SURVEY OF LIVING CONDITIONS
UTTAR PRADESH AND BIHAR

FIELD MANUAL

DECEMBER 1997

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SECTION 0. SURVEY INFORMATION

Purpose Section 0 records background information on the field and data entry history of the questionnaire. It will help those who did not participate in the fieldwork to understand some of the conditions that may have affected the data. Space is left for interviewer and supervisor comments. The information in the section will be reviewed by core survey staff in Allahabad, particularly if there is a problem with the data collected for the household.

It is very important that the information required in section 0 be filled in accurately and completely. All the Section 0s for the households your team interviews, taken together, will provide a log of your team's field activities, and will be regularly reviewed by survey staff at Allahabad.

Instructions

1. Survey Information Sheet

The SURVEY INFORMATION SHEET is the first page of the questionnaire. It has a number of different parts that must be filled out by the team supervisor. The survey information sheet has three boxes: "INTERVIEW", "REPLACEMENT", and "HOUSEHOLD INFORMATION".

DATE OF INTERVIEW, INTERVIEWER NAME and CODE. The date of the interviewer's first visit, his / her name, and interviewer CODE are filled in here.

NAME OF MAIN INFORMANT AND ID CODE: Record here the name of the main respondent, as well as the ID code of this person from the household roster.

IS THIS A REPLACEMENT HOUSEHOLD. Code "Yes" if the household on the list was not found, and had to be replaced with the current household. In cases where the household on the list was not found, the replacement household must be selected by the team supervisor. ON NO ACCOUNT SHOULD THE INTERVIEWERS CHOOSE A REPLACEMENT HOUSEHOLD ON THEIR OWN. Code "No" otherwise. In this case, skip the next two questions.

THIS HOUSEHOLD REPLACES. Fill in the number from the list of the household that could not be found, and had to be replaced with the current household.

REASON FOR REPLACEMENT. Use the appropriate code.

RELIGION OF HEAD. Enter the code for the religion of the head of the household.

INTERVIEW LANGUAGE. The language in which the interview was conducted should be indicated here. If the language of the interview is any other than those listed, you must write the name of the language beside the OTHER code.

CASTE. Enter the code for the caste of the head of the household. Details of castes and categories are given at the back of this manual.

TOLA/BUSTEE. Enter the code for the tola/bustee where the household resides in the village (consult village questionnaire for appropriate codes).

INTERPRETER. Indicate here if you used a translator for the interview.

REMARKS. Record any unusual circumstances that you feel may affect the quality of the interview. This space can also be used to record any observations that the interviewer may have; for instance:

- how far the respondents were willing to cooperate,
- the problems they had in answering any of the questions,
- questions which the respondents refused or were hesitant to answer,
- any unfavorable circumstances,
- any other comments the interviewer may wish to make for the benefit of the supervisor.

The interviewer should write down these comments immediately after the interview, but never in the presence of the respondents.

The supervisor may also write down his observations and remarks on the questionnaire.

SECTION 1. HOUSEHOLD INFORMATION

Purpose. This section has three main purposes. The first purpose is to identify all persons who are members of the household. The second is to provide basic demographic information (i.e. age, sex, marital status) for each person. The third is to collect information on the main sources of income for the household, as well as identify the main breadwinner in the household.

Section 1 is divided into two parts: Part A: Household Roster and Part B: Sources of Livelihood.

Respondent. The respondent for this section should be the household head. The head of household will be identified on the front page of your questionnaire. In most cases, the head of household is the main provider, and will be most knowledgeable about the other members of the household. If he or she is not present or available (for example, he may have died, or be living abroad temporarily), an 'alternative' head must be selected in consultation with senior household members.

Definition of household: A group of people who normally live and eat their meals together. For the purposes of this survey, "normally" is taken to mean that the person concerned has lived in the household for at least 3 of the past 12 months.

People who live in the same dwelling, but do not share food expenses or eat meals together, are not members of the same household. For example, if two brothers, each having his own family, live in the same house but maintain separate food budgets and cooking facilities, they would constitute two separate households. Likewise, people who eat together but do not sleep in the same dwelling are not members of the same household. However, exception to this rule may be made in the case of those persons who normally take their meals together and for all purposes live together, but may sometimes sleep in other places for security reasons (e.g. with livestock, or in shop or other place of business).

1. Ordinarily, people who have lived away from the household for more than nine months of the past twelve months are not considered members of the household for our purposes. This is true even if such people are considered members of the household by the household itself.

2. The <u>only</u> exceptions to be made to this rule should be for (i) persons who are the main provider for the household, (ii) infants who are less than 3 months old, and (iii) newly weds who have been living together for less than 3 months, and .

3. Servants, lodgers, farm-workers, and other such individuals who live and take meals with the household are to be counted as household members, even though they may have no blood relation to the household head.

It is very important that you define the household membership strictly according to the criteria outlined above. These guidelines may not be the same as others that you may be familiar with from other surveys, and at times they may not conform with the household's own notion of who should be considered to be a household member. Please discuss any questions that arise in the field with your supervisor.

PART A: THE HOUSEHOLD ROSTER

Instructions

The roster must be filled out with the greatest of care. In order to do so, you must have a clear understanding of the survey definition of a HOUSEHOLD and the guidelines for being classified as household member. In addition, you must probe carefully to ensure that all persons present in the household are listed in the roster

On arriving in a new village, rosters for all 15 households to be interviewed in the locality (or 35 as the case may be in some villages) should first be filled before any of the other information in the household questionnaire is collected. It is important to identify, visit, and fill out the rosters for each of the households in the sample as soon as possible after you arrive in the village, and before collecting more detailed information on any of the sample households. The rosters should be filled out in consultation with the head of household. In some instances, the head of household may not be available during the first day of interviewing to provide the names of household members for the roster. When this happens, it is in general not desirable to delay filling out the roster until you can speak to the head of the household. This may cause overall delays in collecting the remaining information for the household. When the head is not available, the interviewers should collect the information from one of the other knowledgeable members of the household, often the spouse of the head. If the roster is filled out by any adult other than the head of household or the spouse of the head, verify it with either the head of household or spouse at a later time. Filling out the roster is a good way to introduce yourself to the household and to schedule additional visits with specific household members.

Before filling in the roster, it is important that the interviewer first inquire about who the head of household is, and verify that this person has been present in the household for at least 3 of the past 12 months. Determining the head of household before starting the interview is very important because this person’s name should be written in the first line of the roster.

The first column of the Household Roster is labeled IDENTIFICATION CODE. Each line in the grid below is assigned a number from 1-15. The name of the head of household should be written in the first line. The identification code assigned to each member of the household is determined by the line in which the person’s name is entered in the Household Roster. As the name of the head of household is always to be written in the first line, this person is assigned IDENTIFICATION CODE 1. If, for instance, the name of the spouse of the household head is written in the second line, this person is assigned the IDENTIFICATION CODE 2, the person in line 3 is assigned CODE 3, and so on.

The IDENTIFICATION CODE is extremely important, as it allows the information gathered in the various sections of the questionnaire that pertains to the same household member to be matched together. If a person is assigned IDENTIFICATION CODE 5 in the roster, then in all other sections of the questionnaire where information is collected for individual household members, the information pertaining to this particular person should always be entered in the line corresponding to IDENTIFICATION CODE 5. All such sections contain 15 rows where information for all household members is to be entered in the corresponding row. Every second row in these section has been lightly shaded so as to aid the interviewer in entering the information pertaining to a particular member in the correct row.

Questions 1-3

After you have introduced yourself and explained the study and its purpose, tell the head of household that you would like to make a complete list of all people who normally live and eat their meals together in this dwelling. Enter the name of the household head in the first row. In making the rest of the list, ask the household head the following questions:

* "First, I would like you to tell me the names of all the members of your immediate family who normally live and eat in this dwelling. Please start with your spouse, then your sons and daughters in order of age."

The names of all individuals in the household should be filled out under Question 1 in the fold-out section of the back page. This is for the convenience of the interviewer: this will allow the interviewer to see the roster regardless of the Section of the interview in which he / she is working in. Remember to fold this back in when you are transporting the questionnaire so that it does not tear off.

Try to organize the roster so that after the head of household and spouse, their children are listed by age, eldest to youngest. Following these, list other relatives, then non-relatives. If there are more than 15 names to be written on the questionnaire roster, obtain another questionnaire and complete the roster there. You will fill in the information for these people in that questionnaire. Remember to renumber the ID codes in this new questionnaire to 16 - 30. These two questionnaires should be stapled together. Further, note that this second questionnaire is for recording individual level information of additional members not covered in the first questionnaire only, and that there is no need to refill the sections pertaining to the household as a whole (i.e. section 3, 7, 8, etc.)

