”.

YEARFERT – Q7.7 - Enter the year (example: 2001) that the household first used inorganic or chemical fertilizer. If the household has never used enter “0”.

Q7.8 ask about soil and water conservation measures practiced by the farmer and about composting manure and the year started.

SWEPRA – Q7.8a – ask what soil and conservation practices the farmer is using, note up to 3 such practices. Try not to provide examples if he does not understand the question. First explain the concept of conservation.

ZEROTIL – Q7.8b – ask if the farmer is practicing zero tillage

COMPOST – Q7.8c – ask if the farmer is composting manure. If the answer is yes, proceed to the next question. If the answer is no skip to Q7.8e.

YRCOMP – Q7.8d – ask what year the farmer started composting manure.

MZSTOVER – Q7.8e – ask how the farmer disposes of maize stover after the harvest (use the codes provided)

Page 14 – Prices Q8.

This set of questions asks about prices of various agricultural commodities and food in this area.
For each of the following items, ask the price of the item, record the price and the unit of measure for the price. For each item, there is also a price for a specified unit (for fertilizers it is a 50Kg bag and for maize flour it is a 2kg packet). If the price provided by the farmer is for the init specified in part b of the question, do not ask the question again. If the respondent does not know the price, record -9.

The items prices are asked for are DAP, urea, NPK, CAN, sifted maize flour.

Also remember there is a text question at the end of this page, be careful not to miss it.

POSHOR – Q8.6 – ask the posho mill charge for 1 gorogoro (2.25 kg) of maize into straight posho meal.

Page 15 – Livestock Inventory Q9

The next table asks about all livestock, except donkeys and oxen. The reference period is from **July 2006 to June 2007**. Be systematic when you are asking these questions, either ask the same question for all animals, or ask all the questions about a specific animal type.

LSTOCK – **Q9.0** – Ask if the household owned any livestock in the period July 2006-June 2007. If the answer is yes, then proceed to fill the table on page 15. Else, move on to page 16 and make sure you ask Q 10.0.

NJUN07 - Go through each of the types of livestock (LIVECODE) and ask how many were owned in June 2007

CURVAL – ask for the current value for each of the types of livestock (LIVECODE). Make sure you ask the current value **per unit**.

NUMOWN – ask how many were owned in July 2006 (last year).

The next 4 columns should be asked for selected livestock (the table is shaded in for those livestock for which you should not ask the next four columns).

PURCH – number of animals purchased over the period July 2006-June 2007.

UPRICE – price per unit of animal purchased (Ksh)

SOLD – number of animals sold

AVGPRIC – average price of the animals sold

Pages 16 and 17 - Livestock Output, Use of AI, Credit and Zero Grazing

MLKCON – Q10.0 Ask how much milk is consumed per day, from own production, purchases or receipts.

MLKPRD Q10.1 – Ask whether the household produced any cow milk in the period July 2006-June 2007. If the answer is yes, proceed to fill in the table under Q10.1. If the answer is no, then proceed to Q10.2.

The table under Q10.1 asks \questions about the cow milk produced by months in the period July 2006-June 2007: Note that it is separated into cow milk produced, cow milk sold and sour milk sold. For each of these, the following questions must be asked:

COW – fill this in only for the line indicating cow milk produced (the first line of this table). Ask the respondent the average number of cows producing milk.

JUL06 through JUNE07 – fill these columns for every month as indicated by the column heading. In each of these columns fill in the **total** milk produced and sold (depending on the row of the table) each month. Note that this is the total for each entire month. There is plenty of space above the column headings so use that space wisely. Now for the production and sale of regular milk, ask the following questions:

1. ask for the production **per day** (probe to include both morning and evening)
2. multiply this figure by 30 days.

Make sure you probe for daily amounts (most farmers think of milk production in terms of daily production) both for the morning and the evening. You can note the daily figures for morning and evening down above the column heading to help you calculate the totals for the month. Just make sure that in the columns you fill in the totals for the month.

BUYER – ask the farmer about who the buyer was of the largest sale (filled only for the rows on sales)

PRICE – ask the farmer what the most common price per liter that he received was (filled only for the rows on sales)

KM – for the largest sale, ask the farmer the distance to the point of sale (filled only for the rows on sales)

WHYBUYR – ask the farmer for the most important reason he sold to this buyer (filled only for the rows on sales)

Table 8Q10.2 asks the following questions about other livestock output, e.g. goat milk, camel milk, eggs, honey, ghee, hides and skins, other animal products and fish. Keep in mind that the reference period is July 2006 – June 2007. Remember, chickens do not appear on this table.

Tip 1: if an animal was consumed then it's likely that the household may have sold the hide or skin. Probe to find out if the hide or skin was sold.
Tip 2: If the household produces honey then remember to look for beehives when you come to the asset table later in the questionnaire.

