

PURCHASE FOR PROGRESS DATA COLLECTION MANUAL



**World Food
Programme**

Prepared by World Food Programme and
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INTRODUCTION

This manual describes the three Purchase for Progress (P4P) data collection instruments designed for the surveys of farmers' organizations, smallholder farmers, and traders. The manual provides the comprehensive description of the instruments necessary to ensure proper and consistent administration of the surveys across the 21 P4P pilot countries. The detailed information will help country offices:

- Appropriately customize the instruments to the country specific situation,
- Explain the precise meaning of each question and response to trainers and enumerators to ensure accurate and consistent interpretation during training and administration, and
- Facilitate accurate translation of the instruments into the relevant local languages.

The information contained in this manual is particularly important for P4P because of the multiple-country context of the pilot. The three data collection instruments (i.e., the Farmers' Organization, Farmer Livelihood and Agricultural Production, and Trader questionnaires) comprise the principle tools for primary data collection to support the key learning objectives of P4P. The surveys must collect consistent data across the 21 P4P pilot countries to establish the indicator values and support the analyses required for programme-level monitoring, evaluation, and learning.

The manual first explains why it is important to use common data collection instruments across all 21 P4P pilot countries. The next section describes the instruments' design elements including the conventions used to reference variables, record weight and area units, and document data. The third section provides guidance to country offices on how to adapt the data collection instruments to each country's unique setting and P4P implementation strategy. The fourth section contains detailed descriptions of each question and response in each of the three instruments. These descriptions are critical to ensuring uniform enumerator training, accurate translation of the instruments into the local languages, and consistent administration of the instruments (See Appendix A for formats of the numeric variables for the questions or each instrument).

There are two versions of the farmers' organization and farmer household instruments modified slightly for the baseline and for the follow-up surveys. The descriptions of the instruments in this manual cover both versions of each questionnaire.

THE IMPORTANCE OF COMMON DATA COLLECTION INSTRUMENTS

Purchase for Progress is a 21-country pilot project that is implemented relatively independently by the individual country offices. Because it is a global programme, with programme-level monitoring and evaluation requirements, it is necessary to collect consistent data across all 21 pilot countries to support programme-level learning. At the same time, each country will have its own unique needs for monitoring and evaluation data that may or may not coincide with programme-level needs.

The P4P Coordination Unit in Rome has designed three data collection instruments – for farmers' organizations, smallholder farmers, and traders – to support programme-level monitoring and evaluation. These instruments contribute to the programme-level indicators contained in the global

logframe. The baseline versions of the instruments collect data to document pre-programme conditions which may or may not contribute to specific indicators.

Because of the need for a consistent dataset for programme-level monitoring and evaluation, it is important that each country collect all of the data contained in the survey instruments and collect it in a consistent manner. ***Therefore, countries may not delete or change any of the questions in the survey instruments.***

Country offices may choose to add questions to the instruments to accommodate country-specific variations in implementation and associated data needs. However, the country offices must ensure that added questions do not alter the interpretation of existing questions. In particular, they must be sensitive to how inserted questions affect the flow of questioning or change the context of existing questions. To ease the process of aggregating data across countries and to preserve data integrity, ***it is important not to change question references when adding questions.*** In particular, do not change the numbers of existing questions.

Number inserted questions with decimals (e.g., number a question 10.1 if inserting it between the existing questions 10 and 11). See the Data Labels/Variable Names section on page 3 for a description of question referencing conventions.

In addition to adding questions, country offices may need to customize wording or response categories to suit the situation in a given country. The Customizing the Data Collection Instruments section on page 9 describes the customizations that will likely be needed and how to implement those customizations.

INSTRUMENT DESIGN CONVENTIONS

This section explains the common design elements of the data collection instruments. These include data labels/variable names, measurement conventions, database structure, and data management issues.

Data Labels/Variable Names

Because the P4P Coordination Unit in Rome will aggregate survey data across all 21 P4P pilot countries, it is important that each country use the same variable and value labels for each datum. To ensure this consistency, the questionnaires employ a systematic approach to labeling data. The label for each response describes its position in the questionnaire and facilitates matching the raw data to the data collection instruments. If countries maintain the labeling system as it appears in the survey instruments, then the data can be seamlessly aggregated across countries. Analysts who wish to define more intuitive variable labels/names may rename the variables during analysis but ***should not change the variable labels/names in the raw data file.*** This section describes the conventions used for labeling data in the questionnaires.

Each questionnaire contains a number of modules which are denoted by capital letters. Questions within each module are numbered sequentially starting with “1” and preceded by the module letter. For example, the third question of module C is C3. When questions have multiple parts (e.g., multiple rows or columns) the variable label is the module letter and question number followed by an underscore and then the row reference (always a number) and the column position (always a

lower-case letter). Figure 1 provides two examples of variable labeling. The content of each cell in the table is the label (variable name) for that cell. Thus the label in row 1 and column “a” of question A5 in Figure 1 specifies the module (A), the question number (5), the row position (1), and the column position (a). The variable label/name for a single-response question contains only the module and question number (e.g., A7 in the illustration of Figure 1).

Figure 1. Question Referencing Conventions

A5. How many employees does the company/business have?				
		Paid	Unpaid	0 = None -7 = Don't know
		a	b	
1	Family members	A5_1a	A5_1b	
2	Non-family	A5_2a	A5_2b	
A7. Is trading commodities your primary source of business income?			A7	1 = Yes 0 = No

Recording Quantities

The 21 P4P pilot countries use a variety of units to measure quantities (i.e., weights). Even within countries, respondents may report quantities (i.e., weights) in a variety of units depending on the region; the commodity or product; or the mode or timing of harvest, sale, or purchase. For example, a smallholder farmer may report sales of maize before the main harvest in tins or some other, non-standard local measure and report sales later in the season in terms of the number of 50 kilogramme bags. The data collection instruments must collect quantity data in a manner that accommodates aggregating responses about quantities across the countries. To ensure the collection of comparable measures of quantities over all countries and circumstances, and to reduce the potential for errors when converting to a standard unit in the field, the questionnaires collect information on the number of units; the name of the unit; and, when the unit is not standard, the weight of the unit in kilogrammes. Figure 2 illustrates how to record quantities/weights.

Missing Values

It is impossible for a person other than the enumerator (for example, a person entering or analyzing data) to know how to interpret a blank (i.e., unfilled) response. Possible interpretations include: (1) the respondent could not answer the question, (2) the enumerator forgot to fill in the answer or forgot to ask the question, (3) the respondent answered “0”, or (4) the enumerator legitimately skipped the question because it was not relevant for the respondent. To avoid confusion about how to interpret blank fields, *enumerators should always enter either a valid response or a missing*

value code in every field. Unless otherwise noted, if a respondent does not answer a question for any reason, the enumerator should enter “-9” (the missing value code) in the field. Two exceptions to this rule include:

1. When administering the questionnaire on paper and the enumerator legitimately skips a question because of a skip pattern, then the field may be left blank or unfilled. In this case, the status of the question is obvious from the skip pattern and can be filled with the missing value code automatically during analysis.
2. When programming the questionnaire for a PDA, the PDA programmer should design the program to automatically enter missing value codes for skipped questions.

Figure 2. Recording Quantities/Weights

Consider how two different responses to the following question would be recorded:

1. If the respondent reported buying about five 100 kilogramme bags from an individual seller, the enumerator would enter the following data:

	a	b	c	
B5. On average, what quantity do you buy at one time from an individual seller?	Quantity	Units	Weight of "other" unit (kg)	1 = grammes
	_0 _0 _0 _5	_3	_ _ _	2 = kilogrammes
				3 = 100 kg bags
				4 = 90 kg bags
				5 = 50 kg bags
				6 = metric tonnes
				7 = Other

2. If the respondent reported buying about two ox-carts of maize and that each ox-cart held enough maize to fill seven 50 kilogramme bags, then the enumerator would enter the following data:

	a	b	c	
B5. On average, what quantity do you buy at one time from an individual seller?	Quantity	Units	Weight of "other" unit (kg)	1 = grammes
	_0 _0 _0 _2	_2	_3 _5 _0	2 = kilogrammes
				3 = 100 kg bags
				4 = 90 kg bags
				5 = 50 kg bags
				6 = metric tonnes
				7 = Other

The quantity is "2" (oxcarts), the unit of measure is "other" (code 7), and the weight of the unit of measure (oxcarts) in kilograms is "350" (7 bags multiplied by 50 kilograms per bag).

Timing of Data Collection

The surveys focus on smallholder farmers' and farmers' organizations' agricultural production and marketing decisions and behavior. Households in particular may find it difficult to accurately recall the quantities they planted, harvested, sold, or lost; how much they spent on inputs; or how much they earned from the sale of commodities. To improve recall of this crucial information, the surveys should be administered as soon after these decisions have been made as possible. ***Therefore, the appropriate timing for the smallholder farmer household surveys is at the end of the main harvest and marketing season. This timing applies to both the baseline and to all subsequent surveys. Conduct all household surveys at the end of the main harvest and marketing period and at the same time for every data collection round.***

As described in the Baseline Sampling Strategy document, baseline data for farmers' organizations should be collected as organizations begin to participate in P4P but before activities actually begin.

Since country offices may add farmers' organizations at any time during the five-year pilot, this implies ongoing baseline data collection. Once baselines are established, country offices should conduct follow-up data collection in support of monitoring or evaluation for farmers' organizations at the same time as the smallholder farmer household survey each year. ***It is important, however, that subsequent surveys collect data for a comparable period of time (i.e., all of the agricultural seasons during a 12 month period).***

Referring to Agricultural Seasons

Also to improve recall, the questionnaires ask about agricultural data in terms of agricultural seasons rather than calendar years. However, the number and timing of agricultural seasons within a 12-month period varies across countries. To ensure that the surveys collect data for comparable time periods, the questionnaires must reflect the timing and number of agricultural seasons in each country. The questionnaires contain a place-holder designator **[season]** within the text to denote where country offices need to insert the appropriate season description. They use the placeholder **[previous season]** to denote all of the agricultural seasons in the 12 month period prior to the **[season]**. These two references are used to make comparison over two consecutive years. General guidance for describing seasons includes:

- In general, the questionnaires collect data for a 12-month period. However, to improve recall of agricultural data, the questionnaires ask about behavior during the individual agricultural seasons within the 12-month period rather than about behavior during “the past 12-months.” This is important because the questionnaires ask about agricultural behavior and decision-making and need to remind respondents of the seasonality of these data. This is particularly important in countries with more than one agricultural season in a 12-month period because it reminds respondents to recall information from all the seasons within the 12-month period. For example, the language that worked in the pretest in Malawi, which had two agricultural seasons, was “during the winter season of 2008 and the summer season of 2008/09.” The wording should be as specific as possible about the agricultural seasons of interest.
- Some questions ask respondents to compare behavior or circumstances during the past season(s) to the same season(s) in the previous year. For example, a question might ask how the amount of land used for agriculture during the most recent agricultural season(s) (the past 12-months) compares to the amount of land used for agriculture during the previous agricultural season(s) (the 12-month period prior to the most recent season). The field designators **[season]** and **[previous season]** indicate where the appropriate references should be inserted. Use comparable language to describe **[previous season]** and **[season]**.

Most country offices will administer the farmers' organization surveys for participating organizations annually and surveys of participating farmers and traders in years one (baseline), three (mid-term) and five (final). Each survey will ask about decisions, circumstances, and behavior during the past 12-months although, when referring to agricultural behavior, the wording will be in terms of seasons rather than months.

Currency Units

Record all monetary responses in the local currency.

Estimating In-Kind Values

In many cases, respondents may use goods or services in lieu of cash. That is, they may barter goods or services instead of cash when buying something, accept goods or services instead of cash when selling, receive a loan in goods or services rather than cash, or pay back a cash or in-kind loan in goods or services. For example, a farmer may trade a pig for a quantity of maize, pay hired labor with food, or pay back a cash loan used to buy seed with a portion of the crop at the time of harvest. When relevant, the data collection instruments ask respondents to estimate the value of in-kind payments or receipts. For example, the farmer questionnaire asks respondents to report the value of agricultural products sold “including cash and the value of in-kind goods received.”

In these instances, the enumerator will need to probe to determine the value of in-kind payments or receipts. For example, if a respondent reports giving maize to a school in lieu of school fees, then the enumerator might ask the respondent how much money he or she would have had to pay in fees. ***It is very important that enumerators are sensitive to the need to estimate the value of in-kind payments and receipts and work to get accurate estimates of the monetary value of in-kind payments and receipts.***

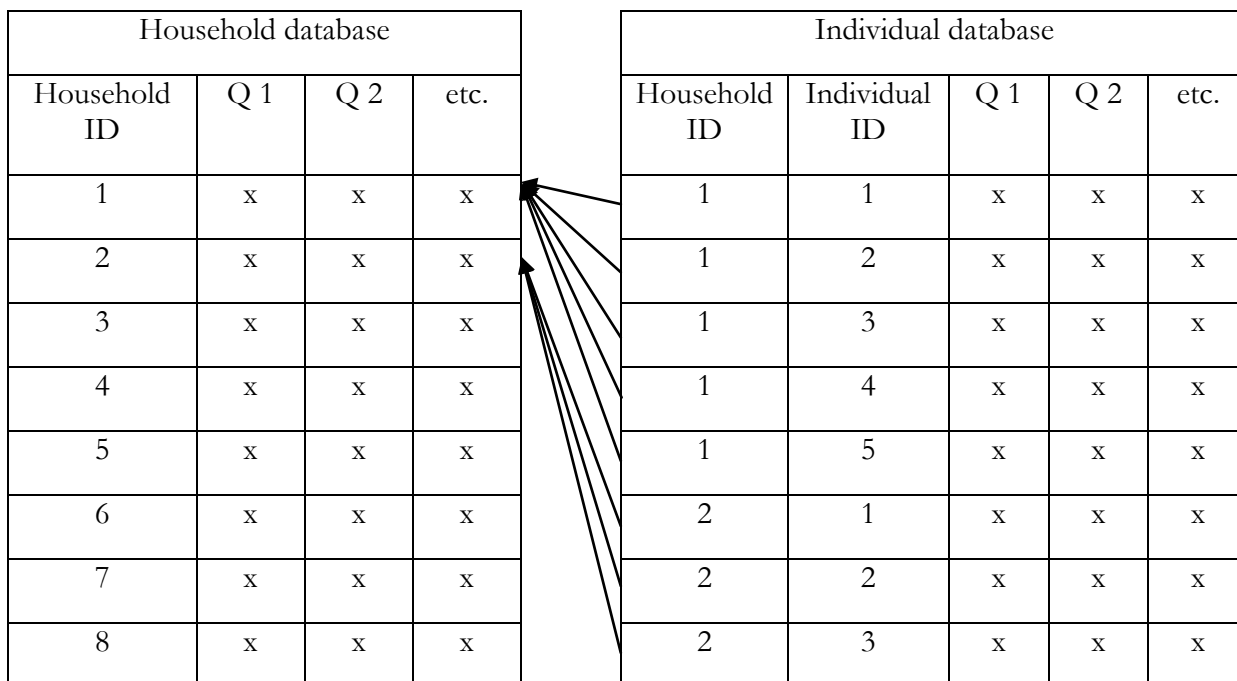
Database Organization

The smallholder farmer household questionnaire collects two types of data - household-level data (e.g., agricultural production, income, food security, etc.) and individual-level data (e.g., age, education, etc.) for each member of the household. These two types of data require two database structures. In the household-level database, each record (row) contains data for a single household and the fields (columns) correspond to questions. The first field (column) in the household-level database should contain a unique identification number for that household.

Records (rows) in the individual-level database refer to individuals and the fields (columns) will contain information about the individual. There will usually be several individuals (i.e., records in the individual-level database) associated with a single household (i.e., record in the household-level database). The first field (column) of the individual-level database should contain the identification number of the *household* to which the individual belongs. The second field (column) should contain a unique identification number for the individual. Placing the household identification number in each database allows analysts to link the two databases and their information. Figure 3 illustrates the one-to-many correspondence between the household and individual databases.

It is critically important that the household identification number be in both databases. Otherwise, it will not be possible to link data on individuals and households. For example, it would not be possible to determine the agricultural practices of female-headed households because it would not be possible to link agricultural practice data from the household database to the individual database to determine who the head of the household was.

Figure 3. Database Structure



CUSTOMIZING THE DATA COLLECTION INSTRUMENTS

The need for consistent data dictates a common approach to data collection across the P4P pilot countries – at least for those data that contribute to programme-level monitoring and evaluation. To that end, the P4P Coordination Unit in Rome has designed common data collection instruments that will be applied in all P4P countries. These instruments collect data that contribute to the programme-level indicators.

However, each country implements P4P in a slightly different way with country-specific objectives and anticipated outcomes. Therefore, while each country programme is expected to contribute to the programme-level indicators, the separate country programmes will likely have their own unique indicators as well.

It was not possible, nor desirable, to design survey instruments that addressed the unique complexities of each country office’s implementation of P4P. Therefore, **while the country offices must not remove or modify the basic questions in the survey instruments** (except where noted in this section), they may add questions that contribute to their country-specific monitoring and evaluation requirements.

Remember!

Number new questions with decimals (e.g., number a question 10.1 if inserting it between the existing questions 10 and 11). See the “Data Labels/Variable Names” section below for a description of question referencing conventions.

This section reviews the potential customizations country offices may need to make to adapt the instruments to the country-specific contexts.

Country Codes

The “Identifying Information” section at the beginning of each data collection instrument specifies a country code. Table 1 specifies a unique code for each country that should be pre-filled into the data collection instruments before enumerators enter the field. Country offices should use these codes to reference any data collected in a country.

The “Identifying Information” section of the data collection instruments also specifies district, region, and village codes. Country offices need to assign unique codes to each district, region, and village in the country, document the code assignments, and use the codes when collecting data. In the case of the three data collection instruments, these codes should be pre-filled into the appropriate cells of the “Identifying Information” section before enumerators enter the field for data collection.

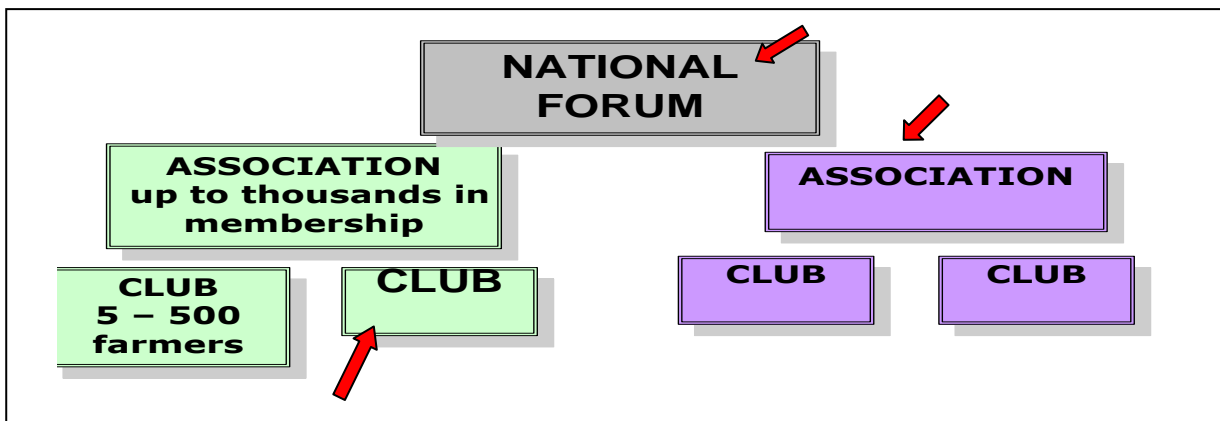
Different countries will have different levels of, and names for jurisdictions. County offices may change the names of jurisdictions in the data collection instruments so they are relevant to a specific county context. If necessary, country offices may also add jurisdictional levels that are not included in the current data collection instruments. If a country office adds a jurisdictional level, it must carefully document the change and ensure that the name of the associated variable in the database does not conflict with existing variable names.

Country Name	Country Code
Afghanistan	1
Burkina Faso	2
DRC	3
El Salvador	4
Ethiopia	5
Ghana	6
Guatemala	7
Honduras	8
Kenya	9
Laos	10
Liberia	11
Malawi	12
Mali	13
Mozambique	14
Nicaragua	15
Rwanda	16
Sierra Leone	17
Sudan	18
Tanzania	19
Uganda	20
Zambia	21

Referring to Farmers’ Organizations

The farmers’ organization, smallholder farmer, and trader survey instruments refer to “farmers’ organizations.” In the context of the instruments, this is a generic term. Different countries use different terminology and/or may engage at different levels of the farmers’ organization hierarchy. It is therefore necessary for each country to modify the way the instruments refer to “farmers’ organizations” to reflect the language or level of engagement that is relevant to the country or to the type of farmers’ organization of interest. For example, Malawi might modify the instruments to refer to “farmer clubs” while Ethiopia may ask about “primary cooperatives.” The language of the data collection instruments should refer to the type of farmers’ organization to which the survey is administered. Figure 4 shows one possible hierarchy and illustrates the potential connections between farmers’ organizations at different levels.

Figure 4. Illustrative Farmers' Organization Hierarchy



Note that a P4P programme within a given country may engage at different levels of the hierarchy. For example, in some areas, WFP and partners may be working with “clubs” while in other areas they are working with “associations”. In any case, country offices should modify the wording of the questionnaire to refer to the appropriate level of the hierarchy.