To ensure that you get everyone who lives in the household, probe by asking the following questions:

* "Please give me the names of any other persons related to you or your spouse, who often live and eat meals here."

* "Are there any other people not related to you or your spouse, but who normally live and eat meals here?"

* "Are there any other people who slept here last night, but who do not normally live here?"

* "Is there any other person who did not normally live here, but are a major breadwinner for the household?"

Write down any additional names revealed by these questions. While writing down the name of each person, fill in Questions 2 and 3 on sex and relationship to head. Be careful in question 3 to obtain the relationship of the person in question to the head of household. Pay attention particularly when the respondent is not the head of household. The respondent in this case will often give the relationship of the person in question to him or herself and not to the head of household.

> <u>Questions 4-11</u>. For each person listed on the last page, ask Q.4-10 and classify him/her accordingly in Q.11. Complete the entire line for each person before going on to the next person listed.

<u>Question 4</u>. Write the respondent's AGE in completed years on the day of the interview. For instance, if the person is age 4 years and 8 months, write 4 years. If the respondent does not know his/her age, you must make an effort to estimate his/her age by using events in his/her life or community as benchmarks to help in recall. Use the Major Events calendar we have provided you to help him/her estimate.

<u>Question 5</u>. Inquire about the EDUCATIONAL ATTAINMENT of the person, and enter the appropriate code using the list provided. Of those individuals who have not had any formal schooling, those that are illiterate should be classified under "Illiterate" whereas those who can read and write should be classified as "Literate but without formal schooling".

<u>Question 6</u>. Write down the present MARITAL STATUS of each person. Make sure that only those people who have never been married are classified as such, not those who are presently not married, but have been married in the past. For instance, individuals whose spouse has died, or who are divorced or separated should be listed explicitly as such using code 3 or 4 respectively .

CURRENTLY MARRIED. Male or female who live as husband and wife and fulfill their legal and religious obligations.
NEVER MARRIED. A person who has never been married.
WIDOWED. A male or female person whose spouse is dead and who did not marry again.
DIVORCED / SEPARATED. A person who was once married but who has decided to separate from his/her spouse as per the conditions of law and religion and did not marry again / a person who is married but no longer lives with his/her spouse but whose separation is not officially recognized by the law or religion.

<u>Question 7</u>. For all those persons who are currently married, fill in the ID code of the spouse in Q. 7. These codes are recorded in the column next to Q. 1. If the spouse of the person does not reside in the household, write "99". If a man has several wives, record the ID code of the first wife.

<u>Question 8 and 9</u>. Write in the ID code of the father and mother of the person. If the parents of the person are not members of the household, or if they are no longer alive, write "99".

<u>Question 10</u>. Record the number of months the person spent living in the household during the past 12 months. Round weeks/days present in the household to the nearest month. If the person has been away intermittently, estimate the total time that they have spent living in the household in months. Assume a month is equal to approximately four weeks. If the person has always been present during the last 12 months, or has been away for less than a month, code "12".

Question 11. Classify each person according to the following criteria (these are also listed on the last page of the interview):

If the answer to Q.10 is 3 months or more, he/she is a household member.

If the answer to Q.9 is less than 3 months, only the following are household members:

- infants less than 3 months old
- newlywed couples.
- a bride who has just joined her husband's household.
- a person who is a major breadwinner for the household.

Any other person for whom the answer is less than 3 months is not a household member. Write "1" for a household member and "2" otherwise.

After Q. 4-11 have been completed for a particular person, ask these questions again for the next person on the list. Once this information has been collected for all persons listed in Q.1, fill out Column A and Column B on the far left side of the roster page only for those individuals who have been classified as household members in Q. 11.

Column A: Enter the age in completed years (see Q. 4) of all household members.

Column B: Enter the marital status of all members (Q. 6).

These columns are very important. They identify: (1) who in the list of individuals should be considered a member of the household (i.e. those for which the two columns marked A and B have been filled), (2) the age in completed years, as well as (3) their current marital status. The information in these columns provides an important guide to filling out other sections of the questionnaire. For all remaining sections of the questionnaire where individual level information is obtained, collect information for household members only, i.e. those for whom Column A and B have been filled out. For those sections limited to members of a certain age (for example, Section 4.A on early childhood education) Column A permits you to see at a glance the people who must answer that section. In the case of early childhood education, for instance, you would collect information for everyone with an age between "0" and "6" in Column A. In such sections, interviewers must exercise caution that the information pertaining to a particular individual is entered in the correct row.

If a new household member is found at any time after the interview has begun, you must register him or her in the roster section and go through the section just as you did during the household listing. You should also inform your supervisor.

PART B: SOURCES OF LIVELIHOOD

Purpose To help identify the main sources of income and livelihood for the household, as well as the person who is the main breadwinner in the household.

Respondent The questions in Part B should preferably be asked of the household head.

Question 1. Place a check mark in the boxes next to all the categories from which the household obtains its livelihood (both cash and in-kind). Check as many boxes as may relevant for the household. Next, ask the respondent to rank these categories in terms of importance, and fill in the code of up to three of the most important categories in order of importance in the boxes marked FIRST, SECOND, and THIRD.

If the respondent finds it impossible to distinguish between two sources of livelihood that are equally important, list the one with the one with the smaller code first.

Question 2. If the category recorded under FIRST accounts for more than half of the household's livelihood, fill in a "1" in Q.2.. Alternately, if none of the sources of livelihood listed in Q. 1 account for more than 50 per cent of the household's livelihood, fill in "2" in Q. 2.

Questions 3 and 4. Write the ID code of the person who is the main breadwinner in the household in Q. 3, as well as the industry in which the person is employed in Q. 4. Use the 2 digit industry codes provided at the back of the questionnaire for Q.4. In case the person listed as the main breadwinner is engaged in more than one activity, fill in the industry code corresponding to his / her main activity. In case the main source of livelihood of the household is an activity in which more than one member of the household are engaged, fill in the ID code of the person who contributes most towards this activity. Record "99" in Q. 3 if the main breadwinner is not a member of the household.

SECTION 2. ACTIVITIES

Purpose : This section gathers information on economic activities undertaken by members of the household. Detailed questions are included on activities in the wage sectors -- casual wage employment, long-term wage employment in agriculture, and salaried employment. Additional information is also collected on non-farm self employment -- activities in both large and very small business, trade, and manufacturing enterprises.

Respondent: Section 2 is administered to all households members aged 10 years and above.

PART A: ACTIVITIES

ACTIVITY ID: The far left hand column contains a letter for each row of the page. This letter identifies the activity you record in that row, so that each activity recorded on this page has a unique letter associated with it. You will use these letters (henceforth referred to as Activity IDs) to link the activities identified in Part A with the more extensive information on each activity that will be recorded in Parts B, C, D, and E. This will allow, for example, information on hours worked in a particular job asked in Part A to be properly matched with other information about the nature of the job, income earned, etc. that are asked in Parts B through E.

Complete all questions in the section for each household member, 10 years of age or older. Attempt to obtain information directly from each member himself/herself. If a member is not available, the head of household, the spouse, or other well-informed adult member of the household may answer. Ask each household member following the order in which they are listed in the roster. Write the ID code of each member from the roster in front of each activity listed for that person.

Question 1. List all the activities that each household member is engaged in. Please ask the respondent to describe his or her main activity first, defined in terms of primary source of income/livelihood, and then list the second most important, third most important, and so on. Write a brief description of the activity in the space provided in the questionnaire. Obtain information on a minimum of one activity per household member. Persons who are not economically active could be classified as unemployed (code 10), students (code 11), performing domestic duties only (code 12), retired or too old to work (code 13), disabled or handicapped (code 14), sick (code 15), or simply not working (code 16).

The best strategy is to have each respondent simply first list all of his or her economic activities before asking for further details on each activity. Once s/he has done so, be sure to probe for more activities -- many people pursue several activities throughout the year in order to support themselves. For example, an individual may work on the household's own land as well as do casual labor on other people's fields during the harvest season, and go to a nearby city for casual labor during the slack season.

Note that we would like this list of activities to be as detailed and disaggregated as possible. For instance, if a person worked for daily wages in two different activities and was paid a different wage rate per day for each of these activities, then we would like this information to be recorded in two separate lines, rather than aggregated into one activity described as “casual labor”.