LIVEPROD – this is just the codes for the various livestock products. Remember that there is a code for other specify at the bottom.

ANIMPROD – for each product ask for the average number of animals that were producing over the reference period

MNTHPROD – ask the number of months that a specific product was produced.

AVGPROD – calculate the average production per month.
For camel and goat milk:

3. ask for the highest production **per day** (including morning and evening).
4. ask for the lowest production **per day** (including morning and evening).
5. average the 2 figures and then multiply by 30 days.

UNIT – record the unit of measure for the production per month.
Conversion values to a liter are:

A tree top bottle	0.75 liter
Soda bottle	0.3 or 0.5 liter
Beer bottle	0.5 liter

MNTHSOLD – record the number of months the product was sold during the year.

QTYSOLD – record the average quantity sold which should reflect the same unit and production.

PRICE – record the price received per unit of the **largest** sale (Ksh/unit).

BUYER – record the type of buyer for the largest sale of **camel milk, goat milk and honey only**. This question is not asked for the other livestock products.
The next page asks a number of questions about AI, credit and conservation practices. Remember again that the reference period is July 2006 to June 2007.

AI – Q11.0 – ask if the household used any artificial insemination on cattle during the reference period. If the answer is yes, proceed to the next question. If the answer is no, then proceed to Q11.2

SORCEAI – If the farmer used AI services, ask what the source of these services.

Q11.2 is a table that asks the following questions about the household's expenditure on various livestock services over the reference period for cattle, dairy goats, local goats/sheep and improved chicken:

ANIMFEED – record the household's expenditure on purchased feeds over the reference period

VETSERV - ask the total cost of veterinary services over the reference period. This should include veterinary services and vaccinations (you may have to probe for some of these). You may need to jot down each expenditure and compute the total later.

TICKCONT - record the household's expenditure on tick control over the reference period

DEWORM - record the household's expenditure on deworming over the reference period

AISERV - record the household's expenditure on AI services over the reference period

BULLSERV - record the household's expenditure on natural insemination over the reference period

FRMSTR - record the household's expenditure on **repairs** of farm structures over the reference period

SALLVSTK – Q11.3 – ask the total cost of salaried farm workers who were involved in livestock activities over the reference period. If the farm worker does other activities, ask the percentage of time that is spent on care of cattle and compute the actual expenditure just for livestock care, e.g. (total wage for the year) * percentage.

LIVECRD – Q11.4 – ask if the household received any livestock or any livestock inputs on credit over the reference period. This can be cash credit or in kind. If the answer is yes, fill in the table below for details. If the answer is no, proceed to Q12.1.

The table below this question asks for the following details on the credit received:

INPUT – record the input or livestock for which credit was received

MDPURCH – record the form of the credit, i.e. whether it was cash or in kind

SOURCE – ask for the source of the credit (use the codes provided)

CVALUE – record the value of this credit

MODPAY – ask how the household will repay the credit (or how it repaid the credit if it has already been repaid)

CONSERV – Q12.1 - ask if the household has ever practiced on-farm feed conservation. If the answer is yes, proceed to the next question. If the answer is no, skip to Q 12.3

FEEDPRS – Q12.2 – ask for what methods the household used to conserve on-farm feed. If there are multiple methods, ask for the two most common.

ZGRAZE – Q12.3 – ask if the household practices zero grazing. If the answer is yes, proceed to the next question. If the answer is no skip to the next page and begin Q13.

YRGRAZ – Q12.4 – if the farmer practices zero grazing, ask what year he first started practicing zero grazing.

Page 18 – Extension and Group Participation Q 13

SEEKADV - Q13.a – ask if the household actively sought advice on crop or livestock over the reference period (July 2006-June 2007). If the answer is yes, continue to the next question. If the answer is no, skip to Q13.c.

ADVISOR – Q13.b – ask who the household approached for advice, you can specify up to two sources of advice. Once this question is asked, you can skip to Q13.d.

SEEKNOT – Q13.c – if the respondent did not seek advice, ask them why not. They can give up to two reasons.

AVAILFEE – Q13.d – ask the household if they would be willing to pay if extension services were available for a few (these would be extension services for dairy, maize, horticulture or anything else). If the answer is yes skip to Q13.f. If the answer is no, proceed to the next question.

WHYFEE – Q13.e – if the household was unwilling to pay for extension, ask why they were unwilling.

Q13.f – This question asks about the willingness to pay for training on a new technology that the household urgently needs for various services. Note that it is a technology that the household urgently needs. This question should be asked for **all** households. And it would be a **three hour** training. Ask this question separately for each of the rows – dairy, maize, horticulture and other. And ask the question separately for an individual 3 hour training as well as a group training for 3 hours where the group size is 20. When trying to get these answers to these questions, start at KShs 100 and go up or down depending on the response you get.