Crop, Livestock, Weight Units, and Area Unit Codes

Some data is very country specific. Examples include the crops and livestock that are grown or raised or the units of measurement for weight or land area. To accommodate this variation, the data collection instruments contain a comprehensive list of codes. To ensure a consistent data set, it is important that these codes (i.e., the numbers assigned to each crop, livestock type, and weight and area unit) are the same across countries. Figure 5 contains a comprehensive list of crop, livestock, weight, and area codes that each country should use. Countries may adapt the instruments to exclude the codes that are not relevant to the country. ***However, as countries select the crop, and other, codes to include in their instruments, it is important that they maintain the same coding/numbering system so that a particular code number refers to the same item in each country.***

Example:

Suppose that the relevant crops for column “a” of question B7 in the smallholder farmer household instrument in Zambia are soya bean, maize, tobacco, cotton and cassava. In Sierra Leone, the relevant crops for the same question might be rice, beans, and maize. The codes that each country would include in the data collection instrument for column “a” or question B7 would then be:

Zambia crop codes

1 = Maize
9 = Cassava
17 = Soya bean
60 = Tobacco
61 = Cotton

Sierra Leone crop codes

1 = Maize
14 = Rice
16 = Beans

Note that regardless of which crops a country chooses to use from the list of crop codes, the coding remains the same across countries as specified in the crop codes table of Figure 5. As countries choose the relevant codes from Figure 5 to include in their own instruments, they must maintain the numbers assigned to those crops in Figure 5.

The lists of crops and livestock are very specific. This specificity is necessary in some cases because the crops of particular interest (e.g., those that WFP buys) are very specific. In other cases, the specificity is important to facilitate respondents' recall. To maintain consistency, **use the codes exactly as they are and add codes if necessary.** In some cases, codes may be too specific. For example, a smallholder farmer may not be able to report what kind of sorghum, millet, bean, or pea he or she produced. In this case, use the generic "sorghum," "millet," "bean," or "pea" code.

Although the P4P Coordination Unit in Rome made every effort to construct a comprehensive list of codes, it is likely that some relevant codes are missing. If a country needs to add crops, livestock, weight units, or area units to the instrument, it needs to assign a unique code to each addition. To ensure that there are no duplicate codes, each country has been assigned a range of numbers to use for additional codes (see Table 2). **If you need to add additional crops, livestock, weight units, or area units, add the name/title to the list, assign it a code from the range of numbers assigned to your country, and note the new name and code in the instruments.**

Example:

Suppose that Figure 5 does not include a crop that is relevant to Uganda. If the name of that crop is "xxxx", then Uganda would add "xxxx" to the list of crop codes, assign "xxxx" a code number between 196 and 200 (from Table 2), and add the code number and crop name to the list of crop codes in the data collection instruments for Uganda. So, in this example, Uganda might add:

196 = xxxx

to the list of crop codes.

Figure 5. Codes

Crop codes			Livestock codes		
1 = Maize	40 = Cashew nut	82 = Melon	1 = Sheep		
2 = Sorghum	41 = Almond	83 = Ginger	2 = Goat		
3 = White sorghum	42 = Coconut	84 = Apricot	3 = Swine/pig		
4 = Red sorghum	43 = Walnut	85 = Pomegranate	4 = Chicken		
5 = Millet	44 = Pistachio	86 = Apple	5 = Turkey		
6 = Finger millet	45 = Other nut	87 = Grape	6 = Duck		
7 = Pearl millet	46 = Chili	88 = Cherry	7 = Ostrich		
8 = Bull-rush millet	47 = Cumin	89 = Other berries	8 = Goose		
9 = Cassava	48 = Clove	90 = Olive	9 = Guinea fowl		
10 = Wheat	49 = Cardamom	91 = Other vegetable	10 = Pigeons		
11 = Barley	50 = Other spice	92 = Other fruit	11 = Cattle		
12 = Fonio	51 = Poppy	93 = Cassava chips	12 = Horses		
13 = Oat	52 = Pyrethrum	94 = Cassava flour	13 = Donkeys/mule/burro		
14 = Rice	53 = Jatropha	95 = Parboiled rice	14 = Oxen		
15 = Paddy	54 = Rubber	96 = Milled rice	15 = Buffalo		
16 = Bean	55 = Gum arabic	97 = Maize flour	16 = Rabbits		
17 = Soya bean	56 = Alfalfa	98 = Misola	17 = Camel		
18 = Fava bean	57 = Tea	99 = Bulgur			
19 = Mung bean	58 = Coffee	100 = Split peas	Weight unit codes		
20 = Mixed beans	59 = Cocoa	101 = Sesame oil	1 = grammes		
21 = Single color bean	60 = Tobacco	102 = Palm oil	2 = kilogrammes		
22 = Other bean	61 = Cotton	103 = Sunflower oil	3 = 100 kg bags		
23 = Pea	62 = Sugar cane	104 = Dried fish	4 = 90 kg bags		
24 = Cow pea	63 = Tomato	105 = Corn Soya Blend	5 = 50 kg bags		
25 = Chick pea	64 = Onion	106 = Wheat Soya Blend	6 = metric tonnes		
26 = Pigeon pea	65 = Shallot		7 = quintals		
27 = Voandzou	66 = Cabbage	107 = Plumpy nut	8 = Other		
28 = Other pea	67 = Cucumber	108 = High energy biscuits			
29 = Lentil	68 = Pepper	109 = BP5	Area unit codes		
30 = Irish potato	69 = Carrot	110 = High Energy Protein Supplements (HEPS)	1 = hectares		
31 = Sweet potato/yam	70 = Eggplant		2 = acres		
32 = Souchet	71 = Banana	111 = Fortified biscuits	3 = manzanas		
33 = Other tuber	72 = Plantain	112 = Other biscuits	4 = limas		
34 = Sesame	73 = Matoke	113 = Salt	5 = Not applicable		
35 = Other seed	74 = Date	114 = Sugar			
36 = Palm	75 = Teff	115 = Copra			
37 = Sunflower	76 = Eddoe/taro	201 = Cassava cuttings			
38 = Ground nut	77 = Okra	202 = No other crop			
39 = Shea nut	78 = Lemon	203 = Seed maize			
	79 = Orange				
	80 = Mango				
	81 = Pineapple				

Country	Crop codes	Livestock codes	Weight unit codes	Area unit codes
Afghanistan	101 – 105	21 – 22	21 – 22	21 – 22
Burkina Faso	106 – 110	23 – 24	23 – 24	23 – 24
DRC	111 – 115	25 – 26	25 – 26	25 – 26
El Salvador	116 – 120	27 – 28	27 – 28	27 – 28
Ethiopia	121 – 125	29 – 30	29 – 30	29 – 30
Ghana	126 – 130	31 – 32	31 – 32	31 – 32
Guatemala	131 – 135	33 – 34	33 – 34	33 – 34
Honduras	136 – 140	35 – 36	35 – 36	35 – 36
Kenya	141 – 145	37 – 38	37 – 38	37 – 38
Laos	146 – 150	39 – 40	39 – 40	39 – 40
Liberia	151 – 155	41 – 42	41 – 42	41 – 42
Malawi	156 – 160	43 – 44	43 – 44	43 – 44
Mali	161 – 165	45 – 46	45 – 46	45 – 46
Mozambique	166 – 170	47 – 48	47 – 48	47 – 48
Nicaragua	171 – 175	49 – 50	49 – 50	49 – 50
Rwanda	176 – 180	51 – 52	51 – 52	51 – 52
Sierra Leone	181 – 185	53 – 54	53 – 54	53 – 54
Sudan	186 – 190	55 – 56	55 – 56	55 – 56
Tanzania	191 – 195	57 – 58	57 – 58	57 – 58
Uganda	196 – 200	59 – 60	59 – 60	59 – 60
Zambia	201 - 205	61 - 62	61 - 62	61 - 62

Definition of Smallholder Farmers

There is not a consistent definition of smallholder farmers across the 21 P4P pilot countries. In fact, some countries have no definition at all. However, the data collection instruments target smallholder farmers and smallholder farmers are the relevant targets for the Bill and Melinda Gates Foundation. The farmers' organization and smallholder farmer data collection instruments both refer to smallholder farmers and it is therefore necessary to define smallholder farmers in each country. Use the following guidelines to define smallholder farmers:

- If a country has an accepted definition of smallholder farmers under which it collects and reports agricultural data, then use and document the accepted definition.
- When a country does not have an accepted definition, define smallholder farmers as those farm households who cultivate less than two hectares.

School-Going Age

The age at which children attend school may differ across countries. Module J of the Farmer Livelihood and Agricultural Production survey contains a series of questions that depend on the age at which children begin and end school. In particular, questions J2d and J2e branch to other questions depending on whether a respondent is of school-going age or not. The questions assume that children of ages 6 to 18 years are of school-going age. If the ages are different for a particular country, then change the skip instructions in questions J2d/e to reflect those differences.

The examples to the right illustrate how to alter the skip patterns for different school-going ages. The first column reproduces the questions in the instrument and assumes a school-going age of 6-18 years. The second column shows the modifications necessary to adapt the question to a country with a school-going age of 5-17 years.

Figure 6. School-Going Age	
School-going age of 6-18 years.	School-going age of 5-17 years.
In what year was this person born?	In what year was this person born?
(Enter either year or age, whichever is easiest for respondent)	(Enter either year or age, whichever is easiest for respondent)
(Enter "1" if less than one year)	(Enter "1" if less than one year)
(If < 6 years, go to next member)	(If < 5 years, go to next member)
(If 6 – 18 years, go to g)	(If 5 – 17 years, go to g)
(If over 18, go to f and then to h)	(If over 17, go to f and then to h)

QUESTION DESCRIPTIONS

This section provides a detailed description of each question and response in the data collection instruments. The detailed description of the intended meaning of each question and response will help:

- Provide the detail necessary to train enumerators and provide them with a comprehensive understanding of the questionnaire.
- Guide country offices in adapting the questionnaire to address the country's unique setting and circumstances.
- Facilitate accurate translation of the questionnaire into local languages.
- Provide tips on probing.

The following three sections review the farmers' organization, smallholder farmer, and trader instruments, respectively. The individual sub-sections describe each question and response. The sections describe the questions in both versions (i.e., baseline and follow-up) of the questionnaires. Some questions may not appear in both versions.

The Farmer Organization Baseline and Follow-up Survey Instruments

Module A

- A1. **In what year was this farmer organization established?** – Record the year in which the organization was established.
- A2_a. **How many registered members does this organization have?** – Record the total number of men and women who are members of the farmer organization.
- A2_b. **How many have paid their annual membership to date?** – This question is meant to establish the extent to which members of the farmer organization are up to date with their membership fees. Being up-to-date on dues-paying can also serve as a proxy for “active” membership of smallholder farmers. Use the “not applicable” response when a farmer organization does not require an annual membership fee.
- A2_c. **How many cultivate [insert country-specific threshold for smallholder farmers] acres/hectares?** – This question identifies smallholder farmers. Insert the country-specific definition in the question. If a respondent does not know the exact number, but can give a good estimate, enter the estimate. If the respondent is not able to give even a good numeric estimate, go to question A2_d and ask for an estimate of the percentage of members who are smallholder farmers.
- A2_d. **About what percentage of members cultivate [insert country-specific threshold for smallholder farmers] acres/hectares?** – If a respondent does not know the number of smallholder farmer members in question A2_c, then ask for the approximate percentage of the farmer organization members that are smallholders in this question.

- A3. **How much does a new member (club or individual as appropriate) have to pay to join this organization?** – Refers to a one-time fee to become a member of the farmer organization. In the case where members are other farmer organizations (e.g., Ethiopia which collects data from Cooperative Unions that have Primary Cooperatives as members), record the amount, if any, that smallholder members of those sub-organizations pay to the farmer organization you are interviewing.
- A4. **What is the annual membership (club or individual as appropriate) fee this organization charges its members?** – Refers to any recurring annual fee required to maintain membership. In the case where members are other farmer organizations, record the amount, if any, that smallholder members of those sub-organizations pay to the farmer organization you are interviewing.
- A5_a. **How many elected or appointed leaders does the organization have?** – Refers to all individuals (disaggregated by sex) serving in elected or appointed leadership positions.
- A5_b. **How many employees are paid throughout the year?** – This question should capture full-time paid staff members (disaggregated by sex). It should not include part-time, seasonal, or unpaid staff or employees.
- A6. **Is this organization registered with any national, district, provincial, or other government entity?** – The intent of this question is to learn whether the organization is a legally registered or legally recognized entity. The nature of such registration may vary by country and country offices may adapt the question wording as required.
- A7. **Is this organization affiliated with any higher-level farmer organization (for example: cooperatives, associations, etc.)?** – Farmer organizations in some countries are arranged in a hierarchy with large organizations (e.g., associations, federations, cooperative unions, etc.) made up of smaller organizations (e.g., clubs, primary cooperatives, etc.). Answer “yes” to this question if the farmer organization you are interviewing is a member of, or otherwise affiliated with, a larger umbrella organization.
- A8. **Does this organization have any lower-level affiliate organizations?** – Farmer organizations in some countries are arranged in a hierarchy with large organizations (e.g., associations, federations, cooperative unions, etc.) made up of smaller organizations (e.g., clubs, primary cooperatives, etc.). Answer “yes” to this question if the farmer organization you are interviewing has smaller organizations as members or affiliates.
- A9. **Does the organization have a bank account in its own name?** - Refers to an account at a bank, savings and loan institution, or microfinance institution. Ensure that respondents understand that the bank account must be in the name of the farmers organization, not in the name of an individual or another affiliated organization.
- A9.1. **Does this organization have access to credit?** – Answer “yes” if the organization can obtain loans from banks or other lenders.
- A9.2. **Does the organization have access to enough credit for its needs?** – Answer “yes” if the organization is able to borrow the quantity of money that it needs or requests. Answer “no” if the organization has not been able to get all of the credit it requests.

- A10. **Has this organization ever applied for cash loans?** – This question refers only to formal applications for cash loans, whether they were approved or not, and only to applications made to banks, savings and loan institutions, or microfinance institutions.
- A11. **Were any credit applications approved and the loans received?** – The main reason for this question is to identify respondents who did not receive any of the loans they applied for so we don't ask them about loan details in question A12. Answer “yes” only if at least one loan was approved and received.
- A12. **General** – This question refers only to cash loans. Do not enter information about in-kind loans or any other types of loans that were not loans of cash. Questions A10 and A11 should direct respondents who have not applied for or received a cash loan around this question.
- A12_a. **Lender** - Enter the type of lender for each cash loan the respondent received.

Codes

- 1 = **Bank** – Refers to a formal bank
- 2 = **Buyer (forward payment)** – Refers to a situation where a buyer of agricultural crops provides credit (usually cash for buying inputs or the inputs themselves on credit) against the value of crops that have not yet been delivered.
- 3 = **National/international NGO or microfinance institution, including SACCOS** – Refers to non-governmental organizations that provide loans or to microfinance institutions or Savings and Credit Cooperative Societies (SACCOS).
- 4 = **International development agencies (UN, USAID, DFID, GTZ, etc.)** – Refers to international government sponsored or affiliated development agencies. These are not NGOs.
- 5 = **Agricultural supply companies** – Refers to the case where an agricultural input supplier provides cash loans, perhaps using the value of the crop as security.
- 6 = **Rural credit fund** – A credit fund (usually established by government and implemented through banks) to provide loans for rural development including agriculture.
- 7 = **Affiliated farmer organization** – Refers to a cash loan from a farmer organization/association/union/federation/etc. of which the farmer organization is affiliated in some way, usually as a member of the larger organization.
- 8 = **Government fund** – A credit fund established by and implemented by government that provides loans to farmers or farmer organizations.
- 9 = **Rural development project** – Loans provided by a rural development project.
- 10 = **Money lender** – Loans provided by a private money lender without an affiliation with a bank or other formal lending institution.
- 11 = **Other** – Any other lender not covered in responses 1 through 10.

A12_b. **In what year did you receive the loan?** – Enter the year the farmer organization actually received the money.

A12_c/d. **What amount did you apply for?/ What amount did you receive?** – These two questions try to assess whether the respondent received the amount of money requested or not. The amount applied for refers to the amount of money requested. The amount received refers to the amount actually received. Neither amount should include interest. Record the actual amount of money the respondent requested and the actual amount of money they received and to which they had access.

A12_e. **What is the current status of the loan repayment?**

Codes

1 = **Fully repaid** – The respondent has fully repaid the loan.

2 = **Payments up to date but not fully paid off** – Partially paid off and on time with payments but the full or final payment is not yet due.

3 = **Payments not yet due** – Have the loan but have not yet started making payments because the date for the first loan payment is sometime in the future.

4 = **In default** – Late with payments or have stopped making payments.

A13. **What was the main reason the farmer organization did not receive the loan?** - The organization may not know why it did not receive a loan. Record a “don’t know” (-7) response in that case.

1 = **Had other outstanding loans** – Refers to the case where the organization had too many other loans outstanding for the lender to approve another loan.

2 = **Could not provide business plan** – Refers to the case where the organization did not have a business plan or other planning paperwork sufficient to satisfy a potential lender of the organization’s creditworthiness.

3 = **Did not meet the qualification criteria** – Did not meet some or all of the lender’s qualifying criteria.

4 = **Could not provide requested collateral** – Did not have access to or could not provide collateral, or enough collateral, acceptable to the lender. Collateral is any type of asset (item, good, property, etc.) that the farmer organization owns which is pledged to secure a loan. In the event that the farmer organization is unable to pay the loan, the organization would forfeit the pledged collateral (give it to the lending organization) to satisfy the loan.

5 = **Lack of credit history** – The organization did not have adequate experience with borrowing and repaying money for the lender to be comfortable lending money to the organization.

6 = **Other** – Any other reason not included in responses 1 through 5.

- A14. **Why has the organization never applied for credit?** – Ask only if the organization has never applied for credit.
- 1 = **Did not need credit** – The farmer organization had no need for credit.
 - 2 = **Lack of consensus in the organization** – Organization officers and/or members could not agree on whether to apply for credit or not.
 - 3 = **No credit providers in our area** – No credit providers serve the area where the farmer organization is located.
 - 4 = **Credit providers do not give credit to farmers** – Credit providers exist in the area but do not provide credit to farmer organizations.
 - 5 = **Rates are too high** – Credit is available but interest rates are too high for the farmer organization to afford.
 - 6 = **Do not have the required collateral** – The farmer organization has not applied because it knows, or suspects, that it can't meet the necessary collateral requirements.
 - 7 = **Lack of knowledge about access to loans** – The organization does not know how to apply for loans.
 - 8 = **Other** – Any other reason not listed in responses 1 through 7.
- A15. **Does this organization provide cash loans to its members?** – Refers only to cash loans that the organization provides to its members. Do not consider in-kind loans or loans of considerations other than cash.
- A16. **General** - The question asks about the different types of training the farmer organization's management staff and members have received and about who provided the training.
- A16_1 **Organization record keeping** – Refers to basic organization record keeping such as membership lists, sales records, official filings, documents, etc.
 - A16_2 **Financial management** – Refers to training in organization finances such as accounting, organization finances, etc.
 - A16_3 **Group management/group dynamics/leadership skills** – Refers to training to enhance staff or members' abilities to effectively manage, lead, and motivate groups.
 - A16_4 **Post harvest handling** – Refers to any training in handling of commodities after harvest such as storage, processing, drying, cleaning, sorting, grading, packaging, etc.
 - A16_5 **Conservation farming** – Refers to any training in farming practices aimed at reducing the environmental impacts of farming such as soil loss.
 - A16_6 **Setting prices** – Refers to training in how to set a price at which to sell commodities. This will usually be applicable when deciding on a price at

which to offer commodities when negotiating a contract or direct sale or responding to a competitive tender.

A16_7 **Business planning** – Refers to any training in planning for business activities (e.g., investments, growth, production, marketing, etc.) including writing business plans.

A16_8 **Agricultural practices for improving production** – Refers to any training aimed at improving the quantity of commodities produced such as appropriate use of fertilizers or tilling, planting, and cultivating techniques designed to increase production.

A16_9 **Other** – Any other training that does not fit into responses 1 through 8. Specify the type of training.

A16_a. **Have any of your organization’s management staff received training in _____?** – Refers only to the organization’s management staff, i.e. those in leadership or management positions.

A16_b. **Have any of your organization’s members received training in _____?** – Refers to any members of the organization.

A16_c/d. **Who provided the most recent training?**

Assistance Provider Codes

- 1 = **Government** – Refers to any government office or agency including agricultural extension, the agriculture department, or the Ministry of Agriculture.
- 2 = **International/national NGO** – Refers to international or national non-governmental organizations – an organization not sponsored by or affiliated with a government. NGOs may receive funds from governments or government sponsored development agencies but are not established or controlled by governments.
- 3 = **International development agencies (UN, USAID, GTZ, DFID, etc.)** – Refers to international government sponsored or affiliated development agencies. These are not NGOs which are not sponsored by or affiliated with a government.
- 4 = **Buyers (traders, others)** – Refers to buyers of agricultural products who might provide training in agricultural production practices or post-harvest management to the smallholder farmers or farmer organizations from whom they buy. This can include companies buying crops such as tobacco, cotton, etc.
- 6 = **Input suppliers** – Refers to private sector sellers of inputs who offer advice/training in the appropriate use of inputs and/or other agricultural practices. For example, this could include a supplier of seed, fertilizer, and pesticides that trains farmers in the appropriate use of the inputs. It may also include dealers for on-farm storage structures who train farmers in the use of the structures.
- 5 = **Other** – Any other training provider not listed in responses 1 through 4 and 6.

A17. **Has your organization received any other kind of assistance or support from governments, NGOs, buyers, or others? Examples might include subsidized or free inputs, tools, or cash.** – This is a filter for question A18. Include any kind of assistance and answer “yes” if you have any doubt about a correct response.

A18. **General**

A18_1 **Subsidized or free seeds** – Refers to reduced (subsidized) price on seeds, including free.

A18_2 **Subsidized or free fertilizer** – Refers to reduced (subsidized) price on fertilizer, including free.

A18_3 **Subsidized or free farming implements (tools)** – Refers to reduced (subsidized) price on implements (equipment or tools), including free.

A18_4 **Subsidized or free pesticides/herbicides** – Refers to reduced (subsidized) price on pesticides/herbicides, including free.

A18_5 **Providing or rehabilitating storage facilities** – Refers to assistance building new or rehabilitating existing storage facilities. It may also include assistance helping a farmer organization get access to an existing facility. Assistance may include free provision, loans, or in-kind assistance (for example: providing materials).

A18_6 **Loans of agricultural tools or work animals** – Refers to providing access to tools (implements) or work animals, either by lending or renting. Also includes assistance (e.g., a loan or revolving fund) to help a farmer or organization purchase tools or work animals.

A18_a. **Did you receive the following types of assistance?** – Did the organization receive these types of assistance that it can pass on to its members?