In field tests, respondents often recalled some additional economic activities when filling in other parts of the questionnaire. If this occurs, add the additional activity information to Section 2

Once the respondent lists his/her activities, chose the code from the list below the most accurately describes each activity:

> OWN-FARM ACTIVITIES include any work done on the household’s own land or land sharecropped-in or rented-in as well as tending any livestock owned by the household;
> CASUAL LABOR includes all casual (e.g. non-permanent) wage work both in the agriculture sector and outside agriculture. Casual laborers are typically paid on a daily basis or by piece rate;
> LONG-TERM AGRICULTURE LABORER includes longer term unskilled or semi-skilled work in the agriculture sector. Work and payment arrangements are seasonal or even longer-term;
> SALARIED EMPLOYMENT includes all permanent salaried work, typically outside the agriculture sector;.
> PETTY BUSINESS/TRADE/MANUFACTURING includes all time spent by respondents working in a small trade, manufacturing, and or services enterprise owned and operated by his/her household. Using NSS definitions, these would primarily include own-account enterprises (defined as undertakings run with family labor only) but may also include very small establishments (defined as undertakings having at least one hired worker). Note that respondents working for enterprises not owned by the family would be categorized as wage workers. All household members working for the undertaking should use this code whether paid or unpaid family workers.
> MAJOR BUSINESS/TRADE/MANUFACTURING includes all time spent by respondents working in a larger trade, manufacturing, and or services enterprise owned and operated by his/her household. These should include only larger establishments, which will typically have a number of paid employees and significant assets/capital stocks and equipment.
> PERSONAL (JAJMANI) SERVICES includes traditional services done within the village for payment in-kind or crop share, such as services performed by sweepers, scavengers, washermen, barbers, and midwives; artisan services such as blacksmiths, carpenters, and porters are included in petty business/trade/manufacturing.
> COLLECTION, FORAGING includes time spent in “free collection” of forest products, fuel, and fodder for domestic consumption or sales.
> CHARITY/ALMS includes begging and other charity activities.
> UNEMPLOYED is used only by respondents who were not working but actively seeking work over a significant period of time.
> STUDENT includes all people who are enrolled in some education program, including both academic and training programs.
> DOMESTIC DUTIES ONLY is used to classify individuals who perform only domestic duties for the household’s subsistence;

RETIRED/TOO OLD includes all persons who no longer work due to age;
DISABLED/HANDICAPPED is used to classify respondents who likely to be permanently unable to work due to their physical or mental conditions, while
SICK is used in the case of respondents who were too ill to work for some temporary period of time.
NOT WORKING should be used only in the case of respondents who claim to do no domestic work nor to work outside the household at over any time the past 12 months.

Question 2. These questions are designed to measure time spent on an activity over the past year, as well as seasonal or intermittent patterns of work. It is very important to probe carefully and record information accurately, particularly for economic activities that have a strong seasonal or intermittent nature. Twelve columns are provided in the questionnaire, one for each calendar month. For each month the activity was done, write down the estimated number of days it was done during the month. The most important piece of information from this question is whether or not the respondent actually did the activity during a particular month. If the respondent is not clear on exact number of days, probe and fill in his/her best estimate of the number of days. Recall on number of days will clearly be difficult and more subject to uncertainty than whether work was actually done during a month. If no work was done in a particular month, write 0.

Question 3. Ask the respondent to estimate the average number of hours per day s/he did this activity during a typical month..

Questions 4 and 5. Record whether the work was done in the village or outside. If outside, record the location of the work using the codes provided at the back of the questionnaire. Record also whether the work was done in an urban or rural area.

Question 6. Here you must classify relevant economic activities into one of four categories Not all activities will be coded -- just those activities where more information is required (in Parts B -- E). Note that most of the codes in Question 1 map directly into the four categories.

If an activity has been coded as "1" (OWN-FARM ACTIVITIES), leave all columns blank

If an activity has been coded as "2" (CASUAL LABOR) write a "1" in column 2B.

If an activity has been coded as "3" (LONG-TERM AGRICULTURE LABORER) write a "1" in column 2C.

If an activity as been coded as "4" (SALARIED EMPLOYMENT) write a "1" in column 2D.

If an activity has been coded as "5" or "6" (PETTY BUSINESS/ TRADE/MANUFACTURING or MAJOR BUSINESS/TRADE/MANUFACTURING) and the respondent identifies himself or herself as the primary person in the household in charge of the enterprise, write a "1" in column 2E. Note that there should only be one row filled out in Part E for each enterprise.

If an activity has been coded as "7" (JAJMANI SERVICES) and the respondent claims to receive some form of cash or in-kind compensation for the service, write a "1" in column 2E.

If an activity has been coded as "8" (COLLECTING/FORAGING) and the respondent claims to have sold, traded, or bartered at least some of whatever was collected or foraged, write a "1" in column 2E. (For example, if the respondent collects firewood for household use, leave all columns blank. But is the respondent collected some wood to sell, then code a "1" in column 2E)

Leave the four columns blank for all other activities.

PART B: CASUAL WAGE EMPLOYMENT

This section collection additional information on casual labor activities performed by household members. These activities are identified by having a "1" in column 2B of Question 6 (Part A). For all qualifying activities, copy the Activity ID and household member's ID Code from the two left hand columns in Part A to the same two left-hand columns in Part B. Then proceed to ask questions 1 through 7 for each activity so identified.

<u>Questions 1 and 2.</u> are used to provide estimates of the daily wage rate for casual laborers. If paid under a piece rate system, estimate the daily wage equivalent for the piece rate compensation. If a laborer has been paid different wages at different times of the year for similar kinds of work, record the wage rate most commonly received.

<u>Question 3</u>. Record any (additional) in-kind payments received on a daily basis -- particularly payments in food grains. Record all grain payments in Kgs. Record "Other" in-kind payments in rupee value.

<u>Question 6</u>. It is very important to identify any work activities that were done under employment guarantee or public works schemes. The three main schemes operating in the study area are JRY, EAS, and INDRAWAS. If the respondent does not know which scheme s/he has worked under, probe to identify working conditions and payments, and classify according to the most likely code. Work done under any other government employment schemes other than those mentioned above should be classified under "Yes, Indrawas / Other".

<u>Question 7</u>. Use the INDUSTRY CODES provided in the questionnaire to classify the work according to industry. You should do this after you have completed the household interview and not require respondents to sit and wait while you do the necessary coding. Note that the description of the work written in Part A, Question 1, should be sufficiently detailed so that you can select the proper industry code one you have completed the interview.

PART C: LONG-TERM WAGE EMPLOYMENT IN AGRICULTURE

This section records additional information on agriculture workers who have long-term working arrangements with particular land owners. These activities are identified by having a "1" in column 2C of Question 6 (Part A). For all qualifying activities, copy the Activity ID and household member's ID Code from the two left hand columns in Part A to the same two left-hand columns in Part B. Then proceed to ask questions 1 through 10 for each activity so identified.

Questions 1 and 2. Estimate and record the value of cash and in-kind payments received over the past 12 months for the work. Exclude the value of any meals provided on a regular basis to the laborer.

Question 3. If the worker received in-kinds payments (valued in Question 2), identify the major form of in-kind payment (i.e. what food grains were given, whether clothing was given). Record the most important payment (in monetary terms) if several different commodities were given in payment.

Questions 5 through 8 attempt to provide information on the relationship that exists between the laborer and the landlord. For example, how long has the laborer worked for this particular landlord (question 5)? Does s/he ever borrow from the landlord (question 6 -- include cash and in-kind borrowing)? Can the laborer work for another landlord at the same time s/he is working for the present landlord? Finally, do other family members also work for the landlord, either in agriculture or in other activities?

PART D: SALARIED EMPLOYMENT

This section records additional information on the work activities of salaried employees. These activities are identified by having a "1" in column 2D of Question 6 (Part A). For all qualifying activities, copy the Activity ID and household member's ID Code from the two left hand columns in Part A to the same two left-hand columns in Part B. Then proceed to ask questions 1 through 7 for each activity so identified.

Questions 1 and 2. Record the respondent's cash take-home pay per month (Question 1) and the monthly value of any additional payments or bonuses (Question 2) including in-kind payments if applicable. Additional payments might include items like transport subsidies, bonuses, tips and other payments.

Question 3. Record the number of other salaried employees who work for the same employer.