GRPMEM – **Q13.g** ask if **ANY** member of the household is a member of a cooperative or an outgrower group, not just the respondent. Enter "1" if response is yes, enter "2" if response is no. If the answer is yes proceed to the next question. If the answer is no, proceed to the next page and start Q14.

GRPMEM1-3 – Q13.g – ask which cooperatives or groups the member(s) belong to. Up to three responses can be recorded. If "merry-go-round" is specified, code the answer as 4 – informal/self help group

GRPMEM1 – first cooperative or group

GRPMEM2 – second cooperative or group (if there is a second). Go to Q14 if there is no second cooperative / group.

GRPMEM3 – third cooperative or group (if there is a third one)

SERV1-3 – Q 13.i – ask the respondent what services the household gets from the group or cooperative. List up to three services.

Q14. Demography

Definitions

Household

A household is composed of people who work together, farm together, sleep together, spend income together and eat from the same pot. Most of the income is spent for the household.

Household members

A household member is:

- any individual who in the last 12 months has lived with the household for at least one month regardless of whether they have intentions to stay or not; including house help, and shamba boy eating and sleeping in the house
- an individual attending school away from home;
- newly born babies;
- individuals who are newly wedded-in;
- individuals who have stayed for less than six months but have come to stay with the household.

A non-household member is:

- an individual who may have left the household with no intention of rejoining the household;
- individuals who are married away.
- Unmarried sons and daughters who live elsewhere on a regular basis coming home on occasion. Money contributed by these people should be captured as remittances in the salary table
- all other individuals who do not meet the criteria for household membership

Adult

An individual member of a household is considered an adult if he or she is 12 years and above (born before 1992). Members below 12 years of age are considered children.

Chronic Illness

This is an illness which fails to respond to treatment and frequently recurs leading the victim to being bed-ridden and requiring nursing or special care for feeding and other needs for at least three months.

This section is divided into 2 tables.

1. **The first table asks about all adult and child household members for whom we have information from previous surveys. The member names are to be recorded from the sheet about the household to this table matching the member number already assigned to the member.**

2. The second table asks about any new or missed adult and child members who have come in the last 12 months (July 2006 – June 2007). Member numbers are to be assigned to each member of this table starting with 31.

The tables ask information about the household member's name, age, gender, relation to head, education, if the member is still a member and if not, why. It also asks about the number of months living in the household, income earning activity and the last question asks if any member of the family has been ill for at least a 3 month period over the reference period (July 2006 to June 2007). Remember to include workers (farm or house boys or girls) that live and eat in the house.

MEM – the number assigned to the member so that the person can be linked to other tables.

NAME – the name of the person. As you ask about each member in the first table the household member name entered on the questionnaire may not be exactly correct. If the name is not the same, check to be sure that the age of the person is very close to the age of the name that is not correct. Lightly cancel the old name and write the correct name on top. **Do not erase any entries** and keep both new and old entries legible. Verify that the new entries are for the same reference period before making changes.

Pages 19 and 20 – Old member tables (Table 14):

DA01 – ask the year that the person was born and record the number in 4 digits, e.g. 1942.

DA02 – if you can observe the gender of the period, you can record the response with asking. If you are in doubt, ask. Record "1" for male, "2" for female.

DA03 – ask about the member's relationship to the household head. Enter the appropriate response code. The codes for possible answers are listed at the bottom of the table. There may be need to probe further to ascertain the exact relationship, e.g., to differentiate between step son/daughter and own son/daughter.

DA04 – ask about the current marital status of each adult household member. For those household members who are married, establish whether they are married monogamously or polygamously. Enter the appropriate response code.

DA05 – ask whether each member is still attending formal schooling.

DA06 – ask the highest level of education the member completed. If the member is currently in Standard 7, the member will have completed 6 years of schooling. If the person has completed Form 4 or Form 6, and attended a college or university, use the appropriate code as shown on the table. We are interested in knowing the course level that has been completed. We are not counting the number of years spent at school. Enter the appropriate response code.

DA07 – ask (by referring to the name) if the individual member is a current member of the household. Enter "1" if the response is yes and go to DA09. Enter "2" if the response is no. Use the definition of a household to guide you and the respondent to answer this question. Do not ask the respondent if he/she is still a member.

DA08 – ask this question if DA07 = "No" – not a member any longer. Find out why this particular person is not a member of the household anymore. Enter the appropriate response code.

If the member has died, then you should be sensitive to the feelings of the respondent, and if the member is comfortable, turn to page 26 and ask the questions on this table regarding the reason for the death. Otherwise, remember to include deceased members in **Q16** on page 22 on "Mortality."