A18_b. **Who provided the assistance?**

Assistance provider codes

1 = **Government** – Refers to any government office or agency including agricultural extension, the agriculture department, or the Ministry of Agriculture.

2 = **International/national NGO** – Refers to international or national non-governmental organizations – an organization not sponsored by or affiliated with a government. NGOs may receive funds from governments or government sponsored development agencies but are not established or controlled by governments.

3 = **International development agencies (UN, USAID, GTZ, DFID, etc.)** – Refers to international government sponsored or affiliated development agencies. These are not NGOs which are not sponsored by or affiliated with a government.

4 = **Buyers (traders, others)** – Refers to buyers of agricultural product who might provide agricultural inputs (seeds, fertilizers, pesticides etc.) implements, storage facilities, loans for agricultural tools or work animals.

5 = **Other** – Any other assistance provider not listed in responses 1 through 4.

A19. **During the [season], did this organization develop annual plans for how to produce and market its members' commodities?** – Refers to planning, conducted prior to the planting season, with the farmer members, about what crops they will plant, how much land they will allocate to the crops and how to market those crops. Enter “yes” only if the farmer organization planned for production and marketing.

Module B

- B1. **Does this organization have access to storage facilities?** – Refers to access, not necessarily ownership. An organization has access if it owns facilities or can rent or borrow facilities from others. Renting or borrowing may include renting/borrowing the entire facility or renting/borrowing space in a shared facility. This question serves as a filter to question B2.
- B2. **General** - Record the characteristics of each of the three types of storage represented in the three rows of the table to which the organization has access.
- B2_1 **Basic earth granaries (traditional storage)** – Refers to traditional, unimproved granaries. These may be built of wood, mud, cane, etc.
- B2_2 **Long-term storage facilities capable of maintaining quality (warehouse, store)** – Refers to improved storage (e.g., a concrete warehouse or steel silo) that is capable of maintaining the quality of the crops (e.g., prevent degradation of quality due to moisture, insect pests, animals, and dirt) for a long time (12 months or more).
- B2_3 **Tents/plastic sheeting/iron sheeting** – Refers to storing the commodity out of doors but covered with plastic or iron sheeting to protect it from rain or dirt.
- B2_a. **Does the organization have access to _____?** – Access refers to the ability to use the storage facility, but does not necessarily imply ownership. An organization has access if it owns facilities or can rent or borrow facilities from others. Renting or borrowing may include renting/borrowing the entire facility or renting/borrowing space in a shared facility. Refers to items listed in B2 **General** above. If the answer is “no” for each row, move to question B3.
- B2_b. **Does the farmer organization own _____(s)?** - Refers to actual ownership of any of the three types of storage facility listed in B2 **General** above.
- B2_c. **What are the terms of use for this facility _____?** This question aims to learn the terms of use for storage facilities that the organization uses but does not own. It applies to organizations that use all or part of a storage facility whether they pay for use of the facility or not.

- 1 = **Rents entire storage facility** – Refers to renting the entire facility. The farmer organization would have exclusive use of the entire facility. Rent may be in the form of cash or any other consideration of value.
- 2 = **Pays user fee for using part of storage facility** – Refers to paying a fee to deposit commodities in the storage facility. The fee will usually be based on the quantity of commodity stored. The difference between this situation and the situation in response “1” is that the farmer organization does not have exclusive use of the entire facility but may have to share it with others.
- 3 = **Not owned by organization but no fee for use** – Refers to use of a facility that the organization does not own but where no payment is required. This may include access to an entire facility or access to only a portion of a facility. The important point is that the farmer organization pays no fee (in cash or any other consideration of value) for use of the facility.

- B2_d. **What is the storage capacity of all the _____(s) the organization has access to?** – Refers to the storage capacity of all (owned, rented, and borrowed as described in responses 1 through 3 for question B2_c above) of a particular type of storage to which the organization has access. If an organization has access to several facilities (e.g., several warehouses) the answer should be the total capacity of all the warehouses together. In the case where an organization can use as much of the space as it needs (i.e., when it rents space in a warehouse) then enter the maximum space the organization could rent. This may be the entire warehouse capacity. Respondents will not always know the capacity of a storage facility, particularly for traditional storage, and enumerators may have to probe to get a response. For example, the enumerator might ask the respondent how many 50 kilogram bags the facility would hold.
- B2_e/f. See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- B2_g. **Does this warehouse issue a receipt that you can sell, trade, or use as security for a loan?** – This question refers to a warehouse receipt system. The main elements of this system are that 1) the warehouse gives an organization a receipt for commodities the organization deposits in the warehouse, 2) the receipt certifies the quantity and quality of the stored commodity, and 3) the organization can use the receipt as collateral or security for a loan. To answer “yes” to this question, the warehouse must offer the receipt and the organization must be able to use the receipt as security for a loan secured by the deposited commodity.
- B3_a. **Does any organization, service provider, or private business (other than this farmer organization) provide this service to farmers in the area served by this farmer organization?** – (See the list in *B3 General* below for descriptions of rows 1 through 19). Access means that someone in the area provides the service to smallholder farmers. Access does not mean that a farmer can afford the service. If someone offers the service, then, for the purpose of this question, farmers have access whether they can afford it or not.
- B3_b. **Does this farmer organization provide this service to its members or other farmers in the area?** (See list in *B3 General* for descriptions of rows 1 through 19) –

Record “yes” if the farmer organization being interviewed provides the service, either directly or indirectly. Indirect provision may mean that a farmer has access to the service because of their membership even though the farmer organization does not provide the service itself. For example, a farmer may be eligible to receive loans from a SACCO because the farmer organization is a member of the SACCO.

B3. ***General***

- B3_2 **Training or technical assistance in agricultural technologies or practices** – Refers to any sort of technical assistance or training in agricultural practices or technologies.
- B3_3 **Supply agricultural inputs (seed, fertilizer, etc.) on credit** – Refers to an organization that provides inputs with payment (either in cash or in-kind) at a later date.
- B3_4 **Access to subsidized inputs (seed, fertilizer, etc.)** – Refers to an organization that provides access to subsidized (or free) inputs.
- B3_5 **Aggregating members’ commodities for sale to buyers** – Refers to organizations that help members aggregate/collect/bulk commodities for sale as a group.
- B3_6 **Transporting goods to buyers** – Refers to an organization that helps members transport commodities to buyers. This may include help arranging transportation, negotiating the cost of transportation, subsidizing the cost of transportation, or providing transportation outright.
- B3_7 **Drying commodities for long-term storage** – Refers to drying (using either traditional or commercial methods) commodities to a low enough moisture content so that they will not spoil during long-term storage.
- B3_8 **Cleaning commodities of foreign matter** – Refers to an organization that provides its member with access to services to clean foreign matter (e.g., dirt, stones, cobs) from commodities.
- B3_9 **Removing broken/small grains** – Refers to an organization that provides its member with access to services to sort small and broken grains from commodities.
- B3_10 **Removing discolored grains** – Refers to an organization that provides its member with access to services to remove discolored grains from commodities.
- B3_11 **Weighing and bagging commodities** – Refers to providing access to services to bag (or rebag) commodities into bags of uniform and accurate weight.
- B3_12 **Small scale food processing** – Refers to providing access to services to convert commodities into processed food products.
- B3_13 **Use of storage facilities** – Refers to providing access to storage facilities of any kind (i.e., traditional, warehouses, plastic sheeting, etc.).

- B3_14 **Fumigation or other treatment to control insect pests in stored commodities** – Refers to providing services of fumigation or otherwise treating stored commodities to reduce damage from insect pests.
- B3_15 **Use of cleaning facilities/equipment** – Refers to providing farmers with direct access to facilities or equipment to clean foreign matter from commodities. This may include traditional or mechanized processes. This case differs from response B3_8 because it implies that the farmer performs the cleaning using facilities or equipment provided by a farmer organization, service provider, or private business – with or without a fee.
- B3_16 **Use of drying facilities/equipment** - Refers to providing farmers with direct access to facilities or equipment to dry (i.e., remove excess moisture from) commodities. This may include traditional or mechanized processes. This case differs from response B3_7 because it implies that the farmer performs the drying using facilities or equipment provided by a farmer organization, service provider, or private business – with or without a fee.
- B3_17 **Milling with a hammer/grinding mill** – Refers to milling services or access to a mill/grinder that farmers can use directly. This may include a case where an organization owns a mill that it lets its members use – with the farmer directly performing the milling. It may also include a situation where a service provider mills or grinds commodities for members – either for free or for a cash or in-kind fee.
- B3_18 **Corn threshing/maize shelling**– Refers to the use of equipment to remove maize from the cob. This may include a case where an organization owns threshing/shelling facilities/equipment that it lets its members use – with the farmer directly performing the threshing/shelling. It may also be the case that an organization or service provider threshes corn/shells maize for members – either for free or for a cash or in-kind fee.
- B3_19 **Draught power (animals/tractors)** – Refers to the use of any type of draught power (animals or mechanized). This may include a case where an organization owns draught power that it lets its members use – with the farmer directly using the draught power source. It may also include the case where a service provider provides draught power or tillage services to members – either for free or for a cash or in-kind fee.

- B4. **How do you market your member’s commodities?** – Farmer organizations may help their members sell commodities either by 1) actively selling on behalf of their members or by 2) connecting (introducing) their members to potential buyers without actually arranging the sale. This question distinguishes between these two ways organizations help their members market commodities.

Codes

- 1 = **Sell directly on behalf of members** – The farmer organization makes the sale directly. It may or may not collect the commodities (it usually will) but the key point is that the farmer organization negotiates with the buyer.

- 2 = **Do not aggregate or sell directly but connect members to other organizations** – The farmer organization does not directly make the sale. The organization may provide a point for members to aggregate commodities and bring buyers to that point but the individual farmers negotiate with the buyer.
- 3 = **Do not market members' commodities** – The farmer organization does not directly market members' commodities or provide any marketing assistance.

B5. **Is this farmer organization able to offer its members any kind of financing between harvest and the sale of commodities? (This might include providing or facilitating cash loans or advances between harvest and sale, use of warehouse receipt systems, or full or partial purchase of commodities by the organization prior to sale)** – The need for money (either to meet household expenses or to pay off agricultural loans) is a main reason farmers sell their commodities soon after harvest when prices are low. This question assesses whether the farmer organization is able to offer its farmer members any sort of financing that would allow them to hold their crops for sale at a later date. This may include buying the crops from the farmers directly; giving them credit with the harvested crop as security; facilitating access to a warehouse that offers receipts that can be used as collateral for a loan; or paying farmers for a portion of their crop at harvest, selling the crop at a later date, and then settling with farmers at that time.

Module C

- C1_a. **What products has the organization sold during the past two years?** – List all crops and processed commodities that the organization has sold during the past two calendar years. Record the staple commodities that WFP buys in the country first and fill in columns “a” through “I” for these commodities. For all other commodities (i.e., those that WFP does not buy) fill in only the commodity code in column “a”.
- C1_b. **What is the largest quantity of _____ that the organization has sold in one [season] during the past 2 years?** – Refers to the largest total quantity of a commodity the organization sold during a single[season] where [season] refers to all of the agricultural seasons within a 12 month period.
- C1_c/d See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- C1_e. **What quantity of _____ did the farmer organization receive from members during the season?** – Refers to the total quantity of the commodity the organization received from its farmer members during the past [season] where [season] refers to all of the agricultural seasons within a 12 month period.
- C1_f/g See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- C1_h. **Was the quantity received from members during the [season] larger, smaller, or about the same as the quantity received during the [previous season]?** – Intended to capture significant differences in the quantity received between the most recent [season] (i.e., all of the agricultural seasons in the most recent 12 month period) and the

[previous season] (i.e., all of the agricultural seasons in the 12 month period prior to the most recent). Record very small changes as “about the same”.

C1_b Quantity received compared to [season:] (codes)

- 1 = **Larger** – Record “Larger” only if meaningfully larger (10%, or more, larger).
- 2 = **About the same** – Record “About the same” if the quantities are close to the same amount. “About” is the key concept. Only record “larger” or “smaller” if there is a meaningful difference in sales. Record “about the same” if sales were close to the same, within 10%.
- 3 = **Smaller** – Record “Smaller” only if meaningfully smaller (10%, or more, smaller)
- 4 = **Not applicable – organization does not have two years of data for comparison** – Use in the case when an organization does not have two years of data for comparison. This will typically be because the organization is too new to have sold commodities in both of the past two years. Do not use this response if the organization has been established for two years but did not sell commodities in one of the past two years.

C1_i/j. **What are the two most important reasons the quantity received was larger?** – Record the two main reasons that sales were larger in the most recent [season] than in the [previous season]. If the respondent gives only one reason for a given staple commodity, then record a “not applicable” code “-8” as the second reason. Many of the reasons are related so probe carefully to determine the real reasons and choose the two most important.

Codes for reasons for larger quantity sold

Members (farmers) produced more because...

- 1 = **of good rains, fewer pests/diseases, lower than usual post harvest losses** – Favorable weather conditions, little pest damage, and few post-harvest losses resulted in farmers having more to sell.
- 2 = **expected a good price** – Members grew more because they expected prices to be good.
- 3 = **they had greater access to inputs (seed, fertilizer, pesticide) than during the [previous season]** – Members had access to more inputs (either because they could afford more or because more were more available). This does not include access to improved seed.
- 4 = **they had greater access to improved seed** – Farmers had access to more improved seed than in the [previous season] (either because they could afford more or because more was available).
- 5 = **they received training and/or technical support** – Farmers received training or technical support that helped them increase production or reduce losses relative to the [previous season].

- 6 = **they had greater access to credit than during the [previous season]** – Farmers had greater access to credit than during the **[previous season]**. It does not matter how they used the credit, as long as it contributed to increased production/sales.
- 7 = **they cultivated more land** – Farmers cultivated more land for whatever reason.
- 10 = **they had access to more labor than in the [previous season]** – Farmers had access to more labor on the farm than in the **[previous season]**.

The farmer organization sold more because...

- 8 = **it had more marketing opportunities than during the [previous season]** – The first seven reasons related to increased production by member (farmers). This reason is related the organization having increased its ability to sell because it had more markets or access to more markets.
- 9 = **it had more cash to buy produce from members than during the [previous season]** – Refers to the organization having access to more money (either from its own funds or borrowed) so it could buy (and sell) more of its members' produce.
- 11 = **it had access to more storage than in the [previous season]** – The organization could aggregate more from members because it had access to more storage than in the **[previous season]**.
- 12 = **an increase in membership** – The farmer organization membership increased relative to the **[previous season]** thus making more commodities available to the organization.
- 8 = **not applicable (no other reason)** – Enter this for C1_j if there is only one reason for selling more.

C1_k/l. **What are the two most important reasons the quantity received was smaller?** – Record the two main reasons that sales were smaller. If the respondent gives only one reason, then enter the “not applicable” code (-8) as the second reason.

Codes for reasons for smaller quantities sold

Members (farmers) produced less because...

- 1 = **of drought, floods/rains, pests/disease, or higher than usual post harvest losses or theft** – Unfavorable weather conditions, greater pest damage, higher post-harvest losses, or theft resulted in farmers having less to sell compared to the **[previous season]**.
- 2 = **they cultivated less land** – Farmer members of the farmer organization cultivated less land for whatever reason.
- 3 = **of poor health or because they had other income earning opportunities** – Farmers had less labor available because of poor health or because family members had other income opportunities and chose not to work in farming.

- 4 = **they had less access to inputs (seed, fertilizer, pesticide) than during the [previous season]** – Farmers had access to fewer inputs (either because they could afford less than during the previous season or because less were available).
- 5 = **they had less access to labor than during the [previous season]** – Farmer members of the farmer organization had access to less labor, either because they could not afford to hire more or because they had fewer family members working on the farm.
- 6 = **prices were low** – Farmers expected prices to be low and did not produce as much as during the **[previous season]**.
- 11 = **they had access to less credit than in the [previous season]** – Farmers had access to less credit to buy inputs than in the **[previous season]**.

The farmer organization sold less because...

- 7 = **it had fewer marketing opportunities than during the [previous season]** – The farmer organization had fewer markets or marketing opportunities for whatever reason.
- 8 = **it had less cash or credit to buy produce from members than during the [previous season]** – The farmer organization had less cash (either from own funds or credit) to buy members' commodities.
- 9 = **side selling by members who found better markets** – Farmer organization members sold more to other buyers than through the farmer organization so the farmer organization did not get as much of what the members produced.
- 10 = **member withdrawal from the farmer organization** – The farmer organization became smaller because many members left the organization thus reducing the quantity of commodity that could potentially be available for sale through the farmer organization.
- 8 = **not applicable (no other reason)** – Enter this for C1_1 if there is only one reason for selling more.

C2. **What is the most common way the organization gets produce from members' to a collection point for sale or delivery?** – Most farmer organizations that market commodities aggregate commodities so buyers can collect a large quantity in one place. This question asks how this farmer organization arranges aggregation of its members' commodities for sale.

C2 Delivery method codes

- 1 = **Farmer organization collects produce from members** – the farmer organization arranges collection and transport from the farm to a collection point.
- 2 = **Members deliver their produce to the organization** – farmers arrange to transport their commodities to a central collection or aggregation point.

- 3 = **The buyer collects the produce from individual members** – the buyer (who buys from the organization) arranges to collect commodities from each farm.
- 4 = **Other** - All arrangements that do not fall into one of the three categories in responses 1 through 3.

C3. **What is the most common way the organization gets members' produce from the organization's collection point to a market where you can sell?** – Once the commodity is aggregated at a collection point, it needs to get to the buyer or market. This question asks how the farmer organization arranges this transportation.

C3 Delivery method codes

- 1 = **Organization delivers products to market** – The farmer organization transports the commodities to another location – either to make the sale there or to deliver to a pre-arranged buyer.
- 2 = **Buyers collect from organization** – The buyer picks up the commodities at the farmer organization's collection point. The farmer organization is not responsible for transporting the commodity from the collection point to the buyer.

C4_a/b. **How far is it from your farmer organization's collection point to the market where most of the commodities you sell end up?** – The physical distance (in miles or kilometers) from the point where the farmer organization collects commodities to the point where most of the commodities end up. This question assesses the transportation costs for whoever must transport the commodity from the farmer organization to wherever the final buyers are located. Therefore, if most of the commodity the farmer organization sells goes to the country's capital city, then the answer is the distance from the collection point to the capital city, regardless of who is responsible for transportation. If the farmer organization sells most of the commodity to a small trader who then sells it to a miller, then the correct answer is the distance to the final buyer, i.e., the miller.

C5. **How much does it cost to transport 30 metric tonnes of a bagged commodity from your farmer organization's collection point to the market/buyer where most of what you sell ends up?** – The cost of transporting 30 metric tonnes to the location in C4. The organization may report a cost per bag. Probe to find out what the total cost would be for 30 tonnes. The 30 tonne quantity is important because it is usually less efficient to transport smaller quantities and we need a consistent measure of cost across all countries.

C6_a/b/c. **What are the three most critical problems your organization faces in selling staple commodities on behalf of your members?** – Refers to the challenges or difficulties the farmer organization faces trying to market commodities. Probe carefully to determine the three most critical problems.

C6_a/b/c. Problems Codes

- 1 = **Limited consumer demand for products** – Difficult to find buyers or a good price because there are few buyers for the products.

- 2 = **Limited access to pricing information** – Difficult to determine a price at which to sell because of little information about market prices. This also includes not being able to negotiate a fair price or buyers taking advantage of limited information about prices.
- 3 = **High costs of collecting and preparing commodities for market** – Costs of transporting the commodities to a market are high. This may be an issue even if the buyer transports the commodity because the cost may be deducted from the price the buyer pays to the farmer organization.
- 4 = **Limited access to credit to pre-purchase commodities from members** – Because it can't address its members' need for cash at harvest time (by buying the commodities from members before a sale), the farmer organization has difficulty collecting enough commodities from farmers to aggregate a quantity large enough to interest buyers or to transport efficiently.
- 5 = **Low volume of staple commodities available from members (for example, because of late payment from buyers, lack of trust in organization, low production, etc.)** – Similar to “4” above except that the reason for not being able to aggregate sufficient quantities is low production by farmers, buyers pay the farmer organization late and farmers are not willing to wait, or that farmers don't trust the organization and choose to sell their commodities elsewhere.
- 6 = **Government trade restrictions** – May include restrictions on trading commodities in general or restrictions on international trade that constrain markets. Restrictions may be from national or local governments.
- 8 = **Poor transportation infrastructure** – May relate to buyers not willing/able to get trucks to the farmer organization, not being able to get large trucks to the organization (and thus missing out on the transportation efficiencies of using larger trucks), increasing the cost because trucks must travel slowly on bad roads, or inaccessibility because of bad roads during the rainy season.
- 9 = **Not able to meet quality demands of buyers** – Refers to not being able to produce or deliver the quality (i.e., moisture content, percentage of foreign matter, percentage of small/broken/discolored grains) that buyers demand.
- 10 = **Unpredictable prices/price fluctuations** – Refers to unpredictable prices or price fluctuations that make it difficult to enter into contracts or determine a fair selling price.
- 11 = **Other** – Any difficulty not included in responses in 1 through 10.

C7. **I'd like to know about the five most recent sales of staple commodities or processed products that the organization made during the [season]** – Record the five most recent individual sales of commodities in the past [season]. If fewer than five sales in [season], list all.

Note: If at all possible, enumerators should ask to review the farmer organization's records when answering question C7.

- C7_a. **List the commodities/products sold in the five most recent individual sales of WFP food basket commodities here.** – List the organization’s five most recent sales of WFP food basket commodities or processed products during [season]. Probe to make sure you capture all of the sales (up to five) of commodities or processed products during the [season].
- C7_b/bb. **In which month and year did you deliver this commodity to the buyer?** – Record the month and year that the farmer organization delivered the commodity or processed product to the buyer (or when the buyer took possession of the commodity or processed product). If the commodity or processed product was delivered in stages, record the date of the final delivery.
- C7_c. **Who bought the commodity or processed product?** – Record the “type” of buyer. This does not refer to where the commodity ends up. It refers to the buyer that actually paid the organization for the commodity. For example, if the organization sold a commodity to a trader who then sold to a miller, the type of buyer is “trader”.