Question 7. Refer to instructions in Section 2B.

PART E: BUSINESS/TRADE/MANUFACTURING

This section records additional information on a wide variety of non-farm self-employment activities, including e.g. petty trade and services (including traditional or jajmani services), retail establishments, village artisans, and small and large scale manufacturing. These activities are identified by having a "1" in column 2E of Question 6 (Part A).

Question 1. Using the roster, write the ID codes of all household members who have helped out with the enterprise/undertaking at any time over the past 12 months. Include children who have worked in the enterprise, even if they only work for a few hours or on an intermittent basis.

Question 2. Record here the appropriate code based on the total number of non-household members who also work in the enterprise. This may include any other individuals from another household or households that share in the earnings from the enterprise, and thus are, strictly speaking, not employees as such.

Question 3.

> HOME means that the enterprise is operated out of the dwelling unit itself, or from the homestead land where the dwelling is located.
> OTHER FIXED LOCATION is used for enterprises that are operated out of a fixed location that is not in the dwelling unit or on the homestead land.
> OTHER VARIABLE LOCATION is used for enterprises that do not operate out of a fixed location or a location with security of tenure. For example, if a fruit seller has a stand in a particular location (e.g. on a street corner) but does not have security of tenure, then use this code. If, on the other hand, the fruit seller has security of tenure (either through lease or ownership) then code 'other fixed location'.

Question 4. Ask the person in the household most knowledgeable about the enterprise/activity to estimate net revenues earned by the enterprise in a good month. Revenues should be reported net of business expenses. In the case of a fruit seller, s/he would report total sales of fruit for the month, minus any expenses that were incurred in selling the fruit (e.g. purchasing fruit from wholesale market or farmer, travel costs, etc.). Note that this measure need not be precise; the intention is to establish the scale of the enterprise and enterprise earnings relative to household needs. In cases where the enterprise is owned by more than one household, estimate the net revenues received by the household being interviewed.

Question 5. The objective is to determine whether the enterprise provides services/products directly to consumers (codes 1 and 2) or provides services/products primarily to other firms (codes 3 and 4). Subcontracting is an example of services/products provided to other firms. In addition, the question is trying to establish whether the enterprise produces for local markets (codes 1 and 3) or for urban or export markets (codes 2 and 4). If an enterprise sells to a variety of customers, code the most important customer in terms of total sales.

Question 6. Refer to instructions in Section 2B.

SECTION 3. HOUSING AND ACCESS TO FACILITIES

Purpose: This section collects information in three areas: the type of dwelling occupied by the household, access to basic services (water, sanitation, and electricity), and access to various facilities providing services

Respondent: The appropriate respondent for this section is the household head. If he or she is not available, ask the best informed person.

PART A: HOUSING

Question 1.

DWELLING is the place where a household lives. It may be in a chawl or bustee, or an independent house or a flat. The dwelling unit for the household may include the whole structure or only a part of the structure. If the household occupies a portion of a house, refer to that portion only when answering the questions.

Question 2. Homestead land is the land on which the dwelling is built.

YES, PATTA refers to land assigned to the household by the government.

Questions 3-4 are for renters only. Do not ask them to those who own their dwelling.

Question 4. The answer category RELATIVE means a relative who is not a household member.

Question 5. If more than one material is used, code the predominant material used in the main structure.

KATCHA/THATCH is a temporary housing structure, often with walls of wattle or mud, that has a thatch roof.

KATCHA/TILE is a temporary housing structure with a tile roof.

SEMI-PUCCA is a semi-permanent structure, typically made out of mud, wood, and brick.
PUCCA, THROUGH WEAKER SECTOR HOUSING SCHEME refers to pucca housing built through a government program

PUCCA is a permanent housing structure.

PART B: UTILITIES

Question 1. Ask about the source of drinking water for the household. If the household uses more than one source, use the code of the source where water comes from for most of the year, or in the largest quantity.

> TAP: the water comes from private or public pipes, typically inside or directly outside the dwelling unit.
> WELL: the water comes from a well, open or covered with a lid or cover.
> TUBEWELL/HANDPUMP: the water comes from an underground water source with a hand-pump or other lift system to draw water out of the ground.
> TANK/POND/RESERVOIR (RESERVED FOR DRINKING): use this code only when the water source is indeed reserved for drinking.
> RIVER/CANAL/LAKE/POND: the water comes from other sources such as rivers, streams, lakes, canals, etc.
> OTHER: Most sources should be included in the categories above, but if one is not (for example, spring, water seller, etc.) use this code.

Questions 5-6. If the water from the main source is ever scarce, identify source used at times of scarcity, as well as distance to the source used in times of scarcity. In reporting the source and distance, used the same codes as provided in Q. 1 and 4.

Question 7. Include only fees for water used by the household for drinking, cooking, washing, etc. Do not include water charges for irrigation.

Question 8. Include charges for maintenance and repairs of the water source, for example charges to fix the hand-pump. Help the respondent recall how much was spent over the last twelve months.

Question 9.

> NO LATRINE means that there is no proper toilet or latrine available for the household.
>
> FLUSH SYSTEM means the latrine is equipped to flush away waste, either by tank, or manually using a bucket or pitcher. Waste is disposed of through a duct connected to a sewer.
>
> SEPTIC TANK is the same as above, except that waste is flushed into a septic tank.
>
> OTHER LATRINE is to be used for example for latrines connected to uncovered canals or ditches for waste drainage.

PART C: ACCESS TO FACILITIES

This section collects information on the time taken to reach various facilities from the household's dwelling unit.

Questions 2-3. "Village" here refers to the revenue or census village, while bustee/tola refers to the specific hamlet of settlement within the village where the household resides.

Questions 4-6. Indicate the usual or most common way members of the household get to each location listed, and the time it takes to go from the house to the various facilities listed, one way, using the mode of transport most often used. If household members do not use the facility (for example, a household may have no children going to a secondary school), indicate the mode of transport and time taken if they were to go. If not known, leave blank.

For facilities which are less than one hour away, indicate the number of minutes and leave the "Hours" column blank.

In the case of CHC / District Hospital, record the distance and travel time to whichever of the two facilities that is closer.

“Primary”, “Middle”, and “Secondary” school mentioned here refer to any school where education for classes 1-5, 6-8, and 9-10 are provided, regardless of the designation of the school as such. Thus, it may be that there is a secondary school in the village where classes 1-10 are offered. In this case the first three rows of this table could potentially all refer to this same school.

SECTION 4. EDUCATION

Purpose: This section collects information on the following:

(i) use of child development (for example, anganwadi/balwadi) and early childhood education programs for children aged 0-6 years;
(ii) formal schooling for children and young adults (6 to 19 years old) and expenses on education incurred during the past 12 months for those currently in school;

Literacy of household members - i.e. which persons in the household can read and write -- and educational attainment for each person - i.e. the highest level of schooling completed -- are covered in the roster.

Respondent: You should interview each child who is able to respond and each young adult directly. If the individual is not available, or is too young to answer for him/herself (as in Part A), obtain the information from a parent or from the best-informed person.

PART A: CHILD DEVELOPMENT/EARLY CHILDHOOD EDUCATION

Questions 1-2: The answer to Question 1 should be YES if the child has attended any kind of developmental or early childhood education program, including NGO and private programs, in the past three months. The answer to Question 2 distinguishes among types of programs.

> ANGANWADI / ICDS PROGRAM - GOVT: Use this code for all such public programs.
> OTHER GOVT. PRE-PRIMARY PROGRAM: Use for all other government provided pre-primary education programs.
> NGO / OTHER NONPROFIT PROGRAM: Use this code for all not-for-profit programs.
> OTHER DEVELOPMENTAL/EARLY CHILDHOOD PROGRAM: Use this code for private for-profit programs.

Questions 3 through 5 are for children currently enrolled in a developmental or early childhood education program. Ask at what age the child first enrolled in the program (Q. 3) , the actual number of days the child attended the program during the past month (Q. 4), and note which services they actually received over the past month (Q. 5).

PART B: FORMAL SCHOOLING

Question 1 asks about past attendance in child development/early childhood education programs for school-aged and older children.

Question 2. The answer recorded for this question determines if the child is currently enrolled in school, and thus whether or not questions 3 - 12 are to be asked for this child.

Questions 3-12 are for those who are currently attending school.

Questions 3-5. Asks about the kind of school the person is actually studying in.