DA09 – ask (by referring to the name) how many months in the past twelve months each member has stayed in the household. If the member comes and goes, estimate the total months the member has stayed in the household. Record the response to the nearest month, e.g., 4. **If the member has not stayed in the household, e.g. 0 months, then go to the next member UNLESS the member is the head or the spouse. If the member is either one of these people, then continue to ask the rest of the questions.**

The next two questions ask about the income of the person, business / informal and salary/wages/remittances/pensions. If a member of a household has died during the year, depending on the mood of the respondent you can judge whether to find out if he/she was engaged in income activities for the time he/she was alive (DA10 then DA11). These questions should be done with a lot of care and caution.

In addition, the next two questions (DA10 and DA11) should **not** be asked for members of the household who are simply workers, like house help and shamba boy.

DA10 – ask of each member, who has lived in the household during the last 12 months, if they received any cash or goods from a business activity over July 2006 – June 2007. If you encounter a respondent who reports they jointly run a business with the spouse, probe and establish who runs the business. The owner of the business is the one who controls buying and selling and the overall earnings. Often the responsibility of running the business is given to one household member although other household members may have shares or other interests in the business activity. Enter "1" if response is yes and "2" if response is no.

DA11 - Ask of each household member, who has lived in the household during the last 12 months, if they received any salary or wages, remittances or pensions in cash or in kind over the period july 2006 to June 2007. If the household member worked but did not receive any cash or wages in kind, the member is considered not having worked. Enter "1" if response is yes and "2" if response is no.

DA12 – ask of each member if they have been chronically ill and unable to perform household duties for any **3 month period** in the last 12 months. Enter "1" if response is yes and "2" if response is no.

Pages 21 – New member tables (Table 15):

AD01 – ask the year that the person was born and record the number in 4 digits, e.g. 1942.

AD02 – if you can observe the gender of the period, you can record the response with asking. If you are in doubt, ask. Record "1" for male, "2" for female.

AD03 – ask about the member's relationship to the household head. Enter the appropriate response code. The codes for possible answers are listed at the bottom of the table. There may be need to probe further to ascertain the exact relationship, e.g., to differentiate between step son/daughter and own son/daughter.

AD04 – ask about the current marital status of each adult household member. For those household members who are married, establish whether they are married monogamously or polygamously. Enter the appropriate response code.

AD05 – ask whether each member is still attending formal schooling.

AD06 – ask the highest level of education the member completed. If the member is currently in Standard 7, the member will have completed 6 years of schooling. If the person has completed Form 4 or Form 6, and attended a college or university, use the appropriate code as shown on the table. We are interested in knowing the course level that has been completed. We are not counting the number of years spent at school. Enter the appropriate response code.

AD07 – ask (by referring to the name) what year the individual member came to reside in the household.

AD08 – ask (by referring to the name) how many months in the past twelve months each member has stayed in the household. If the member comes and goes, estimate the total months the member has stayed at the household. Record the response to the nearest month, e.g., 4

AD09 – ask (by referring to the name) if each of the individual members was a member of the household in 2004. Enter "1" if the response is yes and go to AD14. Enter "2" if the response is no. This question is meant to pick up household members we missed in 2004.

AD10 – ask this question if AD09 = "2" -No. Find out why this particular person joined the household. Enter the appropriate response code.

The next three (3) questions ask about what the person did for income before coming to the household Enter 1 = Yes, or 2 = No.

AD11 – ask "Before coming to reside in this hh, was …… (refer to the name) engaged in formal or informal business activities."

AD12 – ask "Before coming to reside in this hh, was …… (refer to the name) engaged in formal section salary employment."

AD13 – ask "Before coming to reside in this hh, was …… (refer to the name) engaged in farming somewhere else."

The last three (3) questions are referring to the time after the individual has become a member of the household.

Ask about the income of the person, business / informal and salary/wages/remittances/pensions.

AD14 – ask of each member, who has lived in the household during the last 12 months, if they received any cash or goods from a business activity over the period July 2006 to June 2007. If you encounter a respondent who reports they jointly run a business with the spouse, probe and establish who runs the business. The owner of the business is the one who controls buying and selling and the overall earnings. Often the responsibility of running the business is given to one household member although other household members may have shares or other interests in the business activity. Enter “1" if response is yes and “2" if response is no.

AD15 – ask of each household member, who has lived in the household during July 2006 to June 2007, if they received any salary or wages, remittances or pensions in cash or in kind over this period July 2006 to June 2007. If the household member worked but did not receive any cash or wages in kind, the member is considered not having worked. Enter “1" if response is yes and “2" if response is no.

Again all the questions pertaining to the income of the person, business / informal and salary/wages/remittances/pensions should not be asked of household members that are salaried workers (house help and/or shamba boy) employed by the household.