Type of buyer codes

- 1 = **Households/ individuals** – Refers to individuals or households no matter where they bought the commodity (e.g., at a local market, directly from the organization, etc.).
- 2 = **Retail stores** – Refers to sales the organization makes directly to retail stores. Retail stores are stores that sell directly to consumers.
- 3 = **Millers/brewers/processors** – Refers to sales the organization makes directly to millers/brewers/or processors.
- 4 = **Traders/warehouse operators/food suppliers** – Refers to sales the organization makes directly to traders, warehouse operators (who will often be traders), or suppliers of food to government institutions.
- 5 = **Government food reserve agency or government institutions (schools, hospitals, etc.)** – Refers to sales the organization makes directly to a government food reserve or food bank agency (name may be country-specific) or directly to government institutions such as schools, prison, hospitals, etc. This response refers to sales directly to government institutions while “4” above refers to sales to food suppliers who then supply government institutions.
- 9 = **WFP** – Sales directly to the World Food Programme. Choose this response only if the organization sold directly to WFP. This does not include sales to a trader or other party who then sells to WFP.
- 6 = **International development agencies** – Refers to international, government-sponsored, or government affiliated, development agencies such as USAID, GTZ, DFID, etc.. These are not NGOs.
- 7 = **National/international NGOs** – Refers to non-governmental organizations. NGOs are organizations that are not sponsored by or affiliated with a

government. They may receive funding from governments but are not sponsored by or affiliated with government.

8 = **Farmer organizations** – Refers to sales to other farmer organizations. For example, one farmer organization may buy from another to fill out an order if it can't get all it needs from its own members. It could be that a farmer organization sells commodities through a type of farmer organization higher up in the hierarchy of organizations (e.g., a larger farmers association or national forum) of which the farmer organization is a member. In this case the “buyer type” is a farmer organization only if the higher-level organization bought the commodities from the responding organization and then resold them. If the higher-level organization merely facilitated the transaction (i.e., connected the responding farmer organization to the buyer and, perhaps, arranged transportation or other logistics) but did not actually take ownership of the commodities, then the “type of buyer” is the buyer who ultimately paid the responding farmer organization for the commodities.

C7_d. **Did the organization have to dry, clean, or sort this commodity beyond the form in which you received it to meet this buyer's specifications?** – Answer “yes” if the farmer organization had to dry, clean, or sort the commodity after receiving it and before selling it. This includes only drying; removing foreign matter; and removing small, broken, or discolored grains. It does not include bagging.

C7_e. **What was the quantity delivered for this sale? (mt)** – Refers to the quantity actually delivered, not the quantity contracted. Record in the most common unit of measure for sales of the size farmer organizations typically make. This is metric tonnes in most countries. Country offices may change the units if another unit is most relevant in the specific country. Make sure to document which unit is used and to use the same unit for all sales.

C7_f. **How much did the farmer organization receive?** – Refers to the total amount of money the farmer organization received for this sale of commodities. Record in local currency units.

C7_g. **How much of this total was paid to contributing farmers?** – Refers to the total amount of money the farmer organization paid to all farmers who contributed commodities to the sale. Record the total amount paid to all farmers, not the price per kilogram or the amount paid per farmer. The enumerator may have to probe to get the total amount but most organizations seem to keep records of such payments.

C7_h. **How did you deliver the commodity to the buyer?** – Refers to the way the commodity made its way to the buyer.

Method of delivery codes

1 = **Farmer organization using own transport** – The farmer organization arranged and paid for transportation using its own vehicles or other forms of transport owned by the organization.

2 = **Farmer organization using hired transport** – The farmer organization arranged and paid for transportation using hired vehicles or other hired transportation.

- 3 = **Buyer collects** – The buyer (of the commodities from the farmer organization) arranged and paid for transportation from the farmer organization’s collection point or from the farmers.
- 4 = **Farmer organization members deliver produce to the buyer** – The farmers delivered the commodity directly to the buyer.
- 5 = **Other** – Any other method of delivery not mentioned in responses 1 through 4.

C8_a. **During the [season], did your organization [dry/clean/remove small & broken grains/remove discolored grains] commodities beyond your normal practices specifically to meet a buyer’s requirements?** – This question may seem like a duplicate of C7_d. However, this question asks for more detail and is not sale-specific.

C8_b. **Why not?**

Reasons for not increasing quality (codes)

- 1 = **No increase in price to justify cost** – Refers to the case where buyers are not willing to pay any premium price for higher quality (i.e., lower moisture, cleaner, sorted/graded) commodities. Probe carefully to ensure that the reason is that buyers are not willing to pay for any quality improvement, not that the farmer organization does not have the capacity to produce the quality that buyers desire (response “4”).
- 2 = **Increase in price not enough to justify cost** – Refers to the case where buyers are willing to pay some premium for higher quality (i.e., lower moisture, cleaner, sorted/graded) commodities, but the cost of improving quality is higher than the premium.
- 3 = **Quality received from farmers already met market specifications** – Refers to the case where farmers deliver a quality sufficient to meet buyer requirements and there is no need for the organization to do additional drying/cleaning/sorting/grading. Probe carefully to make a distinction between this response and response “1”. This response is applicable when buyers are willing to pay for better quality and farmers already produce that quality.
- 4 = **Did not have capacity to improve quality** – Refers to the case where there were buyers for higher quality but the organization could not produce higher quality, perhaps because it did not have access to the necessary equipment or have access to someone who could provide drying/cleaning/sorting services.

C8_c. **Did your organization or its members perform this operation?** – Farmer organizations may dry, clean, and sort commodities themselves using their own equipment or their members’ labor. Alternatively, they may hire someone else (e.g., a warehouse operator or trader) to dry, clean, or sort commodities. Record a “yes” response to this question if the farmer organization or its members performed the operation.

C9. **Did the organization sell any commodities under a contract (signed agreement) during the [season]?** – Refers to any sale made under a contract. There are many kinds

of contracts but the common element of a contract would be a signed agreement to sell commodities to a particular buyer at a specified price.

- C10. **Of the total quantity of commodities specified in all contracts during the [season], what percentage of that quantity did you actually deliver?** – Farmer organizations are not always able to deliver the quantity of a commodity specified in a contract. This question asks for the percentage of the contracted quantity that the farmer organization actually delivered. It covers all contracts during the [season] so make sure to add up all the contracted quantities and all the quantities actually delivered under those contracts to determine the aggregate percentage delivered. In cases where a contract was completely cancelled (i.e., nothing delivered) because of the organization's failure, use the full contracted amount as the quantity contracted and “0” as the quantity delivered for the sale. If the contract was completely cancelled for reasons other than the failure of the organization, do not include the cancelled contract in this question.
- C11. **What was the main reason you were not able to deliver the quantity contracted?** – Asks about the reason the organization was not able to deliver the quantity contracted, i.e. less than 100% delivered (in any of the contracts it failed to fulfill).

Partial delivery reason codes

- 1 = **Did not have access to required quantity** – Refers to the case where the organization could not (for any reason) aggregate the quantity necessary to satisfy the contract.
- 2 = **Could not accumulate required quantity in time to meet delivery deadline** – Refers to the case where organization could aggregate the required quantity but did not do so in time to meet the contract's delivery requirement.
- 3 = **Could not meet buyer's quality standards** – Refers to the case where the buyer did not accept some or all of the contracted commodities for quality reasons.
- 4 = **Commodity did not meet buyer's specifications** – Refers to the case where some other (non-quality) aspect of the commodity did not meet the buyer's specifications. This might include bagging requirements, labeling requirements, etc. This does not include not being able to meet delivery date, quality, or quantity specifications.
- 5 = **Buyer revised the contract amount** – Refers to a case where the buyer reduced the contract quantity prior to delivery.
- 7 = **The price offered was no longer attractive at time of delivery** – Refers to a case where the prices increased between signing the contract and the delivery date and the organization decided to sell (some or all of the contracted amount) to another buyer at the higher price.
- 8 = **Farmer organization did not have transport to deliver the commodities** – Refers to the case where the organization was unable to deliver the commodities as expected. For example, the organization did not own vehicles or was unable to arrange transportation.

- C12. **During the [season], did you sell directly to buyers...?** – This question attempts to measure the number of different jurisdictions into which the organization sold. It refers only to buyers the organization sold to directly, not where the commodity ended up. So, if the organization sold to a large trader who then sold to a buyer in another country, it counts as a sale to the location of the trader, not outside the country. Country offices may need to adapt the wording of the responses to suit the jurisdictional structure in the country. Mark as many responses as apply.
- C12_1 **Outside of [country]** – Mark as “yes” if the organization sold directly to a buyer located outside the country.
- C12_2 **Within [country] but outside the province/region in which you are based** – Mark as “yes” if the organization sold directly to buyers located within the country but outside of the province/region [or other applicable name] in which the organization is located.
- C12_3 **Within the province/region but outside the district in which you are based** – Mark as “yes” if the organization sold directly to buyers located within the province/region [or other applicable name] but outside of the district [or other applicable name] in which the organization is located.
- C12_4 **Within the district but outside the town/trading center in which you are based** – Mark as “yes” if the organization sold directly to buyers located within the district [or other applicable name] but outside of the town/trading center [or other applicable name] in which the organization is located.
- C12_5 **Within the town/trading center but outside the village in which you are based** – Mark as “yes” if the organization sold directly to buyers located within the tow/trading center [or other applicable name] but outside of the village [or other applicable name] in which the organization is located.
- C12_6 **Within the village in which you are based** – Mark as “yes” if the organization sold directly to buyers located within the village [or other applicable name] in which the organization is located.
- C13. **Has this Farmer organization ever competed in a tender to sell commodities or processed foods?** – Refers specifically to a competitive tendering process. May include fully competitive tenders or modified competitive tenders. A competitive tender is a situation where an organization offers a quantity and price in response to a request from a buyer. The buyer distributes the request to many potential suppliers and the suppliers compete on price. Includes sales of unprocessed commodities and processed food products.
- C14. **Have you ever won a tender?** – Answer “yes” if the organization has ever won a competitive tender.
- C15. **Please provide the following information on the four most recent tenders for staple commodities that you have won.** – Refers only to tenders the organization won.

- C15_a. **What was the commodity sold?** – Enter the code number for the commodity sold through the tender using the list of crop codes.
- C15_b. **In what year did you make the sale?** – Refers to the year in which the tender was won and signed.
- C15_c. **Who bought the commodity?** – Refers only to the direct purchaser (with which the organization signed the tender), and not to the ultimate buyer of the commodity.

Codes for type of buyer

- 1 = **Households/ individuals** – Refers to individuals or households no matter where they bought the commodity (e.g., at a local market, directly from the organization, etc.).
- 2 = **Retail stores** – Refers to sales the organization makes directly to retail stores. Retail stores are stores that sell directly to consumers.
- 3 = **Millers/brewers/processors** – Refers to sales the organization makes directly to millers/brewers/or processors.
- 4 = **Traders/warehouse operators/food suppliers** – Refers to sales the organization makes directly to traders, warehouse operators (who will often be traders), or suppliers of food to government institutions.
- 5 = **Government food reserve agency or government institutions (schools, hospitals, etc.)** – Refers to sales the organization makes directly to a government food reserve or food bank agency (name may be country-specific) or directly to government institutions such as schools, prison, hospitals, etc. This response refers to sales directly to government institutions while “4” above refers to sales to food suppliers who then supply government institutions.
- 9 = **WFP** – Sales directly to the World Food Programme. Choose this response only if the organization sold directly to WFP. Do not choose this response if the organization sold to a trader or someone else who then sold to WFP.
- 6 = **International development agencies** – Refers to international, government-sponsored, or government affiliated, development agencies such as USAID, GTZ, DFID, etc. These are not NGOs.
- 7 = **National/international NGOs** – Refers to non-governmental organizations. NGOs are organizations that are not sponsored by or affiliated with a government. They may receive funding from governments but are not sponsored by or affiliated with government.
- 8 = **Farmer organizations** – Refers to sales to other farmer organizations. For example, one farmer organization may buy from another to fill out an order if it can't get all it needs from its own members. If the organization sold directly to another (umbrella) organization with which the responding organization is affiliated, then choose this response only if the responding organization responded to and won a tender issued by the umbrella organization. If the responding organization merely contributed commodities to satisfy a tender that

the umbrella organization won, then the responding organization did not win the tender and should not respond to this question.

C15_d. **Did the tender specify particular quality standards?** – Did the written contract agreement contain specifications for quality? These might include specifications for moisture content, the percentage of foreign matter, the percentage of small/broken grains, the percentage of discolored grains, or other specifications.

C15_e. **What quantity did the contract specify (mt)** – Refers to the quantity specified for delivery in the tender. Record in units of metric tonnes only if they are the most common units in which farmer organizations sell. Otherwise, adapt the units to the specific country and document the units used. Use the same units throughout the country and across all surveys.

C15_f. **Did you completely fulfill the contract?** – Refers to satisfying all terms of the contract.

C15_g. **If not completely fulfilled, why not?**

Partial delivery reasons codes

- 1 = **Could not accumulate required quantity** – Could not accumulate the required quantity for any reason.
- 2 = **Could not meet buyer's quality standards** – Could not satisfy the buyer's quality requirements (i.e., moisture content, percentage of foreign matter, percentage of small/broken grains, percentage of discolored grains, etc.).
- 3 = **Could not meet delivery deadline** – Could accumulate the desired quantity but not by the specified date.
- 4 = **Buyer revised the contract amount** – The buyer reduced the contract quantity prior to delivery.
- 6 = **The price offered was no longer attractive at time of delivery** – Refers to a case where the prices increased between signing the contract and the delivery date and the organization decided to sell (all or some of the commodity) to another buyer at the higher price.
- 7 = **Farmer organization did not have transport to deliver the commodities** – Refers to the case where the organization was unable to deliver the commodities as expected. For example, the organization did not own vehicles or was unable to arrange transportation.
- 9 = **Commodity did not meet buyer's specifications** – Refers to the case where some other (non-quality) aspect of the commodity did not meet the buyer's specifications. This might include bagging requirements, labeling requirements, etc. This does not include not being able to meet quality, delivery date, or quantity specifications.
- 8 = **Other** – Any reason not mentioned in responses 1 through 9.

- C16. **What do you think were the reasons that you did not win the tender?** – The respondent may not always know the reason but probe to make sure.
- C16_1 **We did not provide all requested documents** – Did not have, could not access, or could not complete the requested documents.
- C16_2 **Our produce did not meet the required quality standards** – Quality of commodities (i.e., moisture content; foreign matter; small, broken, or discolored grains) did not meet buyer’s standards.
- C16_3 **We could not afford the performance bond** – The buyer required a cash guarantee of performance (a bond) and the organization did not have, or could not borrow, the money necessary to provide the bond.
- C16_4 **Did not fill in the papers correctly** – Submitted all the paperwork but did not fill in some correctly (i.e., made mistakes).
- C16_5 **Submitted the bid papers late** – Turned in all or some of the papers after the deadline for submission.
- C16_6 **Price was too high** – Submitted a bid but set the price too high (i.e., other bidder(s) bid less).
- C1_7. **Other** – Any reason other than those listed in responses 1 through 6.
- C1_8. **Don’t know** – The respondent does not know the reason for not winning the tender.
- C17. **General**
- C17_1 **Publicly available market information (e.g., radio/TV, commodity exchange, SMS, newspapers, information boards at agricultural offices, etc.)** – Refers to any publicly available sources of price or other marketing information.
- C17_2 **Personal knowledge of market (e.g., talking with other traders/buyers, friends, etc.)** – Refers to personal knowledge based on communication with market actors and others.
- C17_3 **Price set by the buyer you sold to** – Refers to the case where the buyer set or dictated the price with no negotiation with the organization.
- C17_4 **Extension workers/warehouse operators** – Refers to government agricultural extension workers or warehouse operators (private sector or public sector).
- C17_5 **Food reserve agency floor price** – Refers to the publicly announced price of the government food reserve agency. If the country has a food stock agency, use the name of that agency in this question.

- C17_a. **During the [season], what sources of information did you use to determine the price at which you sold commodities?** – This question refers to all of the information sources that the organization used to determine selling prices. Mark all that apply.
- C17_b. **Was this information useful in setting prices at which you sold?** – Probe to determine whether a particular source of information was actually useful in setting prices and making selling decisions.
- C18. **What is the public source of price information you relied on most often?** – Refers to the public source the organization relied on for most sales.

Public market information sources (codes)

- 1 = **Radio/TV** – Obtained information from radio or TV broadcasts.
- 2 = **Information boards at local agricultural offices** – Boards with prices posted at local agricultural offices.
- 3 = **Newspapers** – Obtained information from newspapers.
- 4 = **SMS system/mobile phone** – Obtained information by SMS on a mobile phone or by calling a phone number to receive market information.

The Farmer Livelihood and Agricultural Production Baseline and Follow-up Survey Instruments

Before enumerators set out to interview households, the supervisor will have pre-filled background information about the household into the “Identifying Information” and “Group Information” sections in the grey box at the beginning of the questionnaire.

Before beginning the interview, the enumerator should use the “Verification Information” questions (also in the grey box) to verify that the respondent is the respondent specified in the sample. In particular, the enumerator needs to ensure that he/she is, in fact, interviewing a household that includes a member of the farmer organization that provided the reference to the household and that the gender of the intended respondent is correct.

If the enumerator finds that the household does not contain a registered member of the farmer organization then the enumerator should terminate the interview. If the respondent is not of the expected sex, correct the name and sex coding in the “Group Information” section and continue the interview. If the enumerator terminates the interview for any reason, note the reason on the questionnaire and retain the unused questionnaire as a record of the status of the interview.

Screening Questions

1. **Does your household cultivate more than _____ [insert country-specific upper threshold for smallholder farmer here] acres/hectares?** – This is a key screening question that identifies smallholder farmers and, thus, the targets of the survey. Country offices should use the definition of smallholder farmer relevant to the particular country. If no definition exists, then use a 2 hectare threshold. Terminate the interview if the respondent is not a smallholder farmer.
2. **Did your household plant or harvest any staple crops during the past 12 months?** – This question screens out those who did not, for whatever reason, plant or harvest staple commodities during the time period of interest. Terminate the interview if the respondent did not plant or harvest staple commodities. The questions are not applicable to these individuals.

Module A

- A1. **General** – This question asks about household members’ participation in farmer organizations.
- A1_a. **Which household members are registered members of any farmer organization?** – Refers to any household members who are registered members of any farmer organization. A household is a group of people who live together, not necessarily in the same building; who usually eat from the same pot; and who pool their incomes and other resources to purchase or produce food. A household member is any person who, in the past 12 months, has lived with the household for at least 6 months regardless of whether they have intentions to stay or not. It also includes persons who have lived in the household for less than six months if they are a) attending school away from home, b) newly born babies, c) persons who are newly wedded into the household, or d) persons who have been in the household for less than 6 months but have come to stay permanently.

A1_a. Codes for membership in farmer organizations

- 1 = **Household head** – The head of the household is the person responsible for making major decisions about the household.
- 2 = **Spouse of household head** – The (male or female) spouse of the household head. In cultures with polygamy, there may be several female spouses of a male household head.
- 3 = **Male household member** – Any male household member other than the (male) spouse of the household head.
- 4 = **Female household member** – Any female household member other than the (female) spouse of the household head.

A1_b. **Does this person hold an elected or appointed leadership position in the farmer organization?** – Refers to any official leadership or officer (e.g., president, treasurer, secretary) position. These will likely be elected positions but may also be appointed positions.

A1_c. **For how many years has this person been a registered member of this farmer organization?** – Record the total number of years that the individual has been a member of the organization.

A1_d. **Is this farmer organization for women only, for men only, or is it mixed membership?** – Note whether the farmer organization membership is restricted to only men or only women or if it has both men and women as members.

Codes for gender composition of the organization

- 1 = **Women only membership** – The organization allows only women as members.
- 2 = **Men only membership** – The organization allows only men as members.
- 3 = **Mixed male and female membership** – The organization allows both men and women as members in the same organization.

A2. **General** - This question asks about the availability and use of various agricultural support services. It does not include services provided by the private sector.

A2_1. **Training or technical assistance in agricultural practices or technology** - Refers to any training or technical assistance related to agricultural practices or technology. This may include government-provided extension services but does not include technical assistance or training provided by input suppliers or other private sectors actors.

A2_2. **Agricultural inputs on credit** – Providing agricultural inputs (e.g., seed, fertilizer, etc.) on credit. Repayment may be in the form of cash or a portion of the crop when it is harvested.

- A2_3. **Cash loans for agricultural purposes** – Includes only loans of cash and only for agricultural purposes.
- A2_4. **Cash loans for non-agriculture uses** – Includes only loans of cash and only for non-agricultural purposes.
- A2_5. **Subsidized (or free) inputs** – Providing agricultural inputs (e.g., seed, fertilizer, etc.) at reduced prices, including free.
- A2_6. **Help selling agricultural products (for example: collecting, finding buyers, transporting, etc.)** – Helping farmers sell agricultural commodities. This may include helping aggregate commodities, connecting farmers to buyers, helping with transportation, etc.
- A2_7. **Storage for agricultural commodities** – Storing commodities in a facility that is not on the farm (e.g., an organization or private warehouse).
- A2_8. **Access to cleaning services for commodities** – Refers to any commodity cleaning services (i.e., removing foreign matter or small, broken, or discolored grains), either mechanical or otherwise, available to farmers (not including private sector services).
- A2_9. **Access to drying services for commodities** – Refers to any mechanical or other drying services available to farmers (not including private sector services).
- A2_10. **Chemical treatment of commodities to control insect pests** – Refers specifically to chemical treatment (e.g., fumigation, spraying, powders, or other chemical treatments) to control insect pests.
- A2_11. **Crop insurance** – Insurance against loss of the crop prior to harvest. If the crop is lost, the insurance would pay the farmer for the loss.
- A2_12. **Access to (renting or lending) agricultural equipment (tractors, maize threshers, etc.)** – Refers to renting or lending agricultural machinery.
- A2_a. **Does any organization provide ____ [name of service] to households in this area?**
– The question asks whether the service is generally available to households in the geographic area. It does not ask whether households use or can afford the service but only whether any organization (not the private sector) offers it.