GOVERNMENT: Government schools.
GOVERNMENT-AIDED: Schools which are recognized, and receive help from the government.
RECOGNIZED PRIVATE: Private/NGO/other schools which have been recognized by the government.
UNRECOGNIZED PRIVATE: Private/NGO/other schools which have not been recognized by the government.
RELIGIOUS NON-FORMAL. Courses of study imparted by religious schools which differ in significant ways from the formal modern government curriculum -- for example Muslim madrassas.

If a person happens to be attending one school but also enrolled in another school, record this fact in Question 4. However, exclude private tutoring schools in responding to Question 4.

Question 5 again refers to the location of the school that the person is actually attending.

Question 6. For persons who are studying at home to take examinations privately, use the level of education code that the student is currently preparing for.

Question 8. This question covers all (estimated) schooling expenditures for each person attending school. These expenditures may include those that have already been made, as well as those that will be made in the remainder of the school year.

It is likely that the expenditure information will be obtained from the head or household, or the parent of the student, rather than from the student himself/herself. Some respondents may have difficulty estimating expenses; in such cases, ask the respondent to give you approximate figures. If the respondent (or his/her parents) cannot recall expenditures by category, leave columns A-E blank, and write only the total in Column F. If detailed expenditures are provided for some or all categories, write them in the appropriate columns; write any other expenditures for which the breakdown is not known in column E, then sum the amounts up and write the total in column F. Note however that the breakdown of expenses by type is extremely important, so as far as possible try to obtain the expenses separately for each of the categories by probing.

If some expenses are shared by various children (for example, transport), divide the total by the number of children, and enter the amount for each child in the appropriate column. If a child is enrolled in more than one school, include expenses for all schools.

Column A: Tuition fees, exam fees, and other fees. Include all fees paid to the school or teacher at the school where the student is enrolled.

Column B: Uniforms. Include the cost of uniforms and other clothing necessary for school activities.

Column C: Books, papers, other school supplies. This should not only include expenses for books, stationery and pens, but also calculators and other learning tools such as computers.

Column D: Private Tutoring. Private tutoring typically occurs when a student, particularly one who has poor academic progress, is provided with paid individualized instruction outside of school to improve his or her academic performance.

Column E: Other expenses. Include expenses for transport; boarding, meals, lodging, etc. for students who live away from home; miscellaneous expenses, such as student memberships fees for clubs, etc. Record here also amounts that the respondent cannot break down into the other categories.

Questions 9-11. Ask whether the student was eligible for a scholarship (Q.9) (whether in cash or in kind, i.e. in the form of free books, free boarding, etc.), and if so, how much the student was eligible to receive in the past 6 months (Q. 10) as well as the amount actually received (Q. 11). Do not include here other forms of assistance in which money is paid to the household by an outside source, for instance a benefactor or any other person who is not a household member. These should instead be covered in the section on Remittances.

Question 12. Ask whether the student received any meals at school or a mid-day meal grain ration over the past month.

SECTION 5. HEALTH

Purpose This section gathers information on the following:

(a) Illness and injuries among all household members in the past year which have made it difficult for the person to perform their normal activities for at least a week (i.e. working, attending school, etc.)
(b) Immunizations received since birth by children aged 5 years or less.
(c) Incidence of diarrhea during the past 30 days for all children aged 5 years or less.

SECTION A: ILLNESSES AND INJURIES

Instructions

The main purpose of this section is to obtain information about serious illnesses and injuries during the past 12 months that resulted in the person having difficulty in performing their normal activities -- work, school, etc. -- for at least a week. This section thus includes both chronic as well as acute illnesses. Any other minor episodes of illness or injury that the person suffered from during the past 12 months (e.g. colds, minor infections), but which did not significantly affect their ability to work or carry out normal daily activities, are not to be included in this section.

Question 2. If the respondent lists more than one illness, record the one that the respondent feels is / was most debilitating.

Question 4. However, if the respondent suffered from more than one serious illness or injury, record the total amount of time that was lost during the past 12 months because of all these illnesses and injuries.

Question 5. Record the code of up to four health care providers (both traditional and modern) that the person may have consulted for the illness or injury in the columns provided, in the order in which they were consulted. If no one was consulted, leave all four columns blank.

Question 6. Once again, if the respondent suffered from more than one illness or injury, record the total amount spent on treating all these illnesses and injuries.

Question 7. Treatment of serious medical conditions can be very costly to the household. This question is designed to capture ways that households have of financing the costs of medical treatment, in order of importance.

> SAVINGS means that the household used cash on hand to pay some or all of treatment costs.
> SALE OF ASSETS means that the household had to sell durables or other assets to pay for treatment costs.
> UNSECURED LOANS means borrowing money without collateral.

MORTGAGE OF ASSETS means that the household borrowed money using household durables or other assets (excluding land) as collateral. This category also includes pawning durables or assets.
MORTGAGE OF LAND means that the household uses land as collateral.
ASSISTANCE means that some relative, other person, or agency/organization simply gives the household some or all of the money to pay for medical treatment.

PART B: IMMUNIZATION AND DIARRHEA

Instructions

Question 1. A child receives a number of preventative immunizations in his/her first few years (e.g. polio, DPT, measles, etc.) For immunizations to be fully effective, the child should receive the entire course of vaccinations. For the purposes of this questions, however, all we are interested in is whether or not the child has ever received any immunization, i.e. regardless of whether the course was completed or not.

Question 2. PHC is a Primary Health Center, the CHC is the Community Health Center.

Questions 3-5. Diarrhea is defined as three or more loose stools per day. We want to know how diarrhea was treated. Be careful not to include dysentery here; dysentery, which may be identified by the presence of blood and / or mucus in the stool, is a much more serious disease, and is not treated with ORS. Instead, if a spell of dysentery lasted one week or more, this should be covered in Part A.

Question 6. Here, health practitioner refers to a qualified medical practitioner as such, which includes a trained village health worker / nurse practitioner, government doctor, private MBBS doctor, or charitable / NGO MBBS doctor or trained medical personnel.

SECTION 6. MARRIAGE AND MATERNITY HISTORY

(a) **Purpose:** This section collects information on: (a) maternity history from female household members aged 15 - 45 years, and (b) pre-natal and post-natal care from women who had a child in the last three years, and (c) perceptions amongst women about their role as members of the household and community.

Respondents. All women aged 15 to 45 who have been married and have given birth complete Part A. All women aged 15 years and older complete Part B. As far as is practicable, try to interview the women concerned directly.

PART A: MATERNITY HISTORY

Instructions

You will notice that there are two copies of Part A in the questionnaire. Prior to beginning the interview for this section, transfer the names and ID codes of all ever-married women 15 to 45 who have given birth to at least one child, to the pages of Part A.

Ever-married women are all women who have been married, regardless of whether they are currently married. Thus, women who are now currently married, separated, divorced, or widows must answer this part.

Question 1 and 2. List all children that the woman has given birth to. Ask first about all surviving children, starting from the oldest to the youngest. Once this list of all surviving children has been completed, ask the woman about all children she gave birth to, but who are no longer alive. Thus the list of children for each woman should include all children she has given birth to, regardless of whether or not they are still living, and regardless of whether or not they live with her at present. Make this list before you go on to ask the remaining questions for each child. Use the calendar of important events to help the woman recall the year in which each child was born. Check the list for the woman by ask the respondent: “When was your 1st child born?, then “When was your 2nd child born?”, and so on.

If a child died before being given a name, write “BOY 1”, “GIRL 1”, etc. as appropriate in Q. 1.

Be sure to probe here for children who have died. There is often a natural reluctance to discuss the death of a child, and many groups have a prohibition against talking about the dead. But we do need a complete list of all the children a woman gives birth to, even those who were stillborn, or who died very shortly after birth. When you have finished the list, ask the respondent if it is complete. Ask her if there were any stillbirths, that is, children who died shortly after birth, whom she has not mentioned yet. If a respondent cannot say when a child who died, or was stillborn, was born, at least get the birth order of the dead child, i.e., before or after which child was he/she born. If there were twins or other multiple births, list them on separate lines.

There may be cases in which respondent recalls a child she forgot to mention after she has completed the list. This may happen for instance if the respondent decides to mention a deceased child she has not discussed. Record this child at the bottom of the list.

This part of the section can serve as a cross-check on the roster. Make sure that children listed here who are alive and live at home are also listed in the roster.

Leave a blank line, after which you should start with the list of children for the next woman in the household.