AD16 – ask of each member if they have been chronically ill and unable to perform household duties for any **3 month period** in the period July 2006 to June 2007. Enter “1" if response is yes and “2" if response is no.

Page 22 – Q 16 Mortality

Please note that in this table you ask about members who have died **since the last time the household was interviewed, i.e. 2004.**

The identification numbers *(MEM)* and names of household members who passed away after the 2004 household survey (DA08 = 4) should be transferred from the earlier tables.

If a member came to the household after 2004 and passed away before the survey date, that person will not appear in any of the demography tables above and will not have a MEM number. Be sure to record the person’s name in the **NAME** column, but do not record anything in the **MEM** column.

Ask all these questions for all household members (adult and children) who have passed away **since the last time the household was interviewed (2004)**.

If there is no member who died since the last interview, continue to the next page.

This is a sensitive section and interviewers are advised against using crude phraseology which could disturb the atmosphere. You must empathize and look sorry as you complete this section.

Below is a proposed script to help you to lead into the table on previous deaths.

“As you know, we have been following your family's progress since 1997. We are interested to know what has happened with individual members of your family. For example, we know from some households we have already visited that some of their members have moved to towns or got jobs in other places away from home. Some households have also lost members who have passed away. All this information helps us to understand your situation / well-being as we strive to advise policy makers on ways to better rural livelihoods.

Looking at information you've already told us, you have indicated that "(actual number)" or "no" members have passed away in the last 12 months.

(If members have passed away, then say)
We would like to ask you just a few questions about these people.

(If members have NOT passed away, then say the following)
Are they any members who came to the household after the last time we interviewed you, who have passed away before June 2002? (If yes) We would like to ask you just a few questions about these people.

DEATH - Q16.0: Ask if there is any household member - child or adult - who passed away since May 2004. Enter "1" if response is yes. Enter "2" if response is no and go on to Q17. If there is an adult or child who died **since the last interview** (from earlier demography tables), do not ask this question. Record the response "1" and continue with the rest of the questions. Some of these questions (MEM, NAME, PD01, PD02, PD03) you may know from the previous demography tables. So, don't ask these questions again if that is the case.

MEM - If this person was mentioned in the demographics table for adults, please put his or her identification number (MEM).

NAME - Record the name of the deceased and refer to it when asking questions that follow.

PD01 - Ask for the gender of the deceased and enter "1" if the deceased was male and "2" if the deceased was female.

PD02 – Ask what the relationship to the household head was of this member.

PD03 – Ask which year this member was born. Please record the year.

PD04 – Ask which year this member died. Please record the year and make sure that the year is 2004 or later.

PD05 - Ask what the cause of death was. Enter the appropriate response code. Witchcraft is not a choice. If the response is witchcraft, probe and find out the form in which the witchcraft manifested itself. If another cause is given, record 21 and specify the reason.

PD06 - Ask the highest level of education the deceased completed. For example, a member who was attending Class 10 will have completed Class 9. We are interested in knowing the course level that was completed. We are not counting the number of years spent at school. Enter the appropriate response code.

Page 23 – Q17. Business and Informal Labour Activities (*Requires probing*)

This section obtains information about all the business or self-employment activities that household members were involved in **during the 12 month reference period July 2006 to June 2007**. It will include activities like fishing and selling, charcoal burning and selling, buying and selling different products, or grocer's shop. ***Do not include*** income from wage labor, selling of own agricultural produce, or remittances. Do include incomes from share dividends and farms away from home.

Efforts should be made to interview the person who does the specified activity if the respondent cannot give the data.

The members who should be included in this table will have a code of “1” in the columns from the demography tables, i.e. **DA10 and/or AD14. Copy the name and member number to this table.** The person name and member code must be the name and member code given in the earlier demography tables.

ACTIVITY - Ask the respondent to tell you the most important activities this member was involved in at anytime **between July 2006 to June 2007**. If there are more than three activities enter the codes for the **<u>three</u>** most important activities. The level of importance is based on the amount of income the activity generated. The codes are listed below the table.

The next columns ask the respondent to rank the amount of net earnings for each month, e.g. none, low, average and high.

JUL-JUN: Ask the respondent which months he/she **did not operate** this business activity. Mark the months of inactivity as “**0**". Follow up and identify the months when business was **low**. Mark the low business months as “**1**". Follow up and identify which months business was **average**. Mark the peak business months as "**2**". Follow up and identify which months business was **high**. Mark the peak business months as "**3**". If earnings are constant for all months, probe further, otherwise consider them as average earnings.

In the following columns, we are interested in getting the margins between gross earnings and total expenses. If expenses are incurred once over a four month period, estimate the average operating expenses for a month. Be prepared to encounter losses where total earnings are less than expenses as not all business activities yield positive margins. Do not include capital expenditures, e.g buying a tractor.