Service provider codes

- 1 = **National/international NGO** – Refers to any Non-Governmental Organization. An NGO is an organization that is not sponsored by or affiliated with a government. NGOs may receive funding from governments but are not sponsored by or affiliated with government.
- 2 = **National/local government** – Includes any branch, agency, department, or other part of any level of the country’s governmental structure.

- 3 = **Farmer organization** – Includes any type of farmer organization (e.g., organization, club, federation, cooperative, union, etc.).
- 4 = **Church** – This does not include faith-based organizations (faith based non-governmental organizations). Ensure that respondents recognize this distinction as they may belong to the same religion, and attend the same church, as that of a given faith-based organization.
- 5 = **International development agency** – Refers to international government-sponsored or affiliated development agencies such as USAID, GTZ, DFID, UN, etc. These are not NGOs.
- 8 = **Other** – Any organization not listed in responses 1 through 5.
- 8 = **Not applicable/no (other) organization** – Use this code if the question is not applicable. Also use it in questions A2_c and A2_d to indicate that there is no other organization providing the service.
- 7 = **Don't know** – Use this code to indicate that a respondent does not know the answer to the question.

A2_e. **Is this service available for the staple crops your household cultivates?** – Some types of services are restricted to particular crops (i.e., a cotton company may provide fertilizers for cotton only). This question asks whether the service is available for the respondent's staple crops.

A2_f. **Has your household used this service within the past 12 months?** – Indicate whether the respondent, or someone in the respondent's household, has used this service within the past 12 months.

A2_g. **Did your household have to pay for the service (either in cash or in kind) when you used it?** – If someone in the respondent's household used the service within the past 12 months, ask how much they paid. Households may pay for a service in a variety of ways. Cash payments are self explanatory. In-kind payments include any required non-cash consideration for the service and may include paying with a portion of a harvested crop or bartering labor or some other good for the service. Probe to determine the cash value of the payment.

A2_h. **Who provided this service to you most recently?** – Enter the organization that provided the service to you most recently. Use the same codes as for A2_b/c/d above.

Section B

B1. **General** – This question is broken into two parts to prompt the respondent to think about all the land the household uses and to determine land ownership. The responses will also allow WFP to understand not only how much land smallholder/low income farmers own, but also how much of that land they are able to cultivate.

Note that some households may not actually own land but may have access to land through family ties, renting, or sharecropping. If a household does not own land, then ***the response to B1_1 would be zero (0)***, but the response to B1_2 should be ***greater***

than zero.

B1_1. **What is the total amount of land your household owns?** – Households may not “own” land in all countries. Instead, a household may have exclusive, long-term access to a plot of communal land that is perhaps assigned by the village head or allocated to the household in some other manner. In this case, ask questions carefully to determine whether the household has de facto ownership of the land (i.e., has exclusive, long-term access to land without renting or borrowing the land) and record the land as “owned” land if these conditions hold. Perhaps word the question (in the absence of an institution of land ownership) as something like “land to which your household has exclusive long-term use without payment.”

B1_2. **During the [season], how much land did your household use for agriculture (including land that is owned, rented/leased in, and borrowed, i.e., used without payment)?** – Refers to all land that the household used for agriculture in the [season]. The land may be “owned” (see definition of owned in question B1_1), rented/leased (not owned and used with payment), or borrowed (not owned but used without payment). Prompt the respondent to include all of the land they cultivate (i.e., owned, rented, and borrowed) when answering this question.

Note: Double-check the answers to question B1 against the definition of smallholder farmer (the answer to the first screening question). If the respondent reports a different area of land cultivated in the two questions, then probe to resolve the discrepancy. If the respondent turns out not to be a smallholder farmer, then terminate the interview. A smallholder farmer is a farmer who cultivates less than a specified amount of land regardless of how much land they own.

B2. **Was the land your household used for agriculture during the [season] more, less, or about the same as the amount of land your household used for agriculture during the [previous season]?** – This question assesses whether the respondent is using more or less land for agriculture. It compares the amount of land used in the past [season] with the amount of land used in the [previous season]. For example, if the last [season] was the agricultural seasons of the 2009 calendar year, then the question compares land use in the agricultural seasons in the 2009 calendar year with land use in the agricultural seasons in the 2008 calendar year.

The response “about the same” does not mean “exactly the same.” Use the “more” or “less” responses only if the change in the amount of land used was substantive and (probably) the result of a conscious decision by the respondent to increase or decrease the amount of land farmed.

B3_a/b. **What were the two most important reasons you used more land?**

Codes for planting more land

1 = **Wanted to increase production because of increased need (e.g., for increased household consumption, increased expenses/income, etc.)** – Refers to changing the amount of land used because of a need or desire for more

income. Responses that relate to an increase in household size that then requires the household to grow more food would also fit under this code.

- 2 = **Wanted to increase production to meet new demand (for existing or new crops)** – Refers to increasing the amount of land cultivated so the farmer could produce more (new or existing crops) to meet growing demand (either from new or existing markets).
- 3 = **Had more own capital (not borrowed) to invest in agriculture (hire labor, rent/buy land, buy inputs, buy/rent equipment or draught power, etc.)** – Refers to being able to afford (with own funds only) to make additional investments in agriculture. This may include hiring more labor, buying more or better quality inputs, or increasing the amount of land used. Investments that allow a farmer to increase the amount of land used might include using the credit to hire more labor, buy more or better quality inputs, buy or rent more land, or buy or hire more equipment or draught power.
- 4 = **Able to access more credit (cash or in-kind) to invest in agriculture (hire labor, rent/buy land, buy inputs, etc)** – Refers to increasing the amount of land used because the respondent was able to access more credit (cash or in-kind) to invest in agriculture. In-kind credit might include a sharecropping arrangement where the respondent farms the land in exchange for giving the land owner part of the crop. Investments that allow a farmer to increase the amount of land used might include using the credit to hire more labor, buy more or better quality inputs, buy or rent more land, or buy or hire more equipment or draught power.
- 5 = **Had access to more land that you didn't have to pay for** – Had access to more borrowed land – land that you do not own but do not have to pay (either in cash or in-kind) to use.
- 6 = **Had access to more labor you didn't have to pay for** – This will usually be more household labor. For example, children may have dropped out of school to help at home or a marriage might have increased the size of the household and thus the amount of household labor available.
- 7 = **Had access to more draught power you did not have to pay for** – This does not include being able to hire more draught power or to being able to buy draught power. That is included in codes “3” or “4”. It could, however, include having access to draught power that is made available through family members or in some other way that does not require payment.
- 8 = **Could afford more inputs because they were less expensive or more subsidized** – Refers to inputs being more affordable to the respondent than at previous times – this could be the result of a subsidy programme by government or NGOs. It might also refer to more free inputs being available. This does not include using more inputs because the respondent had, or could borrow, more money. Responses “3” and “4”, respectively, cover these situations.
- 9 = **Higher prices for crops encouraged you to plant more** – Anticipation of good prices may have caused the respondent to increase production by cultivating more land.

- 10 = **More of the land you use for agriculture was useable (less damage from floods/weeds, etc.)** – Refers to land reclaimed from invasive weeds, flooding, erosion, or other events that made it unusable for agriculture in the [previous season].
- 11 = **Began using land left fallow in previous years** – Refers to a conscious decision to resume use of land intentionally left fallow in the [previous season]. This does not include reclaiming land from floods, weeds, etc. that made it unusable for agriculture and thus were not left fallow by choice.
- 12 = **Other** – Any other reason not specified in responses 1 through 11.
- 8 = **Not applicable/no other reason** – Use this response if the question is not applicable or (in question B4_b) if the respondent can't think of a second reason.

B4_c/d. **What were the two most important reasons you used less land?**

Codes for planting less land

- 1 = **Reduced production because of reduced need (i.e. smaller household, lower expenses/income, etc.)** – Refers to reducing the amount of land used because of a need or desire for less income.
- 2 = **Reduced production because you lost markets**– Refers to reducing the amount of land used (and thus quantity produced) because the farmer lost some markets and could not sell all he or she might have produced.
- 3 = **Had less own capital (not borrowed) to invest in agriculture (hire labor, rent/buy land, buy inputs, etc.)** – Refers to reducing the amount of land used because the respondent had less money (not borrowed money) to successfully cultivate the land. This may include having to stop renting some land that the respondent rented in the past because of financial constraints, not being able to hire as much labor, not being able to buy as many inputs, or not being able to hire as much tillage services or draught power.
- 4 = **Had access to less credit (cash or in-kind) to invest in agriculture (hire labor, rent/buy land, buy inputs, etc.)** – Refers to reducing the amount of land used because the respondent was able to access less credit (cash or in-kind) than in the [previous season] to invest in agriculture. This may include having to stop renting some land that the respondent rented in the past because of financial constraints, not being able to hire as much labor, not being able to buy as many inputs, or not being able to hire as much tillage services or draught power.
- 5 = **Did not have access to as much land that you didn't have to pay for** – Had access to less borrowed land (i.e., land not owned but used without payment) than in the previous agricultural season.
- 6 = **Less household labor available (due to illness, smaller household, etc.)** - For example, children may have gone back to school, a marriage might have decreased the size of the household, or death or illness may have affected the number of people able to work.

- 7 = **Lack of access to as much draught power that you did not have to pay for** – This refers to having access to less draught power than the respondent did not have to pay for than in the [previous season]. It does not include not being able to afford as much draught power because the respondent has less cash or credit. Those responses are covered, respectively, under codes “3” and “4”.
- 8 = **Could not afford as many inputs because of higher prices or lower subsidies** – Refers to inputs being more expensive, either because of higher market prices or because of lower subsidies. It might also refer to fewer free inputs being available. In either case, the respondent is not able to afford as many inputs because the effective price is higher. This does not include situations where the respondent reduces input use because of cash or credit constraints relative to the [previous season]. Responses “3” and “4”, respectively, cover these situations.
- 9 = **Lower prices for crops discouraged you from planting as much**– Anticipation of lower prices may have caused the respondent to decrease the amount of land cultivated, and thus the quantity produced.
- 10 = **Land became unusable (floods/drought/invasive weeds, etc.)** – Refers to land damaged from invasive weeds, flooding, erosion, or other events that made it unusable for agriculture.
- 11 = **Wanted to leave land fallow** – Refers to a conscious decision to leave land fallow. This does not include land (unintentionally) left fallow because it became unusable due to flood, drought, or invasive weeds.
- 12 = **Other** – Any other reason not specified in responses 1 through 11.
- 8 = **Not applicable/no other reason** – Use this response if the question is not applicable or (in question B4_b) if the respondent can't think of a second reason.

B5. **With what source of draught power did you cultivate the most land during the past 12 months?** – Refers to the most common source of draught power. If a respondent used several sources, prompt for the one used to cultivate the largest area of land.

Draught power codes

- 1 = **Tractor** – Mechanized draught power.
- 2 = **Donkeys/horses** – Draught power provided by donkeys or horses.
- 3 = **Cattle (cows/bulls)** – Any kind of cattle.
- 4 = **Other** – Any type of draught power not mentioned in responses 1 through 3.
- 8 = **Not applicable/none** – Use this response if the respondent did not use any type of draught power.

B6. **I'd like to know how you divide agricultural work among household members and whether men and women have different responsibilities. Do the men or the women of the household do most of _____ [name of task from rows] or is the**

work shared about equally among men and women? – Respondents may not be entirely honest about the division of labor. The question is phrased in non-judgmental language specifically to elicit a more honest answer. It is important to use the terms (or concepts) of “division of labor” and “different responsibilities” when translating into local languages.

A household is a group of people who live together, not necessarily in the same building; who usually eat from the same pot; and who pool their incomes and other resources to purchase or produce food. A household member is any person who, in the past 12 months, has lived with the household for at least 6 months regardless of whether they have intentions to stay or not. It also includes persons who have lived in the household for less than six months if they are a) attending school away from home, b) newly born babies, c) persons who are newly wedded into the household, or d) persons who have been in the household for less than 6 months but have come to stay permanently.

- B6_1 **Ploughing** – Refers to any form of ploughing. If the respondent used draught power, who undertook the work? If he/she used tractors, who operated the tractor?
- B6_2 **Hoeing** – Refers to preparing land for planting by hand with a hoe.
- B6_3 **Planting** - Refers to actually placing seeds or cuttings in the soil.
- B6_4 **Weeding** – Removing weeds periodically throughout the growing season.
- B6_5 **Applying fertilizer/pesticides** – Applying (spraying, spreading, dusting, etc.) fertilizers, pesticides, or other chemicals.
- B6_6 **Irrigation** – Refers to any activity involved with getting water to crops.
- B6_7 **Harvesting** – Refers to any activity associated with removing crops from the field.
- B6_8 **Shelling/threshing maize/beans/groundnuts/rice** – Activities associated with processing the product from the form in which it was harvested to a form suitable for human consumption.
- B6_9 **Post harvest cleaning and sorting** – Removing foreign matter from grain or sorting out small/broken/discolored grains.
- B6_10 **Marketing decisions (selling, transport to market, negotiating, etc.)** – Refers to decisions about how, where, and when to sell the commodity and prices to charge.

Codes for source of labor

- 1 = **Female household members** – Any female member of the household. See definition of household members above.
- 2 = **Male household members** – Any male member of the household. See definition of household members above.

- 3 = **Shared among male and female household members** – Both male and female household members perform the work. See definition of household members above.
- 4 = **Hired labor** – The respondent usually hires labor to perform the task.
- 6 = **Other** – Any other response not covered in responses 1 through 4.
- 8 = **Not applicable** – Use this response if the household does not perform the task at all or if the household does not perform the task for crops raised for household consumption (column a) or for cash crops (column b).

B7. **General** – This question aims to collect data on crop production and expenses related to raising crops. The detailed questioning is necessary to help remind a respondent of the crops he/she planted and harvested during the past 12 months and to help him/her recall all of the expenses related to raising those crops. The question asks about all the crops the household planted or harvested (including both staple and cash crops). It refers to both “planted” and “harvested” to account for crops (e.g., cassava) that might be planted in the previous season and harvested in the current season.

The table is separated into two seasons to remind enumerators to specifically ask respondents about planting and harvesting in each season. If the country has only one planting and harvesting season in a 12-month period, then the table needs to ask only about one season. If the country has more than two seasons, then add another season (rows) to the table and modify the questions to remind respondents of all the seasons (see “Referring to Agricultural Seasons” on page 7 for more information about how to refer to seasons).

Fill in column “a” first and then work through the table row-by-row (crop-by-crop). In the first column, enter codes for all of the staple and cash crops the respondent planted or harvested in the specified [season].

Select only the staple and cash crops relevant to the country from the crops code list and insert them into the instrument as codes for B7_a. Make sure to retain the numbers (codes) associated with each crop as they appear in the master crop code list (Figure 5).

The question covers two pages in the paper version of the instrument. Ask all questions in a row (i.e., columns “a” through “s”) before moving to the next row.

- B7_aa. **Season** – Enter a code for the season. Country offices should assign their own codes. Make sure to document the coding.
- B7_a. **Which crops did you plant or harvest?** – Enter the code for each crop that the household planted or harvested during all of the agricultural seasons in the past 12 months. Enter each crop in the rows associated with the appropriate season.
- B7_b. **Did you intercrop this crop with another crop?** – Refers to planting two crops interspersed on the same piece of land. For example, planting beans under maize.
- B7_c. **How much area did you plant to this crop?** – Get as accurate a measure of area as possible. If the crop was intercropped with another crop, record the entire amount of

land used. For example, if the respondent intercropped beans and maize on a one acre field, then record 1 acre for beans and 1 acre for maize (in separate rows).

- B7_d. **Record area units** – Record the units (e.g., acres, hectares, etc.) in which the respondent reports land area. If you get a response in a non-standard unit (e.g., square meters, etc.) convert to one of the standard units in the code list. For example, if a respondent says 2000 square meters, then enter 0.2 for B7_c and “hectares” for B7_d (2000 square meters is one-fifth, or 0.2, of a hectare).
- B7_e. **How much _____ did you harvest?** – Refers to the quantity (usually weight but could be volume in some countries) harvested. Always prompt for the quantity of a processed commodity (i.e., shelled maize, shelled groundnuts, etc.). In general, we want the weight of the commodity harvested in the form in which it would typically be used or sold.
- B7_f/g.. See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- B7_h. **Of the seed you used to plant this crop, how much had you retained from your own production?** – Farmers will often keep seed from a previous harvest to plant a new crop. This question asks how much of the seed that the respondent used for this crop (i.e., reported on a single row) was seed retained from own production.
- Some seed quantities may be measured in grams or coke bottle lids (e.g., tobacco or vegetables). Do your best to estimate quantities in these cases. Asking about quantity of seed is just a way to remind respondents of the cost. Good estimates of cost are most important.
- B7_i. **If you had had to buy this seed, what would it have cost?** – The purpose of this question is to estimate the monetary value of the seed that the household retained from its own production. This may require some probing but ask about the market price of the seed. Make sure to ask about the market price of comparable seed (e.g., the same variety and quality).
- B7_j. **How much improved/certified seed did you buy to plant this crop?** – Refers to improved (hybrid) or certified seed that the respondent bought. The purchase may have been in cash or in-kind. Refers to seed used to plant only the crop on a single row of the table.
- B7_k. **How much indigenous seed did you buy to plant this crop?** – Refers to indigenous (local) seed that the respondent bought. The purchase may have been in cash or in-kind. Refers to seed used to plant only the crop on a single row of the table.
- B7_l. **Considering cash and in-kind payments, what was the total amount you spent on indigenous and improved seed to plant this crop?** – Record the total amount the respondent paid for all the improved and indigenous seed bought to plant the crop on a single row of the table. Payment may have been in cash or in-kind. If the seed was subsidized, report the subsidized (i.e., discounted) value, not the unsubsidized (market) value.
- B7_m. **What was the cost of pesticides, herbicides, and spraying services you bought for this crop?** – This question includes the cost of any pesticides or herbicides purchased

for the crop as well as the cost of any services to apply the chemicals. Prompt the respondent to recall all the pesticides, herbicides, and spraying services bought for this crop. If any part of the payment was in-kind, then probe to estimate the total monetary value of the payment (i.e., the sum of cash payments and the monetary value of in-kind payments). Spraying services should not include labor. *If it is not possible to separate labor from spraying services, then make sure not to count labor again in B7_o through B7_s or B8/9.*

- B7_n. **How much did you spend on non-labor expenses incurred to plant, tend, and harvest this crop (for example, e.g., leasing land or irrigating)?** – Refers to any cost (except for hired labor) that the respondent has not yet mentioned that was associated with planting, tending, or harvesting the crop. Prompt for cash and in-kind value of the expenses and enter the total monetary value of the costs.
- B7_o. **Did you hire any labor for this crop that you paid based on the amount of time they worked?** – Farmers can pay labor according to the time spent at a task (i.e., a fixed cost per hour) or by the task (i.e., a fixed cost to complete a task regardless of how much time it takes). This question asks whether the farmer hired any labor for which he/she paid the laborers based on the amount of time worked.
- B7_p. **How many days of labor did you hire for preparing land, weeding, and harvesting for this crop?** – Asks for the number of days of labor hired by the amount of time worked. This should correspond to the labor referred to in question B7_o. If the respondent did not pay by the day, then probe to convert the units in which they paid to days. For example, if the farmer hired labor by the hour and paid for 4 hours, then he or she hired one half day of labor. Probe to remind the respondent about each of the three tasks (i.e., land preparation, weeding, and harvesting) for which he/she might have hired labor by the time worked. Do not include labor hired for other tasks.
- B7_q. **Considering cash, and the value of in-kind payment, what was the total amount you paid for this labor?** – The question asks for the total amount paid to labor for land preparation, weeding, and harvesting that the farmer paid according to the amount of time worked. Probe to include cash payment and the value of in-kind payment for labor.
- B7_r. **How many days of labor did you hire for other tasks for which you paid by the time spent for this crop?** – Includes all tasks other than land preparation, weeding, and harvesting that the farmer paid according to the amount of time worked.
- B7_s. **Considering cash, and the value of in-kind payment, how much did you pay for this labor?** – Same as instructions for B7_q except that it asks about all tasks other than preparation, weeding, and harvesting that the farmer paid according to the amount of time worked (the labor referred to in question B7_r).
- B7_t. **Did you harvest more, less, or about the same amount of this crop during the [season] as you harvested during the [previous season]?** – The question compares the quantity harvested in the most recent [season] (all of the agricultural seasons in the previous 12 months) to the quantity harvested in the [previous season] (all of the agricultural seasons in the preceding 12 months). Enter “more” or “less” only if the quantity harvested was significantly (5%) more or less. Otherwise, enter “about the same”.

B7_u/v. **What are the two most important reasons you harvest more of this crop?** – Select the two most important reasons for harvesting more from the list of codes.

Reasons for harvesting more codes

- 1 = **Cultivated more land and planted more land to this crop** – Respondent harvested more because he or she cultivated more total land (all land planted to crops was greater) than in the [previous season] and planted more land to this crop. The response implies that the respondent increased production overall by planting more land.
- 2 = **Cultivated the same amount of land and planted more of this crop** – Respondent harvested more because he or she planted more land to this crop than in the [previous season] but still cultivated the same total amount of land as in the [previous season]. This response implies that the respondent changed his or her cropping pattern to produce more of this specific crop (at the expense of the production of other crops).
- 3 = **Got a better yield because of favorable weather** – Better weather than in the [previous season] is the main reason for a greater quantity harvested.
- 4 = **Got a better yield because of more or better seed** – Using better quality seed than in the [previous season] is the main reason for a greater quantity harvested.
- 5 = **Got a better yield because of better use of fertilizer** - Using better quality fertilizer, a more appropriate quantity, or using it more appropriately than in the [previous season] is the main reason for a greater quantity harvested.
- 6 = **Got a better yield because of better agricultural practices (weeding, irrigation, pesticides, etc.)** - Using better agricultural practices with respect to weeding, irrigation, and pesticides than in the [previous season] is the main reason for a greater quantity harvested.
- 7 = **Other** – Any reason other than those listed in responses 1 through 6.
- 8 = **Not applicable/no other reason** – Use this response for question B7_v if the respondent can't think of a second reason.