Question 5. Try to obtain the age of the child at death, expressed in years and months if the child died within the first two years. Years alone are sufficient if the child lived more than three years. Use days only if the child lived less than a month. Code 0 in the time categories that you do not use. Thus, if a child lived only a month, code "0" in the years column, "1" in the months column and "0" in the days column. If a child lived less than a month, code the number of days, and put 0s in the other columns. If a child was stillborn, code "0" years, "0" months, "0" days. If the child was born alive, i.e. breathed on its own, but died on the first day, code "0" years, "0" months, "1" days here.

PART B: PRE- AND POST-NATAL CARE

Respondent This part is to be administered to all ever married women in the household aged 15 years and older. Use the line corresponding to the mother's ID code.

Question 1. Record the age at which the woman got married. In the event that a woman has married several times, record her age at the time of the first marriage. In cases where the woman married at an earlier age, but only started living with her husband at a later age, record the age at which she started living with her husband. If a respondent cannot recall her age at marriage estimate based on other events.

Questions 4 - 11 are only to be asked of those women who gave birth during the past 3 years. If the respondent reports more than one birth, describe the most recent birth.

Question 4. Pre-natal care is defined as regular visits (i.e. at least 3 visits during the pregnancy) made to a allopathic health practitioner or doctor to monitor the health of a woman and her child during her pregnancy.

Question 10. A post-natal check-up is a visit to a health practitioner made within six weeks of birth to check the health of the mother and the child.

Question 11. Record here the age at which the child was first given semi-solid foods, regardless of whether or not the mother continued to feed the child milk and other liquids. If the child has not been given any semi-solid foods as yet, record "99" in the column.

PART C: WOMEN'S ROLES

Respondent It may be easier to conduct the interview with several of the women together from the household; however, try to elicit the views of the younger women as well as older (and typically more vocal) women in the household. Record the ID code of the woman who was the main respondent for this section in the space provided.

Instructions

Questions 2 through 4. Violence against women, and in particular domestic violence, is widespread in many poor, rural areas. These questions attempt to measure levels of violence without asking a woman directly about her own situation -- which she may be reluctant to discuss. The terms "beaten or otherwise harmed" should be interpreted broadly to include actual injury as well as direct threats of injury. Question 2 deals with domestic violence, Question 3 with other forms of violence, directed against women, within the village, and Question 4 with violence experienced outside the village (for example, when foraging or collecting forest products, or traveling on public transportation).

"Village" here refers to the revenue or census village in which the household resides.

Questions 5 and 6. The purpose of question is to find out the extent to which the respondent feels that she is able to move about with relative freedom in the community in which she resides. Thus, one way to phrase these questions would be to ask if, for instance, if a child in the household were ill, (i) would the woman feel free to go to a doctor without the permission of a male member of her households, and (ii) if she would feel comfortable making this visit on her own.

Question 7. The purpose of question is to find out, in the case where the woman experiences complications in the case of delivery, how far she would have to go in order to receive proper medical attention.

SECTION 7. FOOD EXPENSES AND HOME PRODUCTION

Purpose: This section collects information on the household's total expenditure on food of various types, including an estimate of the value of home produced or home-grown food consumed by the household. It also is used to estimate food consumed that was received as payment in-kind, i.e. as remuneration for work done on someone else's farm, as gifts, or as presents from relatives and/or friends. In addition, respondents are asked about the ownership of household durable stocks.

Respondent: The appropriate respondent(s) for this section is the person or persons who know most about household spending and food consumption patterns. The head is likely to be best informed about overall spending patterns. The spouse of the head (or female head) likely knows the most about the household's food consumption patterns. If possible, obtain information from both the head and spouse/female head.

PART A: WORKSHEET

A worksheet is provided to aid in identifying food consumption patterns. Information in the worksheet will be very helpful in filling out the next page, and will also be very useful in identifying seasonal patterns in consumption.

To fill out the worksheet, we can refer to those items overleaf which are likely to be home produced or received in kind as wages or other payments. Later, if necessary, we can also add items which are not on the list but are important items of local consumption, or of consumption of a particular group.

For each item, we probe the months in which the item is consumed. Further, in the box pertaining to the month, we put 'H' if the item is consumed almost exclusively out of home production, 'K' if the item is consumed almost exclusively out of receipts in kind, 'P' if the consumption in that month is based on purchases, and 'M' if consumption is based on purchases as well as home production or receipts in kind. If there is no consumption in a particular month, leave the corresponding box blank. If consumption is based both on home production and receipt in kind, use the notation which reflects the predominant source. If consumption is based on loans in kind which are also repaid in kind, write 'H' or 'K' depending on the source of repayment, else write 'P' if the loan will be repaid in cash.

PART B: FOOD EXPENSES AND HOME PRODUCTION

This section collects information on food purchases, home production, and receipts in-kind. Questions 2-7 are divided into two groups -- questions 2-4 cover food purchases, while questions 5-7 cover home production and in-kind receipts. For items included in the worksheet in the previous page, you could fill out some parts of this section without asking again, such as questions 1, 2 and 5 for some of the food items.

Question 1 comprises a list of 25 food and beverage items. Ask whether the household has consumed each food item on the list before proceeding further. Put a check in the appropriate box, then go on to ask questions 2-7 for each food item that is marked with a check .

Questions 2-4 Food purchases:

Question 2. Not all foods are purchased year-round; some are seasonal. The worksheet in Part A provides information on seasonal purchases. Using this information, ask the respondent to estimate how many months during the last year the household consumed food that it had purchased. If the food item is purchased in all 12 months of the year, record "12" here. If a food was not purchased by the household during the past 12 months, write "0" and skip to Q.5. All months marked with "P" or "M" on the previous worksheet page should be counted as months in which purchases took place.

Question 3. Emphasize that you want the amount of a given food that is usually consumed in a typical month during which the food is purchased. In most cases the amount will be given in whole units, i.e. 5 kilos. However, if fractional amounts are reported (for instance 1/2 kilo) record it as 0.5 kilo in the questionnaire.

Note that all quantities have been fixed at a specific unit -- for example, rice and wheat are always reported in kilos, and milk and edible oils in liters. Do not fill in quantities for food items where column 3 has been blocked out in the questionnaire.

Question 4. Record the usual amount of money the respondent would have to spend, not the amount that would have to be spent in unusual circumstances such as a drought or surplus year. Be sure to record the amount paid for the total quantity consumed, NOT the price per unit. In estimating this amount, use the price normally paid by the household. If the food was purchased on barter, report the value of goods exchanged to acquire it.

For example, suppose that a household reports that it purchases wheat (code 02) during three months of the year. Record "3" months in question 2. Now ask the respondent how much the household consumes during each of these three months, as well as the amount it would have to spend to purchase this amount. If the respondent says that the household consumes 20 kilos in each of these months, and that it costs Rs. 100 (i.e. Rs. 5 per kilo), write '20' in Q. 3' and '100' in Q.4.

Questions 5-7 Home production and in-kind receipts:

Question 5. Similarly to food purchases, home-grown food items and in-kind receipts may only have been consumed during certain months of the year. Refer to the worksheet in Part A, and ask for the number of months the household consumed home-produced food or received payments in-kind. If a food item is used / received in all 12 months of the year, write "12". If a food was not produced by the household nor received through a gift or payment in-kind, write "0" and skip to next food item. All months marked with "H" or "K" on the previous worksheet page should be counted as months in which consumption from home production took place.

Question 6. Record information for an average month during which the food was consumed (i.e. one of the months reported in Q. 5). Be sure to record the amount consumed in terms of the specified units of measure for each good.

Question 7. Ask the respondent to estimate the amount of money that would normally have to be spent to purchase a monthly quantity of the food item (i.e. the amount reported in Q. 6). Be sure to record the total mount that would have to be paid to purchase the monthly quantity consumed, and NOT the price per unit. If necessary, use the price prevailing where the household would have to buy the food.

PART C: NON-FOOD EXPENDITURES

This section collects information on non-food expenditures on a monthly and annual basis.

Question 1 includes a list of 14 non-food items that are typically purchased on a frequent basis. Write the value of total rupees spent on each item in the past 30 days (including the value of barter or in-kind purchases) in the column labeled Question 2. If no expenses have occurred, record '0'.

Question 3 includes a list of 12 non-food categories where spending is less frequent, and the recall period thus is the past 12 months. Probe carefully to get as complete an estimate as possible of total spending and payments in-kind for items covered under these categories. If no expenses have been incurred, record '0'.