The respondent may not think in terms of gross income and expenses. They may only be able to tell you what the net is. In these instances, record the net in the column for “gross” and record a “0” in the column for “cost”.

LGROSS: Ask the respondent how much he/she earned in total in a typical month when earnings were <u>low</u>. Enter the total gross income in Ksh.

LCOST: Ask the respondent how much his/her operating costs or expenses were in total in a typical month when earnings were <u>low</u>. Enter the total cost in Ksh.

AGROSS: Ask the respondent how much he/she earned in total in a typical month when earnings were <u>average</u>. Enter the total gross income in Ksh.

ACOST: Ask the respondent how much his/her operating costs or expenses were in total in a typical month when earnings were <u>average</u>. Enter the total cost in Ksh.

HGROSS: Ask the respondent how much he/she earned in total in a typical month when earnings were <u>high</u>. Enter the total gross income in Ksh.

HCOST: Ask the respondent how much his/her operating costs or expenses were in total in a typical month when earnings were high. Enter the total cost in Ksh.

For example if Mr Njoro spends Ksh 50,000 on his goods for his Kantemba and he sells the goods and realized Ksh 60,000 this means that his gross income is Ksh 60,000, his operating expenses are Ksh 50,000.

Page 24 – Q18. Salaried Wage Employment

Depending on the type of economic livelihood a household and its members are engaged in, wages from off-farm work can be an important source of income. This table estimates the total wage income that individual household members earned during the reference 12 months (July 2006 to June 2007). It deals with just receipts/income. This income does not include cash or goods earned from operating a business. Any member from the demography tables where **DA11 = 1** and/or where **AD15 = 1** should be listed in this table. The following types of income earning activities should be entered into this table:

Definitions
Wage Labor
Work which entitles the member to be gainfully engaged for a specified period of time usually 1 - 3 months and to be paid weekly, fortnightly or monthly.

Casual Labor
Work whose contract entitles the employer to pay the household member a remuneration in cash or in-kind for completing a particular assignment.

Please note that wage labor and casual labor constitute informal wage labor activities.

Pensions
Income received from employment after retirement.

Formal Salaried Employment
A job for which the member is entitled to receive a salary regularly, e.g., every month usually in cash.

Remittances
Income given to a member of a household from another person / organization. This information should be recorded under the name of the person who received the funds. These are often quite important as a source of income so make sure to prompt for them. Note that there are two codes for remittances so it distinguishes between local and foreign remittances.

Activity - Ask the respondent to tell you the most important salaried employment or informal wage activities or pensions or remittances received that this member was involved in at anytime between **July 2006 to June 2007**. If there are more than three activities, just be sure to collect the **three** most important ones. Enter the appropriate activity code from the list below the table. Probe for other sources such as remittance and pensions.

MNWAGE – ask the wage the person is receiving for the current month.

SAMEWAGE – if the person received the same wage throughout the 12 months, record “1” for yes and then go to the next activity. If the person did not receive the same wage through the 12 months, record “2” for no and ask the remaining questions.

JUL-JUN: Find out the amount received for each activity for each month. Record the amount received. If nothing was received in a specific month, enter zero.

Do not forget that there are two final text questions on this page. Make sure you ask these. Only ask them if the household indicated that it received remittances in the table on this page. Else, move on to Q20 on the next page.

REMIT – Q19.a – ask what the main source of the remittances was.

MREMIT – Q19.b – ask what the main mode of delivery of the remittances was

Page 25 – Rural Finance and Land Ownership and Inheritance

The rural finance questions may be a bit sensitive. Make sure you remind them that you do not want to know how much money they have in accounts. You just want to get an idea of access to services so that you can better help structure policy.

ACCOUNT – Q20.a – ask whether any member of the household has a savings or bank account. Make sure you probe for all relevant savings accounts, including Roscas, cooperatives, etc. If the answer is yes, proceed to the next question. If the answer is no, skip to Q21 half way down the page.

Q 20.b – For this table question separately for the spouse, head and other members of the household about their savings accounts and fill in the columns in the table. For the household head or the spouse there is room for two accounts. If the household head or spouse, have more than two accounts, then report on the two main (most important) ones.

MEM – note down the MEM number from the demography table of the household member in question

SAVES – for each member now ask where the savings account is

KMBANK – ask how far the banking point is. If this is a bank, we want the nearest branch (that is not necessarily where the respondent opened the bank account originally).

ACOPEN – ask what year the bank account was opened

YRFORM – Q21.1 – ask what year the household was formed, i.e. when the household received land to farm on its own

YRSET – Q21.2 – ask what year the household head’s father (this must be the head’s father and not necessarily the respondent’s father) settled in this area

LDTAKE – Q21.3 – ask if land has ever forcefully been taken away from this household in the last 10 years.