B7_w/x. **What are the two most important reasons you harvest less of this crop?** - Select the two most important reasons for harvesting less from the list of codes.

Reasons for harvesting less codes

- 1 = **Cultivated less land and planted less land in this crop** – Respondent harvested less because he or she cultivated less total land (all land planted to crops was less) than in the [previous season] and planted less land to this crop. Reasons for cultivating less may be that the respondent could not access as much land, could not afford to cultivate as much land, or chose to leave some land fallow. The response implies that the respondent reduced production overall by planting less land.
- 2 = **Cultivated the same amount of land and planted less of this crop** – Respondent harvested less because he or she planted less land to this crop than in

the [previous season] but did not cultivate any more land than in the [previous season]. This response implies that the respondent changed his or her cropping pattern to produce less of this specific crop (and increased area planted to other crops).

- 3 = **Got a lower yield because of unfavorable weather** – Worse weather than in the [previous season] is the main reason for a smaller quantity harvested.
- 4 = **Got a lower yield because of less or worse seed** – Using poorer quality seed than in the [previous season] is the main reason for a smaller quantity harvested.
- 5 = **Got a lower yield because of worse use of fertilizer** - Using poorer quality fertilizer, a less appropriate quantity, or using it less appropriately than in the [previous season] is the main reason for a smaller quantity harvested.
- 6 = **Got a lower yield because of poorer agricultural practices (weeding, irrigation, pesticides, etc.)** - Using poorer agricultural practices with respect to weeding, irrigation, or pesticides than in the [previous season] is the main reason for a smaller quantity harvested.
- 7 = **Other** – Any reason other than those listed in responses 1 through 6.
- 8 = **Not applicable/no other reason** – Use this response for question B7_x if the respondent can't think of a second reason.

- B8. **During the [season], did you pay any labor based on the task (for example, ploughing or transporting crops from the field to your house)?** – Refers to any labor paid to complete a task, regardless of the amount of time required.
- B9. **Considering cash and the value of in-kind payment, how much did you pay for all these tasks?** – Same as instructions for B7_q except that it refers to labor paid by the task. *Be sure not to include the cost of any labor already captured in questions B7_q or B7_s.*
- B10_1/2. **How much chemical and natural fertilizer did you buy for all the crops you planted in the [first season]/[second season]?** – Refers to the chemical and natural fertilizers that the respondent paid for (either in cash or in-kind). Ask specifically for each season that is relevant to the country. If the country has more than two seasons, then add rows to the table to ask about additional seasons.
- B10. **General** - This question asks about the household's sales of agricultural crops in order to estimate the household's income from crops.
- B10_a. **Quantity** – Record the quantity of fertilizer purchased.
- B10_b/c. See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- B10_d. **Considering both cash and in-kind payments, what was the total amount you paid for this fertilizer?** – Same as instructions for B7_q except that it refers to payments for fertilizer.

- B11_aa. **Season** – Enter a code for the season. Country offices should assign their own codes. Make sure to document the coding.
- B11_a. **Which crops did you harvest or sell during the [season]?** – Record all staple and cash crops that the respondent sold during the [season]. Prompt to make sure that the respondent remembers all the crops mentioned in question B7.
- B11_b. **How much of the quantity that you harvested have you sold or bartered?** – Refers to the total quantity (usually weight but may be volume in some countries) of a commodity that the respondent harvested in the relevant season. The respondent may have trouble remembering the quantity harvested or may not know. Probe to help the respondent remember or figure out about how much he/she harvested.
- B11_c/d. See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- B11_e. **What is the main reason you did not sell any of this crop?** – For farmers who did not sell any of a crop they reported harvesting, record the reason here.

Reasons for not selling (codes)

- 1 = **No surplus to sell** – Produced no surplus of the commodity (i.e., needed it all for other uses - generally for household consumption).
- 2 = **Had surplus but did not need/want to sell** – Produced a surplus (i.e., more than needed for other uses such as household consumption) but did not even consider selling.
- 3 = **Wanted to sell but price not attractive** – Produced a surplus and wanted to sell but the price was not high enough to induce the respondent to sell.
- 4 = **Had surplus, but no-one to sell crops to/no affordable access to markets** – Produced a surplus and wanted to sell but could not find a buyer or could not afford to transport the crop to a buyer.
- 5 = **Tried to sell but crop rejected due to poor quality** – Produced a surplus and wanted to sell but the quality was too low to attract a buyer.
- 6 = **Other** – Any other reason not mentioned in responses 1 through 5.

- B11_f. **Considering cash, the value of in-kind goods, and the value of what you bartered or used to repay loans, what was the total amount you received for what you sold?** – Same as instructions for B7_q except that it refers to payments for crops sold. Make sure to ask about all possible sources of payment including in-kind repayment of loans. For example, an input supplier may give the farmer inputs at planting time and ask for a portion of the crop at harvest as payment. Estimate the monetary value of this portion of the crop and include it as part of the payment for the crop.
- B11_g. **Which member of the household made the decision about how (timing, buyer, price, etc.) to sell this crop?** – Refers to the person primarily responsible for deciding when, where, and how to sell the crop.

Decision maker codes

- 1 = **Household head** – The head of the household was primarily responsible for the decision.
- 2 = **Spouse of household head** – The spouse of the head of the household was primarily responsible for the decision.
- 3 = **Joint decision of household head and spouse** – The household head and his or her spouse made the decision together with each having a voice in the decision.
- 4 = **Other** – Any other answer not included in responses 1 through 3.

B11_h. **What was the total value of all costs (both cash and in-kind) you incurred to sell this crop (e.g., transportation, storage, cleaning, drying, market fees, commissions, taxes, etc.)?** – Same as instructions for B7_q except that it refers to payments for costs incurred to sell the crop. Probe to remind the respondent about all possible marketing costs (both cash and in-kind) and estimate the monetary value of in-kind costs.

B11_i. **Did you have any difficulty selling this crop?** – Refers to any difficulty the respondent had selling the crop. See list of responses to question B11_j/k for ideas on types of difficulties.

B11_j/k. **What were the two most significant problems you had selling this crop?**

Problems selling crop (codes)

- 1 = **High cost of transport to market** – Refers to the monetary cost (total of cash and monetary value of in-kind costs) of transporting the crop to a buyer.
- 2 = **Low prices in accessible markets** – Can get the crop to a buyer but buyers that are accessible offer low prices.
- 3 = **High market fees/taxes** – Taxes and fees associated with selling the crop are high.
- 4 = **Poor transportation infrastructure** – Poor roads make it difficult to get crops to a buyer, or for a buyer to collect the crops. Poor transportation infrastructure could be the cause of high transport costs (response 1) so make sure to distinguish between high transport costs (response 1) and difficulty with transport, regardless of cost (response 4).
- 5 = **Trade restrictions (for example, restrictions on cross-border trade or restrictions on traders buying particular commodities)** – May include restrictions on trading commodities in general or restrictions on international trade that constrain markets. Restrictions may be from national or local governments. Restrictions on trade cause problems selling crops if they make it difficult to sell to the usual buyers or otherwise restrict marketing options.

- 6 = **Not able to meet quality requirements of buyers** – Refers to difficulty attaining the quality demanded by buyers (i.e., moisture content, percentage of foreign matter or small/broken/discolored grains).
- 7 = **Unpredictable prices** – Unpredictable prices may make it difficult to decide where, when, and how to sell commodities.
- 8 = **Lack of price information** – Limited information about market prices may make it difficult to determine a price at which to sell. This also includes not being able to negotiate a fair price or buyers taking advantage of farmers' limited information about prices to offer prices below a fair market price.
- 9 = **Difficult/unable to find buyer** – Refers to difficulty finding a buyer. Reasons may include that buyers do not come to the area or that the farmer is not sure where buyers are located. This question does not include difficulty accessing a market because of high transportation costs or poor roads. Those reasons are addressed in responses 1 and 4.
- 10 = **Farmer organization not effective at selling your commodities** – Refers to a situation where a farmer organization is not effective at helping the respondent sell crops.
- 11 = **Late or slow payment from buyers** – Refers to problems caused by buyers taking a long time to pay for crops purchased.
- 12 = **Other** – Any other difficulties not listed in responses 1 through 11.
- 8 = **Not applicable (no other problem)** – Use this response if the question is not applicable to the respondent or for question B11_k if there is no second difficulty.

- B12. **General** – This table asks about how the responding household used the staple commodities it produced during the past [season] where [season] refers to all of the agricultural seasons during the past 12 months. Use proportional piling to estimate percentage allocation of crops across column B12_b through B12_f, across columns B12_p through B12_r, and across columns B12_s through B12_t.
- B12_a. **Crop** – List all of the staple crops that the household produced during the past [season]. Use the codes in the master crop code list (Figure 5).
- B12_b. **Considering all the ____ [name of crop] that you harvested during the [season], about what proportion did you...sell, barter, use to repay loans, or give away?** – Asks for the portion of the total quantity harvested in the [season] that the respondent sold, bartered away, used to repay loans, or gave away. Use proportional piling to help the respondent determine the proportion of the total quantity harvested allocated across columns B1_b through B12_f. The survey should take place near the end of the main marketing season when a respondent has made most of his/her selling decisions.
- B12_c. **Considering all the ____ [name of crop] that you harvested during the [season], about what proportion did you...retain for sale later on?** – This refers to the proportion of the total quantity produced that the farmer is storing for sale at some later

date (when prices may be higher). Include only commodities the farmer is storing with the intention of selling them.

- B12_d. **Considering all the ____ [name of crop] that you harvested during the [season], about what proportion did you...lose to spoilage or pests during storage or use for other than its intended use because of spoilage?** – Asks for the portion of the total quantity harvested in the [season] that the respondent lost due to spoilage (mould) or pests (animals, insects, etc.) during storage. Also include the quantity that was not completely lost but for which spoilage caused the household to use for other than its intended use. For example, a household may have retained 1,000 kilogram of maize for household consumption but used 100 kilograms for animal feed because it moulded. The 100 kilograms should be recorded here (and not in response B12_e) because the household intended it for household consumption but (because of spoilage) used it for some other purpose.
- B12_e. **Considering all the ____ [name of crop] that you harvested during the [season], about what proportion did you...retain for consumption in your household?** – Asks for the portion of the total quantity harvested in the [season] that the respondent kept for consumption by household members. Make sure this portion includes only consumption by household members and not the quantity kept for other household uses (see B12_f). Also make sure that it does not include any quantity saved for household consumption but used for other purposes (e.g., animal feed because of spoilage as in question B12_d).
- B12_f. **Considering all the ____ [name of crop] that you harvested during the [season], about what proportion did you...retain specifically for seed or animal feed?** – Asks for the portion of the total quantity harvested in the [season] that the respondent kept for seed for the next season or to feed animals. Include only the proportion retained specifically for animal feed. Do not include crops saved for other uses but fed to animals because of spoilage. This would double count crops already counted in question B12_d.
- B12_g. **What was the main cause of loss during storage?** – There may have been several causes of loss. Record the one responsible for the greatest portion of the loss. “Loss” does not necessarily mean that the commodity disappeared. It may also mean that the commodity became unsuitable for its intended use.

Storage Loss Codes

- 1 = **Mould/spoilage** – Losses due to mould, rot, or other types of spoilage not associated with insects or animals.
- 2 = **Pests/insects** – Insect pests.
- 3 = **Rats/mice/etc.** – Includes only rodents.
- 4 = **Other animals** – Losses to all other animals not mentioned in “2” and “3” above.
- 5 = **Other** – Any cause of loss not mentioned in responses 1 through 4.
- 7 = **Don’t know** – The respondent does not know the main cause of the loss.

B12_h/i. **How did you store the portion of this crop that you consumed in your household?** – Refers to the types of storage structures used for the portion of the crop kept for consumption by household members. Probe for the two types of storage in which the farmer stored most of the commodity.

Storage options (codes)

- 1 = **In traditional granaries** – Traditional unimproved granaries that may be made of mud, wood, woven cane, etc.
- 2 = **Indoors – in basket/bags** – Stored indoors in closed containers such as baskets or bags.
- 3 = **Indoors – open storage** – Stored indoors but not in a closed container.
- 4 = **Outside – open storage** – Stored outdoors but not well protected from weather, pests, or animals. For example, an open crib.
- 5 = **In certified warehouses for which you received a receipt specifying the quality and quantity deposited** – This question refers to a warehouse receipt system. The main elements of this system are that 1) the warehouse gives the farmer a receipt for commodities the farmer stores in the warehouse, 2) the receipt certifies the quantity and quality of the stored commodity, and 3) the farmer can use the receipt as collateral or security for a loan. To answer “yes” to this question, the warehouse must offer the receipt and the farmer must be able to use the receipt as security for a loan.
- 6 = **In other warehouses/stores** – Refers to all warehouses or stores (buildings) not covered in “5”. Warehouses or stores imply a solid structure that protects the stored commodity from damage by weather or animal pests.
- 7 = **Metallic home silos (Latin America)** – Refers to metallic round silos in use in Latin America (and perhaps elsewhere). The difference between this response and “6” is that metallic silos are not permanent buildings.
- 9 = **Not applicable/don’t store staple crops** – Use this code for crops that the household does not use or store. This response is also applicable for questions B12_i and B12_k if the respondent did not use a second type of storage.

B12_j/k. **How did you store the portion of this crop you sold?** – Refers to how the respondent stored the portion of the quantity harvested that he/she sold. Responses are the same as for question B12_h/i. Probe for the two types of storage in which the farmer stored most of the commodity.

B12_l. **How did you usually dry this commodity?** – Refers to the method the respondent uses to reduce the moisture content of crops after harvest.

Drying methods (codes)

- 1 = **On the ground** – Spread directly on the ground with nothing between the ground and the drying crop.

- 2 = **On tarpaulins or iron sheets** – Spread on the ground, roof, or elsewhere but with a tarpaulin or iron sheet between the crop and the ground.
- 3 = **On concrete/grain yards** – Spread on a concrete slab, perhaps in a covered or uncovered grain yard.
- 4 = **Mechanical dryer** – In a mechanical dryer.
- 5 = **Crib** – In a crib or other open air container outside.
- 6 = **Hanging** – Hanging under a roof, commonly used for tobacco.
- 7 = **In the field (standing or stacked)** – Standing or stacked in the field.
- 8 = **Not applicable/did not dry** – Use this response if the respondent did not dry the commodity.

- B12_m. **Did you dry this commodity adequately to reduce spoilage during storage?** – Refers to drying the commodity to a low enough moisture content that it will not mould during long-term storage.
- B12_n. **Did you store the commodity in a structure that kept out rats, mice, and moisture?** – This question refers to storage structures that adequately protect the crop from rain, rodents, and other (non-insect) animals.
- B12_o. **Did you treat the commodity with chemicals during storage to control insect pests?** – Refers to chemical or other treatment (e.g., fumigation or powders/ dusts) to control insect pests.
- B12_p. **Considering all the ____ [name of crop] that you sold during the [season], about what proportion did you ... sell to or through a farmer organization?** – Refers to sales where either 1) the farmer organization bought the commodity from the respondent (took possession of the commodity) and then sold it or 2) the farmer organization sold on behalf of the respondent without paying the respondent in advance of the sale (farmer retained possession until the sale). Use proportional piling to allocate the total quantity sold across columns p, q, and r.
- B12_q. **Considering all the ____ [name of crop] that you sold during the [season], about what proportion did you ... sell yourself at your farm gate?** – Refers to sales the respondent made by him/her self where the buyer came to (or close to) the farm to pick up the commodity. This would include selling to a buyer who set up a buying post in the village.
- B12_r. **Considering all the ____ [name of crop] that you sold during the [season], about what proportion did you ... sell yourself somewhere other than at your farm gate?** – Refers to sales the respondent made by him/her self but at some location other than the farm (e.g., a local market, a miller or brewer, a food reserve agency, or a trader's local depot) of village. This usually implies that the respondent transported the commodity to the buyer outside the village.
- B12_s. **Of the portion of the ____ [name of crop] that you sold, about what proportion did you ... sell within four weeks of harvest?** – Refers to sales made soon after

harvest. The four-week period is somewhat arbitrary but refers to a period of time during which the prices remain relatively low and before long-term storage is required to maintain the quality of the crop. Use proportional piling to allocate the total quantity sold across columns s and t.

- B12_t. **Of the portion of the ____ [name of crop] that you sold, about what proportion did you ... store and sell at a later date?** – Refers to sales made after the commodity had been stored for a period of more than four weeks. This usually implies that the respondent stored the commodity in anticipation of a better price at a later date.
- B12_u. **What was the main reason you sold some of this crop within four weeks of harvest?** – Asks for the main reason. If the respondent mentions several reasons, probe for the most important reason.

Reasons for selling at harvest (codes)

- 1 = **Needed immediate cash** – Needed cash to meet immediate needs such as school fees, household needs, emergencies, social events, or to repay loans for agricultural inputs.
- 2 = **Could not store** – Did not have the ability to store the commodity without large losses.
- 3 = **Offered a good price** – The price offered was good.
- 4 = **Other** – Any reason other than the reasons listed in responses 1 through 3.

- B12_v. **Was there a market for a better quality than what you sold (i.e., lower moisture, less foreign matter, fewer small/broken grains)?** – Asks if the respondent knew of any buyers who wanted a better quality (i.e., lower moisture content, lower percentage of foreign matter or small/broken/discolored grains) than the quality the respondent sold.

- B12_w. **What was the main reason you did not improve the quality for this buyer/market?** – Asks for the main reasons the respondent did not improve the quality for this market/buyer.

Reasons for not improving quality (codes)

- 1 = **Normal practice meets buyer specifications** – The respondent already produces the quality demanded by the buyers he or she is aware of or sells to.
- 2 = **No increase in price to justify cost** – Buyers will accept a higher quality but they are not willing to pay any premium for higher quality.
- 3 = **Increase in price not enough to justify cost** – The respondent knows of buyers who are willing to pay some premium for higher quality but the premium is not large enough to justify the cost of achieving the higher quality.
- 4 = **Farmer organization provided this service** – The farmer organization that the respondent sold through improved the quality so the respondent did not have to.

5 = **Do not have ability to dry, clean, or sort to buyer specifications** – The respondent knows of buyers who want a higher quality but the respondent did not have the ability (e.g., access to necessary equipment, resources, or knowledge) to improve the quality.

6 = **Other** – Any reason other than those listed in responses 1 through 5.

B12_x. **Did you sell a larger, smaller, or about the same proportion of [name of crop] through a farmer organization during the [season] as compared to the [previous season]?** – Note whether the respondent sold a larger, smaller, or about the same quantity of the crop through the farmer organization during the [season] (all of the agricultural seasons during the past 12 months) compared to the [previous season] (all of the agricultural seasons in the previous 12 months). Enter “larger” or “smaller” only if the quantity was 5% larger or smaller. Otherwise, enter “about the same”.

B12_y. **What was the main reason you sold a greater proportion through a farmer organization?** – Note the most important reason that the proportion sold through the farmer organization was greater this [season] than in the [previous season].

Reasons for selling more through the farmer organization codes

1 = **Farmer organization offered higher price compared to other buyers** – The farmer organization offered a better price compared to other buyers this [season] compared to the [previous season].

2 = **Farmer organization provided credit for inputs** – The farmer organization provided credit for inputs this [season] and other buyers did not.

3 = **Farmer organization was able to buy more** – The farmer organization was able to buy more this [season] than in the [previous season]. This may be because the farmer organization had more buyers, more demand from buyers, or had more cash to buy commodities from members.

4 = **Fewer other buyers available** – The respondent had fewer other buyers available this [season] than during the [previous season].

5 = **Other** – Any reasons not listed in responses 1 through 4.

B12_z **What was the main reason you sold a smaller proportion through a farmer organization?** – Note the most important reason that the proportion sold through the farmer organization was lower this [season] than in the [previous season].

Reasons for selling less through the farmer organization codes

1 = **Farmer organization offered lower price compared to other buyers** - The farmer organization offered a lower price compared to other buyers this [season] compared to the [previous season].

2 = **Other buyers offered credit for inputs and farmer organization did not** - The farmer organization did not provide credit for inputs this [season] and other buyers did.

- 3 = **Farmer organization was able to buy less from you** - The farmer organization was able to buy less this [season] than in the [previous season]. This may be because the farmer organization had fewer buyers, less demand from buyers, or had less cash to buy commodities from members.
- 4 = **More other buyers available** - The respondent had more other buyers available this [season] than during the [previous season].
- 5 = **Other** - Any reasons not listed in responses 1 through 4.

B13. **General** – This question asks about all of the sources of information about crop prices that the respondent used during the past 12 months.

- B13_1 **Radio/TV** – Price information broadcast on radio or television.
- B13_2 **Direct contact with traders** – Price information received through personal communication with traders.
- B13_3 **Farmer organizations** – Price information received directly from farmer organizations or posted at farmer organizations.
- B13_4 **Newspapers** – Price information published in a newspaper.
- B13_5 **Extension workers** – Price information provided by local agricultural extension workers (government).
- B13_6 **SMS system/mobile phone** – Price information available by SMS or mobile phone.
- B13_7 **Neighbors/friends/relatives** – Get price information from discussions with neighbors, friends, relatives, or other community members.
- B13_8 **Information boards at local agricultural offices** – Obtain price information from information boards posted at local agriculture offices.
- B13_9 **Personal knowledge of the market** – The respondent has adequate personal knowledge of the market to know prices.
- B13_10 **Information from food reserve agency (country-specific name)** – Refers to prices announced or posted by the government’s food reserve agency. The name of this agency will vary by country. These agencies often announce a buying price that farmers consider a floor or reference price reflective of the broader market.
- B13_11 **National and International NGOs** – Non governmental organizations of either national or international origin. NGOs are organizations that are not sponsored or affiliated with a government. They may receive funding from governments but are not sponsored or affiliated with a government.
- B13_12 **International development organizations** – Receive price information from international, government sponsored or affiliated development agencies (e.g., USAID, DFID, GTZ, etc.). Does not include NGOs.