MEDICAL CONSULTATION FEES, MEDICINES, AND SUPPLIES includes all spending on health care -- visits to health care providers (both traditional and modern), in-patient care (including food and bed costs) if relevant, the costs of medicines (including medicines that may have been provided free through public health clinics or hospitals), as well as the costs of transporting a household member to a health care provider. Include also medical expenses that a friend or relative living outside the respondent's household may have paid to provide care for a household member.

REMITTANCES SENT TO OTHER HOUSEHOLDS/INDIVIDUALS includes gifts of cash or in-kind items (e.g. food grains) sent to people living outside the household. Typically these would include support provided to parents or other family members who are not formally a part of the household (because they live elsewhere) but are linked by kinship or marriage. Support could also have been provided to persons not related to household members -- for example, gifts of food given to neighbors in times of need. Wedding gifts are reported elsewhere (code 240) in the section.

LITIGATION includes all costs associated with court cases and other legal disputes.

TAXES, OTHER CHARGES include direct taxes paid by the household, fines, etc.

RELIGIOUS EXPENSES includes direct spending for religious observances and religious festivals. This would include transport to religious sites/festivals, offerings made, and other costs (such as incense, etc.).

SOCIAL EXPENSES (WEDDINGS, DEATHS, RITES). Record here costs associated with weddings, for instance gifts made to other households (including dowry payments), deaths, and other religious rituals and rites that are in addition to expenses already reported in Part B. Note that expenditure on purchase of food for a wedding in the household should be reported here, and not in Part B where only typical expenses are to be reported.

PART D: INVENTORY OF DURABLE GOODS

This section identifies which durable goods are owned by the household. Check the box marked 'yes' for all durables owned by the household (Q. 1). and record the number of items owned by the household (Q. 2).

SECTION 8. VULNERABILITY

Purpose: This section collects information on the following:

(i) food availability throughout the year and use of the Public Distribution System (PDS -- Fair price shops);
(ii) loans outstanding or contracted over the past 12 months;
(iii) receipts from safety net programs.

Respondent: The appropriate respondent for this section is the household head or his/her spouse. If they are not available, ask the best informed person.

PART A: FOOD AVAILABILITY

Questions 1 and 2 aim at assessing whether the household had enough to eat throughout the year. Having covered food production and purchases in Section 7, the interviewer should be able to help the respondent recall the months in which the household did not have enough to eat.

Questions 3-8 assess whether the household purchased food through the Public Distribution System (PDS). Typically these purchases are made at the local Fair Price Shop.

Questions 9-10 assess whether the household qualifies for the newly introduced below the poverty line (BPL) subsidy on food grains offered through the revamped PDS. A BPL list has been drawn up in most villages, and some qualifying households have already received cards. Households are asked whether they are on the new BPL list (Question 9) and whether they have actually received a card (Question 10). In some localities in UP, the BPL cards are red.

Finally, Questions 11-12 assess whether the household got any food on credit over the last 30 days, and from whom.

PART B: LOANS

Respondent: The respondent should be the person who is best informed about the household's borrowing activities.

Instructions

Many people are understandably reluctant to reveal details of their financial dealings. You must do your best to ensure that the respondent has confidence in you. Remind him/her that the information they give is confidential. Stress that accuracy of response is important. For your own part, probe carefully here. As much as possible, make sure you ask these questions in private.

Questions 1 - 6 pertain to IRDP loans that the household has taken over the past 5 years. IRDP is the integrated rural development program, which provides loans in-kind (and more recently cash loans) to qualifying households.

Question 3: Record here the amount actually received by the household, net of any amount that may have been deducted as part of the loan processing arrangements. Do not record here the amount of money that the household has to repay. Thus, it may be that a household borrows Rs. 10,000, of which 500 rupees were deducted at the time of disbursement, and at the end of 5 years, the household is supposed to repay Rs. 15,000. In this case, Rs. 9,500 should be recorded in answer to Q. 3 (i.e. the actual amount received by the household). In case the loan was made in-kind (for example in the form of payment for some machinery that the household received), record here the equivalent cash value of the goods received by the households under this program.

Question 5: Record here the amount that the household had to pay to other individuals in order to obtain this loan. Thus, in the example given above, the Rs. 500 that were deducted at the time of disbursement should be recorded here.

Question 6: If the household has begun to repay the amount borrowed, regardless of the amount actually repaid, the answer to this question should be “1”.

Question 7: If the household had to borrow anything (both cash and in-kind) during the past 12 months (from any source), the answer to this question should be “1”.

Question 8: In the case where the household borrowed from more than one source in the past 12 months, record here the three main sources from which the household borrowed during the past 12 months in order of importance.

Questions 9 and 10 aim at ascertaining the net debt position of the household.

Question 9: Record here the total amount currently outstanding that the household owes to others. It may be necessary here for the interviewer to first individually list each of the loans currently outstanding somewhere on this page in the blank space provided, and to then sum all of these individual loans to determine the total amount of debt outstanding.

Question 10: Record here the total amount that the household has lent to others that is still outstanding. Again, it may be necessary for the interviewer to first list individually each of the loans that are currently outstanding, and then to sum all of the individual amounts still outstanding to determine the total amount of debt owed to the household.

At the analysis stage, subtracting the amount reported in Q. 10 from the amount reported in Q. 9 will allow us to determine the net debt position of the household.

PART C: SAFETY NETS

Question 1. Make sure to ask whether the respondent as well as other members of the household are eligible to receive a safety net payment -- for example, whether a widow who is eligible to receive a pension is residing in the household; whether a household member has died recently under circumstances that make surviving members or his/her spouse eligible to receive accidental death benefits.

Question 2. Now probe to see whether the respondent/persons in his/her household have actually done the necessary paperwork and are registered to receive the safety net payment.

Question 5. Record here any expense, of any kind, made to receive the transfer (including transportation, fees, bribes, etc.)

SECTION 9. FARMING AND LIVESTOCK

Purpose: The purpose of this section is to collect information on the household's agricultural assets as well as some data on farming practices followed by the household.

Landholding: land owned, land operated, and irrigation
Crop production and use of fertilizer
Ownership of livestock
Ownership of farming assets

Respondent: Any household that owns and/or operates agricultural land and/or raises livestock should complete this section of the questionnaire. This will be identified in Section 2, Part A: "Activities" of the household questionnaire. The respondent for Section 9 should be the head of household or another person in the household well informed about these matters.

PART A: LANDHOLDING

Questions 1-5. Ask the respondent about land owned, taken in, or given out, under various types of contractual arrangements by all members of the household. If different amounts of land were rented in or out, etc., over the course of the past year, refer to the most recent agricultural season. If the respondent lists all the plots, help him/her to calculate total area.

RENTED IN / SHARECROPPED IN. The household operates the plot for a specified period of time and pays to the landlord a fixed amount, in cash or in-kind, or if the household operates the plot and gives the landlord a share of the crops harvested in return.
MORTGAGED IN. The household operates the plot in return for a loan it made to the land owner.
WAGE PAYMENT IN. Land received from the landlord for cultivation in lieu of wage payments (i.e. received as part of payment from the landlord).
RENTED OUT / SHARECROPPED OUT means the plot was given to another household to operate in return for a fixed sum, either cash or in-kind, or was given to another household to operate in return for a share of the crops harvested.
MORTGAGED OUT means the plot was given to another household to operate in return for a loan. (In this case, if the amount is still outstanding, be sure you include the amount in Section 8).
WAGE PAYMENT OUT. Land given out to long term agriculture workers for cultivation in lieu of wage payments (i.e. given out as part of payment to the worker).

Record the size of the land in acres, using upto 2 decimal places as necessary. Often, the respondent may report area of land in other units such as bighas, kathas, etc., in which case the interview should convert the area reported into acres as appropriate.

Questions 8-17 refer only to the land owned by the household.

Questions 8-10 ask about the percentage of the land owned which is irrigated, the percentage of irrigated land which is irrigated year-round, and the mode of irrigation. "Irrigated" means that the plots receive water through artificial means, like canals or channels made by people; the source of the water is irrelevant: it can be from wells or from natural sources such as springs, streams, rivers, etc. "Rainfed" means that the plots receive water solely from rainfall or springs without any human construction to assist. In Question 8, use the code for MIXED SOURCE if the water for irrigation comes from more than one source; this may occur either when different sources are used during different seasons, or when more than one source of water is used, either together or one after another during the same season.

Questions 11-13 ask about ownership of irrigation pumps, and how the boring and pump were financed.