The next table asks about the original family of the household head and spouse. Make sure you fill this in before moving to page 26.

PMEM – this is already filled for you. Ask all the questions for both the household head and the spouse of the household head.

MEM – fill in the MEM number of the head or the spouse. If the spouse is dead, please still ask the questions in the table but put -99 as the MEM number for the spouse in this case.

PACRES – ask how much land in acres the parents of the person in question (i.e. either the head or the spouse) have before the land was inherited by this person and his/her siblings.

ACRES – ask how many acres the person in question inherited from his/her parents

WIFE – ask how many wives the person in question's father had

MCHILD - ask how many male children the person in question's father had

FCHILD - ask how many female children the person in question's father had

FORDER - ask what the person in question's birth order is amongst all the children of his/her father. This includes all the children of all the father's wives.

SORDER - ask what the person in question's birth order is amongst all the children of his/her father that are of the same sex. This includes all the children of all the father's wives.

PBORN – ask where the person in question was born (use the codes provided)

SLIVE – if the answer to PBORN is 2 or 3, ask what year the person in question started living in this sublocation.

RESP – this is to be filled by the enumerator without asking the respondent anything. The enumerator should indicate the MEM number of the respondent.

Page 26 – Purchases for Home Consumption Q22

Some households provide all the food that is required for the household. Others must purchase food to satisfy their requirements. We would like to know which households purchased main staple food products and the quantities purchased between July 2006 and June 2007. Capture only food purchased for home consumption, not for resale. If the product is purchased for resale, that information should be captured in the table asking about Businesses. Working for food is considered in-kind wages and should not be recorded in this table. Prompt for in-kind purchases.

Ask specifically about each product in the list. Ask **first** about the latest "4 month" time period from **March 2007 to June 2007**. Try to link the time periods to when the household might have run out of maize stock or specific events. This table may require extensive probing to help the household remember.

PURCH – ask about each item listed. For gift/relief maize grain, you cannot record any information on the price variables for each of the time periods. If any other product is received as gift/relief, note the information on the side and record 0 in the price variables.

Qty1, Unit1, Price1 – for the time period from March 2007 through June 2007, ask about the quantity purchased, the unit of measure the quantity was purchased in and the price for the unit specified. The household may have purchased several times. Record each purchase for the product on the side and calculate the total later.

Qty2, Unit2, Price2 – for the time period from November 2006 through February 2007, ask about the quantity purchased, the unit of measure the quantity was purchased in and the price for the unit specified. The household may have purchased several times. Record each purchase for the product on the side and calculate the total later.

Qty3, Unit3, Price3 – for the time period from July 2006 through October 2007, ask about the quantity purchased, the unit of measure the quantity was purchased in and the price for the unit specified. The household may have purchased several times. Record each purchase for the product on the side and calculate the total later.

TotQty, TotUnit, TotPrice – if the household cannot remember for each of the time periods, try to gather what the household might have purchased over the 12 month period from July 2006 through June 2007.

Page 27 – Expenditures on Fruit and Vegetables in the last 30 days Q23

Q23 Table We are interested in specific purchases of items of vegetables and fruits over the **past 30 days**. Ask about each item listed. If the household did not purchase the item, then skip to the variable called **JANPUR** and ask about what the household might have purchased in January 2007 of the particular item.

PURCH – If the household purchased the item, record "1" for yes. If the household did not purchase this item, record "2" for no and go immediately to JANPUR.

LOCPUR – If the household purchased the item, record the location of the purchase for **MOST** of the product.

QNTPUR – record the TOTAL quantity purchased over the 30 days.

UNITPUR – record the appropriate unit of purchase. If the household purchased with different units, then note the information on the side and for each unit and calculate later the total for one unit.

Fill in only **one** of the following **fields,** not both.

> **PRICE** – most common price paid for the unit specified (Ksh/unit). This does not mean the most common price in the market, but the most common price paid by the household.
>
> **<u>Or</u>**
>
> **TOTEXP** – the total price paid for the 30 days

JANPUR – Ask what the total quantity purchased was in January 2007 in the same units as specified in **UNITPER**. NOTE: you must record a unit of measure in UNITPUR if the household did not purchase the item in the last 30 days. Also, note that this question must be asked even for the cases where the household did purchase this item in the last 30 days.

JTOTEXP – Ask what the total expenditure was on this item (in KShs) in January 2007. Again, this must be filled in for items that were purchased by the household in the last 30 days as well. Note that this question asks for total expenditure and **not** a price.

Page 28 - Q.24 Assets (assets present as of June 2007)

The focus of this table is to determine the value of agricultural assets. Also, there are a couple of text questions as the end of the table that you should not forget.