- B13_a. **During the past 12 months, where did you get information about prices of staple commodities?** - Ask specifically about the sources of information the respondent actually used, not what was available.
- B13_b. **Did this information help you in your selling decisions?** – Asks whether the information was useful in making selling decisions.
- B14. **Was the amount of money your household spent to produce [staples] during the [season] more, less, or about the same as the amount you spent during the [previous season]? Expenses might include seed, fertilizer, labor, hired equipment, rented land, etc.)** – Compare the total cost of growing staple crops during the [season] to the total cost of growing staple crops during the [previous season].
- B15_a/b. **What were the two most important reasons you spent more?** - Probe for the two most important reasons for higher production expenses.

Codes for spending more

- 1 = **Wanted to produce more because you expected good prices this season** – The respondent invested more in production to produce more because he or she expected good prices this [season].
- 2 = **Wanted to produce more because you expect to be able to sell more** - The respondent invested more in production to produce more because he or she expected to be able to sell more this [season].
- 3 = **Costs for seed, fertilizer, chemicals, labor, fuel, etc. were higher this season** – The respondent spent more because the cost of inputs was higher this [season] than in the [previous season]. Reasons might include a lower subsidy or higher input prices in the market.
- 4 = **Other** – Any reason other than those listed in responses 1 through 3.
- 7 = **Don't know** – Do not know the reason.
- 8 = **Not applicable/no other reason** – Use this answer for question B16_b when the respondent can think of only one reason.

- B16_a/b. **What were the two most important reasons you spent less?** – Probe for the two most important reasons for lower production expenses.

Codes for spending less

- 1 = **Wanted to produce less because you expected low prices this season** - The respondent invested less in production to produce less because he or she expected poor prices this [season].
- 2 = **Wanted to produce less because you expect to be able to sell less** - The respondent invested less in production to produce less because he or she expected to be able to sell less this [season].

- 3 = **Costs for seed, fertilizer, chemicals, labor, fuel, etc. were lower this season** – The respondent spent less because the cost of inputs was lower this [season] than in the [previous season]. Reasons might include a larger subsidy or lower input prices in the market.
- 4 = **Other** – Any reason other than those listed in responses 1 through 3.
- 7 = **Don't know** – Do not know the reason.
- 8 = **Not applicable/no other reason** – Use this answer for question B16_b when the respondent can think of only one reason.

Module C

- C1. **During the past 7 days, on how many days did your household consume _____?** – This question seeks to establish the dietary diversity of the household. Please ensure that respondents understand that this refers to foods consumed by the household as part of a regular meal. This does not include a day when only one or two household members ate a small quantity of the specified food. Ensure that respondents give responses for every item on the list. Ask the respondent to recall consumption for the last seven days only. For example, if the interview takes place on a Wednesday, ask the respondent to recall consumption for the prior Tuesday, Monday, Sunday, Saturday, Friday, Thursday, and Wednesday.

Note: Meals do not include snacks consumed in between regular meals such as a handful of nuts, a cob of maize, a piece of sugar cane, etc

- C2 **General** – This table asks about the quantities of commodities the household needs for consumption and whether household production was sufficient to cover consumption. It should address only the basic (country-specific) staple cereals.
- C2_a/b. **Commodity** – Pre-fill columns with the names and codes of the staple cereals in the country.
- C2_c. **About how much of this commodity did your household need for consumption during the [season]?** – Report the quantity of the commodity that the household usually needs for consumption during a 12 month period. This is not the quantity the household retained for consumption from what it produced. It is the quantity the household consumes regardless of where it comes from (i.e., produced or purchased).
- C2_d/e. See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- C2_f. **During the [season], for how many months did you largely have to depend on market purchases or sources other than your own farm produce for your household consumption of the following staple commodities?** – Asks for the number of months during which the household ran out of the quantity they had retained for their own consumption. This question refers to the number of months that the household actually had to get the commodity from somewhere other than their own stored stock. If a household sold their stock and had to buy later, then that counts as

having to get the commodity from a market or other source. Other sources may be neighbors, other family members (outside the household), food assistance agencies, or any source other than the household's stores retained from its own production.

C2_g. **What was the main reason you had to rely on other sources of this commodity for ___ [number of months] months?**

- 1 = **Did not produce enough** – Did not produce enough to meet the household's needs for the entire year and did not sell any.
- 2 = **Did not produce enough and sold some** – Did not produce enough to meet the household's needs for the entire year and sold some.
- 3 = **Produced enough but sold some because of good price** – Produced enough for household needs but sold some because of a good price which left insufficient quantities to meet household consumption needs for the year. Make sure that the main reason the household sold was because of the good price. Other responses address other reasons.
- 4 = **Produced enough but sold because of lack of storage/high post harvest loss** – Produced enough for household needs but could not store without suffering large losses so decided to sell thus ending up without enough to meet household needs for the entire year. Make sure that the main reason the household sold was because of inadequate storage and/or high post-harvest losses.
- 5 = **Produced enough but sold because needed cash** – Produced enough for household needs but sold some because you needed cash thus ending up with less than required for household needs for the entire year. Make sure that the need for cash was the main reason for the sale. Even if the need for cash was the main reason for the sale, this could be part of the household's usual marketing strategy.
- 6 = **Produced enough but had high post harvest losses** – Produced enough for household needs but lost enough during storage that the household ran short before the next harvest.

Module D

D1. **During the past 12 months, did your household raise any livestock, either for sale or for your own consumption?** – Use the list of livestock codes (Figure 5 on page 13 or question D2_a in the instrument) to determine what is defined as livestock and for the codes associated with each type of livestock. If there are important livestock that are not on the list of codes, add them to the list using the codes assigned to the particular country (Table 2 on page 14) and document the addition. Note that this does not include fish and/or bees.

This module collects the data required to estimate net income from livestock. That is, the total income related to livestock minus the total expenses related to raising livestock. The questions are designed to remind respondents of the potential sources of income and expenses and to help him/her recall the amount of income and expense.

- D2_a. **What types of livestock has your household owned during the past 12 months?** – List all types of livestock that the household owned during the past 12 months whether they currently own any animals of a particular type or not.
- D2_b. **How many of [animal type] do you have now?** – Record the number of each type of livestock that the household owns at the time of the interview.
- D2_c. **How many of [animal type] did you buy during the past 12 months?** – Probe for all purchases and record the number bought. This may include adult or young animals purchased for any use.
- D2_d. **Considering both cash and the value of in-kind payments, how much did you spend purchasing these animals?** – Probe to help the respondent think through this question. Include cash payments as well as the monetary value of in-kind payments. Calculate the total cost of all animals listed in question D2_c.
- D2_e. **How many of [animal type] did your household consume during the past 12 months?** – Refers to animals consumed by the household. This should also include any animals that the household gave away.
- D2_f. **How many of [animal type] did you sell or barter during the past 12 months?** – Refers to any animals sold, either for cash or in trade for goods or services (bartered).
- D2_g. **Considering cash and the value of in-kind payments, about how much did you sell each animal on average?** – Probe to help the respondent remember all sales (cited in question D2_f) and the amount received. Convert all in-kind payments to cash equivalents. Enter the average monetary value of all animals reported sold in question D2_f.
- D2_h. **During the past 12 months, did you earn any money renting this animal or selling products from this animal?** – Examples might include renting an animal for draught power or for stud or selling dairy products, wool, or eggs.
- D2_i. **In total, how much did you earn (in cash and the value of in-kind payments) from renting these animals or selling their products during the past 12 months?** – Probe to help the respondent remember all income from this source. Convert all in-kind payments to cash equivalents and report the total monetary value of rentals or sales of products.
- D2_j. **Considering cash and the value of in-kind payments, how much did you spend on feed for these animals during the past 12 months?** – Probe to help the respondent remember all purchases of feed for this animal. Convert all in-kind payments to cash equivalents and report the total monetary value of all feed purchased.
- D2_k. **Considering cash and the value of in-kind payments, how much did you spend on other costs for these animals such as veterinary supplies, taxes, and hired labor during the past 12 months?** – Probe to help the respondent remember all expenditures of this kind. Convert all in-kind payments to cash equivalents and report the total monetary value of these expenses.

Module E

E1. **General** – This table collects information about all of the household’s other sources of income (other than agriculture and livestock reported in other sections of the questionnaire). These incomes sources include all activities that from which household members earn cash or in-kind payments and formal and informal employment. They also include any income from agricultural or livestock activities not already covered in the questionnaire. These may include income from raising and selling vegetables, fruit, bees, fish, etc.

E1_a. **Other than agriculture and livestock that you’ve already told me about, (mentioned in B4 and Module C), what other of sources of cash and in-kind income did your household have during the past 12 months?** – This question asks about any other sources of cash income the household may have (in addition to agriculture and livestock that have already been covered). Probe carefully to help the respondent recall all sources of cash and in-kind income from all members of the household. If one household member works for another (e.g., a son receives money for working in a mill owned by the household head), record the gross income (income from the milling business without subtracting expenses such as wages paid to the son) to the household head, the wages paid to the son as an expense of the milling business, and the income the son earns working for his father as income to the household (from the son). In these situations, it is important not to double-count income. Make sure to probe to understand all the income that stays within a household.

Note that a household may have earned income from the sale of agricultural crops or livestock that was not captured in Sections B and C. For example, section B may not have captured the sale of fruit or vegetables from a small garden. Similarly, section D may not have captured income from the occasional sale of fish. In any event, make sure that 1) any income from selling agricultural crops, livestock, or livestock products that was not capture in sections B and D is recorded here and that 2) any income from selling agricultural crops, livestock, or livestock products that was capture in sections B and D is not reported here.

Livelihood activity codes

- 1 = **Remittances** – Refers to all income (cash or in-kind) received from family members or friends living outside of the household, usually abroad.
- 2 = **Trading staple commodities or cash crops** – Refers to income from trading staple commodities or cash crops. This is different from income earned by growing staple commodities or cash crops. Trading is when a person does not grow the crops but makes a living buying and selling crops grown by others.
- 3 = **Trading in livestock** – Refers to income from trading livestock. This is different from income earned by raising livestock for sale. Trading is when a person who may not necessarily raise livestock himself or herself (Section D covers own livestock sales), makes a living buying and selling livestock raised by others.

Example:

Trading livestock is buying livestock and reselling it in about the same form.
Trading income is derived from adding value to the livestock by transporting it

to another market or holding it for a higher-priced market.

Raising livestock may include either rearing livestock or raising livestock that the household bought. In either case, what distinguishes raising livestock from trading livestock is that the farmer's income is based on holding the animal long enough to increase its weight or value or to earn income from renting the animal (e.g., draught animals) or its services (e.g., stud services) or from selling animal products (e.g., milk, wool, eggs).

- 4 = **Casual labor/piece work** – Refers to part-time, irregular work that may be seasonal. This type of work is usually paid based on the time worked or the task completed.
- 5 = **Begging/gifts** – Refers to any income from begging or received as gifts from outside the household. This does not include remittances covered in response 1.
- 6 = **Own business** – Refers to income from any business run by the household that does not fall under one of the other categories. This might include running a shop, sewing, milling, etc.
- 7 = **Petty trade** – Refers to informal buying and selling of goods. Petty trade differs from “own business” because it 1) is not usually associated with a fixed location and/or 2) it is intermittent and not a regular business.
- 8 = **Pension/social grants** – Any income from a pension from previous employment, disability, or from grants.
- 9 = **Formal salary/wages** – Refers to a salary or wages brought in from working outside of the household at a regular, steady job. Formal salary/wages differs from casual labor because of the regular, steady nature of the work and income. Formal salaries and wages may be paid by the job (salary) or by the time worked (wages).
- 10 = **Fishing** – Refers to any income the household earns from catching and selling fish. May also include income received from raising fish for sale.
- 11 = **Vegetable/fruit production/sales** – Refers to production and sale of vegetables and fruit that were not covered in the module on agricultural production.
- 12 = **Small scale mining/quarrying/brick-making** – Refers to any income related to mining, quarrying, breaking rock, or making bricks.
- 13 = **Beer brewing/distillation** – Refers to income from brewing and selling beer or distilling and selling spirits.
- 14 = **Cash, food, or other assistance** – Refers to any cash, food, or other assistance received from assistance agencies. It does not include income from gifts (covered in response 3) or remittances (covered in response 1). Probe to estimate the cash value of assistance received in the form of food, clothing, or other goods.

15 = **Gathering natural products for sale e.g., medicinal herbs, mushrooms, etc.**
– Refers to any income earned by gathering natural products for sale.

16 = **Collecting scrap/waste material for re-sale** – Any income earned from collecting and selling scrap or other unwanted or discarded items.

- E1_b. **How many members of your household worked at this activity during the past 12 months?** – This question helps respondents to recall, and report, all of the household members who were involved in a particular livelihood activity. It helps improve recall of the total income that the household earns from the activity (asked in the next question). This may not be applicable for some activities such as remittances in which case enter the “not applicable” code (-8).
- E1_c. **What was the total amount the entire household or household members earned during the past 12 months from this activity considering both cash payments and the value of in-kind payments?** – Probe to help the respondent recall how much all household members who worked at this activity earned during the past 12 months. Income may come into the household as money paid to an individual household member (i.e., earnings from casual labor). Income may also come into the household from a household business and not accrue directly to an individual (e.g., income from a shop in which several household members work). Probe to understand these types of income and accurately capture the income the household earns from each type of activity.
- E1_d. **Did the household incur any expenses with this activity?** – We need to understand net income to the household from the activity. That is, the income from the activity that the household has at its disposal to contribute to household expenses after deducting the expenses incurred for a given activity. To understand net income, we need to know the expenses associated with earning income for the activity. This question asks respondents if there are any expenses associated with a particular activity. Expenses might include the cost of buying goods to resell, transportation, hired labor, renting market space etc.
- E1_e. **About how much were these expenses during the past 12 months?** – Estimate the amount of these expenses during the past 12 months. This will likely require a lot of probing. Capture all sources of expense, both cash and the value of in-kind payments. Ensure that the respondent has not already deducted these expenses when reporting income in question E1_c. If this is the case, then probe to separate income from expenses and report net income in E1_c and expenses E1_e.
- E2. **Was your household’s total income from all sources (including agriculture and livestock) during the past 12 months higher, lower, or about the same as in the 12 months prior to that time?** – Asks whether household income from all sources has increased or decreased relative to the previous year.
- E3. **Which of your household’s livelihood activities was most responsible for the change?** – If the household’s income is higher or lower than in the previous year, ask which livelihood activity was most responsible for the change. Note that production of agricultural crops and livestock are added to the list of codes for livelihood activities for

this question. *Make sure to remind respondents to consider agriculture and livestock when answering this question.*

E4. **Was the proportion of your household's income that came from selling crops during the [season] larger, smaller, or about the same as the proportion of your income earned from selling crops during the [previous season]?** – Note whether the proportion of the household's total income from all sources that came from selling crops during the [season] was larger, smaller, or about the same as in the [previous season]. Answer “larger” or “smaller” only if the difference is 5% more or less. Otherwise enter “about the same”.

E5. **What is the main reason the proportion is larger?** – Probe for the main reason that the proportion of the household's total income from all sources attributable to selling crops was larger this [season] than in the [previous season].

Reasons for larger proportion codes

1 = **Sold more crops** – The respondent sold a greater quantity of crops this [season] than in the [previous season].

2 = **Higher prices for crops** – The respondent received higher prices for crops this [season] than in the [previous season].

3 = **Lower income from sources other than crops** – The respondent's income from other sources fell while income from selling crops remained about the same. This leads to sales of crops forming a greater proportion of total household income.

E6. **What is the main reason the proportion is smaller?** - Probe for the main reason that the proportion of the household's total income from all sources attributable to selling crops was smaller this [season] than in the [previous season].

Reasons for smaller proportion codes

1 = **Sold smaller quantity of crops** – The respondent sold a smaller quantity of crops this [season] than in the [previous season].

2 = **Lower prices for crops** – The respondent received lower prices for crops this [season] than in the [previous season].

3 = **Higher income from sources other than crops** – The respondent's income from other sources increased while income from selling crops remained about the same. This leads to sales of crops forming a lower proportion of total household income.

Module F

F1. **Has any member of your household borrowed any cash or goods during the past 2 years?** – This is a filter question for question F2 and refers to any formal or informal loan of cash or goods.

F2_a. **Has any member of your household borrowed any cash or goods for _____ in the past 2 years?**

- F2_1 **To purchase agricultural inputs (seed/fertilizer/chemicals)** – Any cash or in-kind loan used to purchase seed, fertilizer, or agricultural chemicals. This may include borrowing cash to buy these items. It may also include receiving the items at planting time and paying for them later (e.g., at harvest).
- F2_2 **To invest in agriculture (e.g., buy tools, equipment, livestock, buy or rent land, etc.)** – This refers to investments in items other than inputs. Examples include tools, machinery, irrigation equipment, storage facilities, or land. It may include investments to purchase these items or investments to rent them.
- F2_3 **To start or invest in a non-agricultural business** – Loans (cash or in-kind) used to start a new business or invest in an existing non-agricultural business.
- F2_4 **To pay school fees/supplies** – Loans (cash or in-kind) to pay for school expenses.
- F2_5 **To purchase staple food for household consumption** – Loans (cash or in-kind) to purchase staple foods for household consumption. This may include receiving the food directly with the expectation that you will pay back the lender (in cash or in-kind) at some later date.
- F2_6 **To pay for health care/medical expenses** – Loans (cash or in-kind) used to pay for medical expenses. These expenses may include medicines, visits to the doctor, surgeries, etc.
- F2_7 **To pay for social event (funerals, weddings)** – Loans (cash or in-kind) used to pay for social events.
- F2_8 **To build or add on to a house** – Loans (cash or in-kind) used to repair, maintain, build, or add to a house.
- F2_9 **Other** – Loans received for any reason not listed in responses F2_1 through F2_8.

Note: There are many reasons that a household may borrow money or goods. The list in question F2 includes only those reasons that are of particular interest to monitoring and evaluation of P4P.

- F2_b/c. **What amount did you ask for?/What amount did you receive?** – These two questions assess whether the respondent received the amount of money requested or not. The amount applied for refers to the amount of money requested. The amount received refers to the amount actually received. Neither amount should include interest. Record the actual amount of money the respondent requested and the actual amount of money they received and to which they had access.

Note: A respondent who received a loan of goods (e.g., fertilizer) may receive the loan in goods and pay the loan back in cash. When we ask for the monetary value of what the respondent asked for, he or she may report the value of what they are expected to pay back in cash which may include an interest rate. To avoid difficulty in the case of borrowing goods, ask whether the quantity of goods the respondent received was the

same as the quantity he/she asked for. If yes, this value should be the market value of what they received when they received it and will be the correct answer to question F2_c. If the quantity of the good received was different than the quantity requested, then enter the monetary value of the goods requested (at the time they were received) as the amount requested and the monetary value of the goods received (at the time they were received) as the amount received.

F2_d. **Which household member signed for the loan?** – The question asks for the household member who signed for the loan, not the household member who actually received the money. These may be different individuals.

F2_e. **What was the source of the loan?** – Enter the code corresponding to the person, organization, business, or agency that provided the loan.

Codes for sources of credit

- 1 = **Friend/relatives** – A person known to you who loaned you the money without charging interest.
- 2 = **Money lender** – Any private person that is not a bank or non-bank lending institution (e.g., microfinance institution, financial NGO, etc) that is in the business of lending money with interest. If the money lender is a friend/relative, but lending to you with interest, then the correct code is “money lender”.
- 3 = **Commercial bank** – Refers to a formal banking institution. This includes credit unions but not microfinance institutions which should be reported under “12”.
- 4 = **Informal savings group** – Any loosely organized community-based group that brings a number of people together to save and lend out money to one another. These groups may be organized around kinship or other ties. Note: These groups may charge interest to their members, but this is not normally the case.
- 5 = **Farmer organization** – Refers to loans made to the household from the farmer organization. This captures only loans directly from the organization’s funds. If the organization facilitated access to a loan from other sources (e.g., a microfinance institution or a bank) then report the loan as coming from the original source (i.e., the microfinance institution or bank).
- 6 = **Local trader/ shopkeeper** – Refers to buying things on credit from local traders or shopkeepers.
- 7 = **Buyer/trader** – Refers to receiving agricultural inputs (or other goods or cash) from a buyer or trader of agricultural crops. The credit is often advanced at some point in the growing season, but before harvest, with an agreement by the borrower to repay the credit in cash or in crops when crops are harvested.
- 8 = **Government/Rural Credit Fund** – A government administered fund for rural lending.
- 9 = **International development organization** – Refers to a loan directly from an international, government sponsored development organization.

11 = **NGO** – Refers to non-financial NGOs. Report loans from financial NGOs (e.g. micro credit institutions run by an NGO) under “12”.

12 = **Micro-credit institutions** – Refers to formal microfinance institutions or financial NGOs. These may include rural banks, savings and loans, SACCOs, etc.

F2_f. How will the loan be repaid? – Note whether the loan will be/has been repaid in cash, in-kind, or a combination of cash and in-kind.

Module G

G1. **About how much did your household spend on _____ for domestic consumption during the last 30 days?** – Probe to help respondent recall total household expenditure on each item. If another household member is responsible for these expenses, then ask to speak to that household member. Record only those expenses related to domestic consumption. Record any expense actually incurred during the past 30 days, even if it was to buy something that will last for a longer period (e.g., buying food in bulk). In some local languages it might be most clear to refer to “the past 30 days” as “from this date last month”. In any event, we need to be clear to ask about the past 30 days, not the past month or the past four weeks. These latter phrasings are open to interpretation and may or may not correspond to the past 30 days. For example, a person might interpret “last month” as being the most recent complete month rather than the last 30 days.

G1_1 **Maize** – Maize in any form.

G1_2 **Beans** – Any type of beans in any form.

G1_3 **Bread** – Any type or form of bread.

G1_4 **Rice** – Rice in any form.

G1_5 **Fruits & vegetables** – Any kind of fruit or vegetable.

G1_6 **Fish/meat/eggs/poultry** – Fish, any kind of meat, eggs in any form, or poultry.

G1_7 **Oil, fat, butter** – Any form of oil or fat including butter.

G1_8 **Water** – Any type of water that you pay for if used for domestic consumption. This includes water that you buy from a store, water you pay for at a tap, etc.