Questions 14-15 ask whether water was bought and/or sold. The answer can be YES for both, if a household buys water for some plots and sells water for others, or buys in some months and sells in others.

Questions 16 and 17 aim to get a sense of the quality of the land: how it relates to the quality of other land in the village, and how much it would cost to buy similar land.

PART B: CROP PRODUCTION AND FERTILIZER USE

Questions 1-4. List each crop grown by the household over the past 12 months (up to maximum of 8 crops). Code using crop codes in the questionnaire. Then ask questions 2-4 -- first, how much land in acres (including land owned, sharecropped-in, and rented-in, i.e. land operated by the household) was cultivated under each crop (question 2); second, whether any of the crop harvested was sold (question 3); and third, what was the total cash received from sales of each crop sold over the past 12 months (question 4).

Questions 5-10. These questions measure the amount of fertilizer used over the past 12 months. Separate measures of quantities (questions 7 and 9) and payments (questions 8 and 10) are included for fertilizer bought at fair price shops and fertilizer purchased through conventional market outlets or other sources (for example, from the landlord). In reporting total spending on fertilizer, ask farmers to include not only cash purchases, but also the value of fertilizer received in kind (from the landlord, for example) or through some other credit agreement. If fertilizer was received from the landlord free of cost as part of the sharecropping arrangements, record the amount of fertilizer received, and write zero in question 10. In reporting quantities, use Kgs as the unit of measurement; if other units are reported (bags, etc.) convert them into Kgs.

PART C: LIVESTOCK

Question 2. Fill in the information in the rows provided about animals the household currently owns. If the household tends animals for others, record only the animals it is entitled to keep, for instance the baby goats or sheep that the household keeps in return for tending the flock.

Questions 3 and 4. For each kind of animal, list the number currently owned, and then record what each group of animals is worth today. Thus, if the respondent has 5 male goats, you would want to find out what it would cost to buy those 5 male goats at market prices prevailing in the local market.

PART D: OWNERSHIP OF FARMING ASSETS

Instructions

Questions 1 and 2. FARMING ASSETS are equipment and buildings used in agricultural production. Ask the respondent if the household owns any of the items listed here. When the list is complete, go on to the other questions.

TRACTOR is a large motorized vehicle used to pull other agricultural equipment.

PLOUGH is an implement with a heavy cutting blade for turning up the soil.

THRESHER is a machine that separates grain from chaff.

TROLLEY is a type of truck with a body that can be tilted.

GENERATOR are machines to produce electricity.

OTHER MACHINERY is any other large-scale item owned by the household. If more than one other type, record the total value of all these miscellaneous items in Q. 4.

Questions 3 and 4. Count only equipment in operating condition, not broken items, and how much it would cost to buy them all today (in their present condition).

SECTION 10. REMITTANCES AND TRANSFERS RECEIVED

Purpose: This section aims to capture the flow of remittances and transfers into the household.

Do not include payments for work or purchases of goods or services in this section, and do not include transactions which are clearly loans. Also, do not include transfers between household members. However, payments received from any person not considered to be a household member according to our survey definition should be included here. For example, transfers from a person working abroad or in another city or town who has not been considered earlier as a household member should also be reported here.

<u>Question 2</u>. List all names before going on to ask Questions 3-7. If the respondent does not wish to give names, leave this blank but fill in the rest of the information.

<u>Question 3</u>. Use the relationship codes from the Roster.

> DONOR is the person who sends the payment. Use the code for "OTHER" for people who are not related to the head of household.

<u>Question 6</u>. Estimate and record the value of cash and in-kind payments separately.

LIST OF CODES

INDUSTRY CODES

AGRICULTURE, HUNTING, FORESTRY ETC.

AGRICULTURE AND HUNTING	11
FORESTRY AND LOGGING	12
FISHING	13

MINING AND QUARRYING

COAL MINING	21
PETROLEUM, GAS PRODUCTION	22
METAL ORE MINING	23
OTHER MINING	24

MANUFACTURING

FOOD, BEVERAGES, TOBACCO	31
TEXTILES, APPAREL, LEATHER	32
WOOD, FURNITURE	33
PAPER/PRINTING/PUBLISHING	34
CHEMICAL/PETROLEUM/PLASTICS	35
OTHER NON-METALLIC	36
BASIC METALLIC	37
FABRICATED METALLIC/MACHINERY	38
HANDICRAFTS AND OTHER	39

ELECTRICITY/GAS/WATER

ELECTRICITY/GAS/WATER	41
WATER WORKS AND SUPPLIES	42

CONSTRUCTION

BUILDING	51
STREETS/HIGHWAYS/BRIDGES	52
IRRIGATION/HYDROELECTRIC	53
SPORTS PROJECTS	54
DOCKS/COMMUNICATIONS	55
SEWERS/WATER MAINS/DRAINS	56
PIPELINES	57
OTHER CONSTRUCTION ACTIVITIES	58

TRADE/RESTAURANTS/HOTELS

WHOLESALE	61
RETAIL	62
RESTAURANTS/HOTELS	63

TRANSPORT/STORAGE/COMMUNICATIONS

TRANSPORT/STORAGE	71
COMMUNICATION	72

FINANCE AND BUSINESS

FINANCE	81
INSURANCE	82
REAL ESTATE/BUSINESS	83

COMMUNITY/SOCIAL/PERSONAL SERVICES

PUBLIC ADMINISTRATION/DEFENSE	91
SANITARY, ETC.	92
SOCIAL, ETC.	93
RECREATION/CULTURE	94
PERSONAL/HOUSEHOLD	95
INTERNATIONAL AND OTHER	96

OTHER NON-DEFINED	00

EDUCATION CODES

NURSERY, CLASS 0	00
CLASS 1	01
CLASS 2	02
CLASS 3	03
CLASS 4	04
CLASS 5	05
CLASS 6	06
CLASS 7	07
CLASS 8	08
CLASS 9	09
CLASS 10	10
CLASS 11	11
CLASS 12	12
B.A./B.Sc	13
M.A./M.Sc	14
PROFESSIONAL DEGREE	15
OTHER	16

CASTE CODES

HINDU CASTES:

UPPER CASTE	1
MIDDLE CASTE	2
BACKWARD (AGRI-BASED)	3
BACKWARD (OTHER)	4
SCHEDULED CASTE	5
SCHEDULED TRIBE	6

MUSLIM CASTES:

UPPER CASTE	7
BACKWARD CASTE	8

OTHER	9

LOCATION CODES

SAME DISTRICT	1
OTHER DISTRICT, SAME STATE	2
OTHER DISTRICT, DIFFERENT STATE	3
OUTSIDE INDIA	4

CROP CODES

CEREALS:

EARLY PADDY	01
MAIN PADDY	02
UPLAND PADDY	03
WHEAT	04
SPRING/WINTER MAIZE	05
SUMMER MAIZE	06
MILLET	07
BARLEY	08
BUCKWHEAT	09
OTHER CEREALS	10

PULSES AND LEGUMES:

SOYBEANS	11
BLACK GRAM	12
RED GRAM	13
GRASS PEA	14
LENTIL	15
GRAM	16
PEA	17
GREEN GRAM	18
COARSE GRAM	19
COW PEA	20
OTHER LEGUMES	21

TUBER AND BULB CROPS:

WINTER POTATO	22
SUMMER POTATO	23
SWEET POTATO	24
COLOCASIA	25
OTHER TUBERS	26

OILSEED CROPS

MUSTARD	27
GROUND NUT	28
LINSEED	29
SESAME	30
OTHER OILSEED	31

CASH CROPS:

SUGARCANE	32
JUTE	33
TOBACCO	34
OTHER	35

SPICES:

CHILIES	36
ONIONS	37
GARLIC	38
GINGER	39
TURMERIC	40
CARDAMOM	41
CORIANDER SEED	42
OTHER SPICES	43

VEGETABLES:

WINTER VEGETABLES	44
SUMMER VEGETABLES	45

CITRUS FRUITS:

ORANGE	46
LEMON	47
LIME	48
SWEET LIME	49
OTHER CITRUS	50

NON-CITRUS FRUITS:

MANGO	51
BANANA	52
GUAVA	53
JACK FRUIT	54
PINEAPPLE	55
LICHEE	56
PEAR	57
APPLE	58
PLUM	59
PAPAYA	60
POMEGRANATE	61
OTHER FRUIT	62

OTHER:

TEA	63
THATCH	64
FODDER TREES	65
BAMBOO	66
OTHER TREES	67