ASSET - Ask about each item in the list. For the asset landline, it should be the value of the handset. For the asset houses (residential) it should be the value of the structures and not the land and not any of the contents of the house, just purely the structures.

QTY - ask for the number of items

Only one of the following variables should be filled:

VALUE – ask the value per unit of this item if it is known

or

TOTVAL – ask the total value of all units if the value per unit is not known.

MOBACC – ask the household if it has access to a mobile phone. Note you should ask this question only is the household does not own a mobile phone (you should know this from the asset table). If the answer is No, then move onto page 29 and Q25. If the answer is Yes, then proceed to the next question.

ACCMOB – if the answer to the previous question is Yes, then ask from whom you access a mobile phone. Use the codes provided.

Page 29 – Infrastructure Q26

The next set of questions asks about distance from the household to another location. The distances should be in kilometers. Decimal points are acceptable.

Q19a and Q19b are very different questions. The respondent could be very near to a fertilizer seller but prefers to buy fertilizer from another place.

Q19c and Q19d –These two questions want to know what the distance is to where the household purchased hybrid maize seed and then how far is the nearest hybrid maize seed seller.

FERTSKM – distance to nearest fertilizer seller

CERTMAIZ – distance to the nearest hybrid maize seed seller

NCPB – distance to the closest NCPB depot (use -9 if the respondent does not know).

NCPBBUY – ask if the household sold any maize to the NCPB in the period July 2006 to June 2007. If the answer is Yes, skip to Q26.f. If the answer is No, proceed to the next question.
NCPBNOT – ask for up to two reasons why the household did not sell maize to the NCPB.

DEXTN – ask how far it is to agricultural extension advice

DVET – ask how far it is to veterinary help.

AIKM – distance to the nearest provider of A.I. services.

MKTKM – distance to the nearest market place for farm produce (note this is for farm produce not a shopping center).

DMTROAD – distance to a motorable road. A motorable road refers to a road, where a vehicle can pass at all times. **Note:** the tarmac road could be the nearest motorable road.

DTMROAD – distance to the nearest tarmac road

CTMROAD –asks if the condition of the nearest tarmac road has changed since 2004, whether it is better, worse, the same, or not sure.

DPH2O – ask how far it is to piped water. Be sure to clarify what is meant by piped water (for example, a borehole drilled by the farmer is not considered piped water).

DHLTCTR – ask how far it is to any health center, not necessarily a government health center.

DELECT – ask how far to electricity.

ANIMKT – distance to the closest livestock market place (use -9 if the respondent doesn't know)

PHONE – ask how far it is to public telephone services

Page 30 Wage Rates and Land Rates

WAGERATE – Q27a. – ask what the daily wage rate is for general farm labor in the area

HOURS – Q27b. – for the wage specified in Q 36, ask the typical number of hours worked per day.

LRRY – Q27c. – ask the rental rate for one acre of "good" quality land for one year in the area.

LRRS – Q27d. – ask the rental rate for one acre of "good" quality land for one season in thie area.

For the next table, ask whether the following situations have improved, become worse or stayed about the same since 2004 (over the past 3 years):

HLTHCARE – health care in the area

EDUC – education in the area

LOCGOV – local government – council services in the area

BUYFERT – opportunities to buy fertilizer in the area

WATER – availability of water in the area

SECURITY – security in the area – if it has changed without the household having to do something itself

WELLBE – households' well being in the area.

Page 31 – Final Observations and Questions Q29

For these questions make sure you ask as well as observe the household around you so that you get the right answers. In each case use the codes provided.

ROOF – Q29a. – ask what the roofing material of the main house is

WALL – Q29b. – ask what the wall material is of the main house

FLOOR – Q29c. – ask what the floor material is of the main house

HSEOWN – Q29d. – ask what the mode of ownership of the house is

TOILET – Q29e. – ask about the main type of toilet used. This should be the most used, not the best.

MAINWET – Q29f. – ask what the main source of water for domestic use is during the wet season

MAINDRY – Q29g. – ask what the main source of water for domestic use is during the dry season

COOKFUEL – Q29h. – what is the main cooking fueld used by the household

LITFUEL – Q29i. – what is the main type of lighting used by the household

COMPARE – Q30. – ask the respondent if he/she would say the household is better off, worse off, or about the same as other households in the same area

TRIBEHD – Q31a. – ask what the tribe of the household head is

TRIBESP – Q32a. – ask what the tribe of the spouse of the household head is

END OF INTERVIEW
ASANTE SANA

After the interview thank the respondent for giving you his/her time and for the co-operation in providing the information. Inform them that you may possibly be returning to collect more information at later date. At this point invite the respondent to ask you any questions that he/she might have. Answer where you can. If you do not know the answer(s), tell the respondent that his/her questions will be forwarded to a relevant person who can respond.