G1_9 **Milk and dairy products** – Any kind of milk or dairy product.

G1_10 **Sugar/salt** – Sugar in any form or salt.

G1_11 **Milling** – Any charges you incurred for milling grains.

G1_12 **Alcohol and tobacco** – Any type of alcohol or tobacco product.

G1_13 **Household items (soap, batteries, etc.)** – Any household item including soap, batteries, etc.

- G1_14 **Transport and fuel** – Any charges for transportation (e.g., rides to town, buses, taxis, etc.) or costs for fuel used for transportation.
- G1_15 **Cooking and lighting fuel (wood, paraffin, etc.)** – Any fuel used for cooking, lighting, or heat.
- G1_16 **Soda/drinks (including tea)** – All drinks except water (covered in G1_8) and alcoholic drinks (covered in G1_12). These may be actual drinks such as soda or ingredients for drinks (e.g., tea leaves).
- G2. **What is the current monthly rent for your home?** – If a respondent pays no rent, record a “0”. If a respondent pays rent for some period other than a month, calculate the amount per month.
- G3. **About how much did your household spend on _____ during the last 12 months?**
– In all cases, probe for in-kind (non-cash) expenses and include the monetary value of any in-kind payments in the answer. For example, if a household reported spending X on education expenses and giving the school five bags of maize to cover school fees, then add the cash expenses to the monetary value of the five bags of maize to get the total monetary value of the household’s expenditure on education.
- G3_1 **Medical expenses, health care** – Any expense related to health care (e.g., medicines, doctor visits, surgeries, etc.).
- G3_2 **Education (books, school fees, uniform, etc.)** – Any expense related to school (e.g., books, uniforms, school fees, etc.).
- G3_3 **Clothing, shoes (excluding those required for school)** – Any expense for clothing or shoes (excluding the expenses for school uniforms covered in question G3_3).
- G3_4 **Equipment and tools (including for agriculture)** – Any expense for equipment or tools including agricultural equipment or tools, mechanics tools, woodworking equipment or tools, etc.
- G3_5 **Construction, house repair** – Any expenses incurred to repair, maintain, or expand the respondent’s house.
- G3_6 **Debt repayment** – Refers to any payment to service debt, either payments of principle or interest. Include cash and the value of in-kind payments.
- G3_7 **Celebrations, social events (funerals, weddings, etc)** – Any expenses related to celebrations or social events.
- G3_8 **Remittances/gifts** – Refers to remittances/gifts provided by the household to others. Estimate the monetary value of non-cash gifts.

Module H

- H1_a. **How many of each of the following assets that are in working order does a member of your household own?** – Make sure items are in working order and that they are owned by a member of the household.

- H1_1 **Chair (excluding traditional stools and benches)**
- H1_2 **Table**
- H1_3 **Bed**
- H1_4 **TV/ satellite dish/DVD**
- H1_5 **Radio**
- H1_6 **Fishing nets**
- H1_7 **Canoes** – Canoes or any type of boat.
- H1_8 **Axe**
- H1_9 **Curvo (Latin America)/Machete (Other countries)**
- H1_10 **Backpack sprayer** – Any type of sprayer for applying chemicals to crops.
- H1_11 **Hoe**
- H1_12 **Ox Cart** – Any animal-drawn cart.
- H1_13 **Tractor**
- H1_14 **Generator**
- H1_15 **Hand Mill** – Hand operated mill used to grind grains.
- H1_16 **Bicycle**
- H1_17 **Harrow**
- H1_18 **Plough**
- H1_19 **Sewing machine** – Electrical or manual sewing machine.
- H1_20 **Hammer mill** – Hammer or other type of mechanical mill used to grind grains.
- H1_21 **Mobile phones/ landline** – Any type of telephone.
- H1_22 **Maize thresher (Latin America)** – Any mechanized thresher or sheller for removing maize kernels from the cob.
- H1_23 **Metallic silos (Latin America)** – Metallic silos for grain storage.
- H1_24 **Hammock (Latin America)**
- H1_25 **Vehicle (car/pick up/motor cycle)** – Any type of motorized transportation.
- H1_26 **Stove (electric or gas)** – Cooking stove.
- H1_27 **Fridge**

H1_28 **Water pump/treadle pump**

- H2_b. **Did your household buy any _____ [name of asset] during the past 12 months?**
– Note whether any member of the household bought any of this asset during the past 12 months.

Module I

- I1. **Please indicate the major material of the roof, floor and walls of the main house?**
– If several materials are in use, record the main material.

Roofing material codes

- 1 = **Thatch** – Any type of thatched material such as grass, reeds, straw, etc.
2 = **Iron sheets** – Any type of metal roofing material, typically corrugated metal sheets.
3 = **Tiles** – Typically clay or cement tiles.
4 = **Plastic** – Usually plastic sheeting.

Floor material codes

- 1 = **Dirt/mud/sand** – Any type of packed bare earth floor.
2 = **Wood** – Any sort of wooden floor.
3 = **Concrete** – Concrete slab or tiles.
4 = **Asbestos**

Wall material codes

- 1 = **Concrete/fired brick** – Concrete (bricks or poured) or fired clay brick.
2 = **Mud or mud brick** – Packed mud/earth or (unfired) bricks made of mud/earth.
3 = **Mud/wattle** – Mud packed over wattle.

- I2. **What is the main source of drinking water for your family?** – Asks about the main/primary source and specifically about water used for drinking. If the household uses several sources, ask about the source where the household gets most of the water used for human consumption.

- 1 = **Piped into dwelling, yard or plot** – Water available from a pipe in the house, plot, or yard. The source is usually for the exclusive use of the household or of a small group of adjacent households.
2 = **Public tap/neighbor house** – Publicly available tap/pipe or from a neighbor with a pipe or tap.
3 = **Well/spring** – A shallow well or a natural spring.

- 4 = **Pond, lake, river, or stream** – A surface water source such as a pond, lake, river, or stream.
- 5 = **Tanker** – Delivered in a tank mounted on a truck or cart.
- 6 = **Borehole** – A deep well.
- 7 = **Rain water** – Collecting rainwater for household use
- 8 = **Other** – any other source not listed in codes 1 - 7

I3. **On a typical day, what is the total number of trips all members of your household make to fetch water for household use?** – Record the total number of trips in a typical day by all members of the household. For example if three people go together twice a day to get water, then this is six trips.

I4. **Including waiting time, about how much time does one trip to fetch water for household consumption usually take?** – Refers to the total amount of time it usually takes to make one round-trip to get water starting from the time of leaving the house until the time of returning. Ensure that the respondent limits response to the time required for one person to make a round-trip.

I5. What type of toilet facility does your household use?

- 1 = Flush/pour flush – a toilet that flushes automatically with water or flushes when you pour water into it after use.
- 2 = Ventilated Pit Latrine (VIP) – A pit latrine enclosed in a structure and fitted with a chimney to ventilate odors and flies.
- 3 = Pit latrine (unimproved) – Refers to a pit (either open or enclosed in a structure.
- 4 = None (bush or field) – No structure or pit, just open land.

I6. What type of cooking fuel does your household use?

- 1 = Charcoal
- 2 = Firewood – Refers to cooking over an open fire or in a wood-fired stove/oven of any sort.
- 3 = Kerosene/paraffin
- 4 = Gas cylinder – Gas purchased in a tank or cylinder.
- 5 = Electricity – An electrically operated cooking appliance such as a stove or hotplate.
- 6 = Other - any cooking fuel not listed in codes 1-5

I7. What type of lighting fuel does your household use?

- 1 = Kerosene/paraffin/oil or gas lantern – A lantern fueled by kerosene, paraffin, oil, or gas.

- 2 = Generator/car battery – Refers to a generator or a car battery. If the car battery is charged by a solar panel, use response 4.
- 3 = Candles, firewood – Refers to using candles or firelight for household lighting.
- 4 = Solar panel – light bulbs powered by a panel that generates electricity from sunlight. These systems usually use a battery to store the electricity for use at night time so make sure to use this response if a person uses a battery powered by a solar panel.
- 5 = Electrical network – Connected to an electrical network that serves users beyond the respondent’s village.
- 6 = Torch – A handheld, battery operated torch.
- 7 = Other – Any response not covered by codes 1-6

Module J

- J1. **How many people are in your household?** – Read definition of household members and probe to make sure the respondent considers all household members.

Note: Use a methodical approach to questioning to avoid missing any household members. Ask first about the household head and spouse, then ask specifically about any children, then about grandchildren, then other relatives, etc. When in doubt about whether a person is a household member, refer to the definition at the beginning of question J1. List all household members.

J2_id (Follow-up survey only) Pre-fill a unique (within the household) identification number to the household member. The number needs to be the same for each individual in each of the three surveys (baseline and follow-ups in years three and five). It will likely be easiest to assign the table row number in the baseline as the individual ID number.

J2_name Enter the name of the household member. In the follow-up instruments J2_c will be pre-filled with data from the previous survey.

J2/J3_a. **What is this person’s relationship to the household head?** – Be careful to note the relationship of the individual to the household head. This is particularly important when interviewing anyone other than the household head. In the follow-up instruments J2_c will be pre-filled with data from the previous survey.

J2_a. Relationship to household head codes

- 1 = **Household head** – The stated head of the household.
- 2 = **(First) spouse of household head** – The (male or female) spouse of the stated head of the household. In the case where a male head of the household has more than one wife, use this code to indicate the first wife.
- 3 = **Wife** – Use this code to indicate second, third, etc. wives of a male head of a household.

- 4 = **Child/stepchild** – Natural, step, or adopted children of the head of the household.
- 5 = **Grandparent/grandchild** – Grandparent or grandchild of the household head.
- 6 = **Parent** – Mother or father (natural or step) of the household head.
- 7 = **In-law** – Mother, father, brother, sister, or grandparent in law of the household head.
- 8 = **Other relative (brother, sister, cousin, etc.)** – Any other relative (blood, married, or adopted member of the extended family) of the household head of the spouse of the household head.
- 9 = **Worker** – A worker who satisfies the definition of a member of the household.
- 10 = **Other** – Any other person who satisfies the definition of a household member not mentioned in responses 1 through 9.

J2/J3_b. **Has this person lived in the household for at least 6 months continuously during the past 12 months?** – This question determines whether a person was actually resident in the household for most of the year or not. For example, a person may be listed as a household member but may work away from the home for most of the year. A six-month continuous absence is the threshold for not being continuously resident in the household. Ask this question only of the household head or a spouse of the household head.

J2/J3_c. **Is this person female or male?** – No explanation necessary. In the follow-up instruments J2_c will be pre-filled with data from the previous survey.

J2/J3_d/e. **In what year was this person born?** – Record either the year born or the age (i.e., question J2d or J2e), whichever is easiest for the respondent. Do not record both the age and the year born. If the respondent mentions an individual of school-going age (between the ages of 6 and 18 years in the common instruments), move to J2_g. If respondent mentions an individual older than school-going age (18 years in the common instruments), move to J2_f. Countries need to customize the skip instructions for question J2_d/e to include school-going ages relevant to the specific country (see Figure 6 on page 15).

J2/J3_f. **What level of education did this person attain?** – Refers to the highest level of education completed. Ensure that the respondent knows that this question applies only to individuals over the age of 18 (or the age at which people no longer attend school in the specific country). Country offices may have to adapt the wording of this question to reflect common levels of education relevant to the country.

J2_f. School attainment codes

- 1 = **None** – The person completed no formal schooling.
- 2 = **Started but did not complete primary school** – Self explanatory.
- 3 = **Completed primary school** – Self explanatory.

- 4 = **Started but did not complete secondary school** – Self explanatory.
- 5 = **Complete secondary school** – Self explanatory.
- 6 = **Attended college/university** – Attended university or college but may or may not have completed a degree.
- 7 = **Don't know** – Enter this answer if the respondent does not know the educational attainment of the individual.
- 8 = **Not applicable** - Enter this response if the question is not applicable to the individual.

J2/J3_g. **Is this person attending school full-time?** – No explanation necessary. Ensure that the respondent knows that this question applies only to individuals of school-going age in the specific country.

Note: We want to establish the school-going status of all children in the household who are of school-going age. Such an individual is attending school full time if they are enrolled as a student and attend classes every regular school day except when ill or due to other exceptional circumstances.

J2/J3_h. **Why is this person not attending school full-time?** – We are particularly interested in those who never attended school or dropped out to work at home (i.e., on the farm) or who have dropped out due to inability of the household to pay education costs. These are the two reasons most relevant for the P4P intervention. There are many reasons a person may have dropped out of school or never enrolled. Select the answer that reflects the primary reason.

J2_h. School attendance codes

- 1= **Dropped out/attending part-time due to financial constraints** – Select this response if the main reason is not being able to afford the cost of school.
- 2 = **Dropped out/attending part-time to help at home** – Select this response if the main reason is that the person was needed to help at home.
- 3 = **Cropped out/attending part-time due to other reasons** – Select this response if the main reason is something other than financial constraints or needed to help at home.
- 4 = **Never enrolled due to financial reasons** – Select this response if the main reason is not being able to afford the cost of school.
- 5 = **Never enrolled to assist at home** – Select this response if the main reason is that the person was needed to help at home.
- 6 = **Never enrolled for other reasons** – Select this response if the main reason was something other than financial constraints or being needed to help at home.
- 8 = **Not applicable** – Enter this response if the question is not applicable to the individual.

J2/J3_i. **Is this person currently unable to work due to mental or physical disability?** – The person is mentally or physically unable to work. Applies to all household members six years of age or older.

J2/J3_j. **At any time during the past 12 months, has this person been continuously ill for 3 or more months?** – Refers to a continuous period of illness over a period of 3 months or more that has rendered the individual unable to perform his or her normal activities. Some long term illnesses include HIV/AIDS and tuberculosis. **Note that old age by itself is not considered a chronic illness.** Applies to all household members 6 years of age or older.

J2/J3_k. **During the past 12 months, to what extent has this person been involved in the household's farming activities?** – This question assesses the individual's role in the household's farming activities. It does not ask about the importance of agriculture relative to other livelihood activities. Instead, it asks about the role of each household member in the household's agricultural activity.

J2_k. Involvement in farming activity codes

- 1 = **Primary activity** – Agriculture is one of the individual's primary activities within the household.
- 2 = **Involved but not a primary activity** – The individual helps with the household's agricultural activities but has other duties or activities that are more important.
- 3 = **Not involved** – The individual does not contribute to the household's agricultural activities.

J2/l. **Is this person currently considered a member of the household?** – This question appears only in the follow-up version of the instrument. Determine whether the person (whose name is pre-filled into the questionnaire from the previous survey) is still considered a member of the household.

J2_m. **If this person is not a member of the household anymore, why?** – This question appears only in the follow-up version of the instrument. If the person is no longer considered a member of the household, ask why.

J2_m. Reasons for leaving household codes

- 1 = **Left to find a job** – The individual moved elsewhere (for more than 6 months during the past 12 months) to find or take a job.
- 2 = **Separated** – The individual separated from another household member to whom they were married and left the household.
- 3 = **Married away** – The individual married and left the household, either to join another household or to start a new household.
- 4 = **Deceased** – The individual passed away since the last survey.
- 5 = **Divorced** – The individual got divorced from another household member to whom they were married and left the household.

- 6 = **Living with relatives** – The individual left the household to live with relatives in another household.
- 7 = **Established own household** – The individual left the household to establish his or her own household. If a new marriage was the cause of leaving to start a new household then use response 3.
- 8 = **Never was a household member** – The individual never was a household member. This response will be relevant if a data entry or other error occurred in the previous survey and listed a person as a household member who was not a household member.
- 9 = **Left with mother/father** – The individual left the household with a mother or father who left the household for any reason.
- 10 = **Hired worker left** – This response applies to hired workers who were considered members of the household but who left employment.
- 11 = **Other** – Any other reason not mentioned in responses 1 through 10

The Trader Baseline and Follow-up Survey Instrument

Module A

- A1. **Do you own this business or have complete knowledge of the operation of the business?** – This question is used to determine whether to ask the respondent a set of questions for employees or a set of more detailed questions intended for business owners.
- A2. **How are you, or the company, registered or licensed for trading?** – We are interested in whether the company is registered. The codes (i.e., names of jurisdictions that are relevant to a country) will be country-specific. If a country changes the wording/codes, it must document the changes.
- A4_1. **Sex of company/business owner.** – Ensure that the answer is for the business owner.
- A4_2. **What is the name of the company/business owner?** – Ensure that the answer is for the business owner and not an employee.
- A4_3. **In what year was the company/business owner born?** – Ensure that the answer is for the business owner and not an employee.
- A4_4. **What is the highest level of education the company/business owner has completed?** – Ensure that the answer is for the business owner and not an employee.

A4_4. School attainment codes

- 1 = **None** – The person completed no formal schooling.
- 2 = **Started but did not complete primary school** – Self explanatory.
- 3 = **Completed primary school** – Self explanatory.
- 4 = **Started but did not complete secondary school** – Self explanatory.
- 5 = **Complete secondary school** – Self explanatory.
- 6 = **Attended college/university** – Attended university or college but did not complete a degree.
- 7 = **College / University degree** – Obtained any type of degree from a college or university.
- 7 = **Don't know** – Enter this answer if the respondent does not know the educational attainment of the individual.

- A5_1/2. **How many (family members/non-family) employees does the company/business have?** – The rows of this table distinguish between employees who are family members (i.e., members of the owner's household or other relatives who are not members of the household. A household is a group of people who live together, not necessarily in the same building; who usually eat from the same pot; and who pool their incomes and other resources to purchase or produce food. A household member is

any person who, in the past 12 months, has lived with the household for at least 6 months regardless of whether they have intentions to stay or not. It also includes persons who have lived in the household for less than six months if they are a) attending school away from home, b) newly born babies, c) persons who are newly wedded into the household, or d) persons who have been in the household for less than 6 months but have come to stay permanently.

- A5_a/b. **How many (paid/unpaid) employees does the company/business have?** – The columns of this table distinguish between employees or workers at the company who are paid and those who are not paid.
- A6. **For how many years have you been engaged in trading staple commodities?** – Refers to any trade in staple commodities, whether with this business or another.
- A7. **Is trading commodities your primary source of business income?** – Traders often have several sources of business income. This question asks whether trading is the primary source – the business that provides the greatest proportion of the respondent’s total business income.
- A8. **During the [season], in which months did you buy commodities?** – Record all months during which the respondent bought commodities during the past [season] (all of the agricultural seasons in the past 12 months). Country offices/enumerators may have to adapt this question to local calendars.
- A9. **During the [season], in which months did you sell commodities?** – Record all months during which the respondent sold commodities during the past [season] (all of the agricultural seasons in the past 12 months). Country offices/enumerators may have to adapt this question to local calendars.
- A10. **During the [season], did you have any binding agreements or arrangements to buy commodities from particular producers/suppliers?** – Refers to any arrangements to buy from particular farmers, farmer organizations, or other traders. These would usually be a result of having made loans of inputs or cash to farmers in exchange for an agreement that the farmer would sell to the trader or it could be an agreement to buy from a smaller trader who works as an agent. “Binding” does not necessarily mean a legally binding agreement (i.e. one that can be the basis of an action in a court of law), but it does imply at least a social obligation that may be less formal.
- A11. **During the [season], did you have any binding agreements or arrangements to sell commodities to particular buyers (e.g., millers/brewers)?** – Refers to any arrangements to sell to particular persons or businesses. This would normally be the case where a trader is purchasing for (or as an agent of) another trader or business. “Binding” does not necessarily mean a legally binding agreement (i.e. one that can be the basis of an action in a court of law), but it does imply at least a social obligation that may be less formal.

Module B

- B1_1. **Who is the contact person for this company/business?** – Record the name of the person to contact to ask more detailed questions about the business.

- B1_2. **What is the telephone number for the contact person?** – Record the phone number of the person to contact to ask more detailed questions about the business.
- B1_3. **What is the physical address of this company/business?** – Record the details necessary to find the physical location of the business so that someone can visit the business location if necessary.
- B2. **What staple commodities do you buy?** – Customize the list of codes to include all staple commodities relevant in the country. Make sure not to change any of the numbers (codes) associated with the commodities. Add additional rows if necessary.
- B3. **Do you purchase most of the commodities you buy before the main harvest season, during the main harvest season, or after the main harvest season?** – This question distinguishes traders who move into the market only early in the trading season to aggregate commodities or speculate on prices from traders who are in the business year-round. Many traders will buy at many times. Make sure to ask when the trader buys most of the commodities he or she buys.

Purchase commodities when (Codes)

- 1 = **Before the main harvest season** – Refers to the period before the main harvest begins but when farmers are taking some crop out of the field to sell early.
- 2 = **During the main harvest season** – Refers to the main harvest period.
- 3 = **After the main harvest season** – Refers to the period after the main harvest when most of the crops are in from the fields.

- B4_1/2. **From which two sources do you buy most of your commodities?** – Traders may buy from many different types of suppliers. Make sure to ask where the respondent buys most of the commodities he or she buys.

Purchase commodities from (codes)

- 1 = **Small scale farmers** – If possible, apply the country-specific definition of a smallholder farmer. This will not usually be possible and you will have to rely on what the respondent defines as a smallholder farmer.
- 2 = **Larger farmers** – Refers to all other farmers, i.e., not smallholders. These may include medium, emergent, or commercial farmers.
- 3 = **Farmer organizations** – Any form of farmer organization (i.e., an organized group of farmers who market collectively).
- 4 = **Other traders/middle-men/village agents** – Any trader or other person or entity (not including farmer organizations) that aggregates commodities from farmers for sale.
- 5 = **Food reserve agency** – Government operated food reserve agency (name will be country specific).

6 = **Certified warehouses** – Warehouses are usually certified through a commodity exchange and are often operated by traders. Choose this response only if the respondent bought commodities deposited in a certified warehouse that were not owned by the warehouse operator. This will include commodities the trader buys across a commodity exchange. If the trader bought commodities from a certified warehouse but the commodities were owned by the warehouse operator who is also a trader, then choose response 4.

-8 = **Not applicable/no second source** – Use as a second response when the respondent buys from only one source.

B5_a. **On average, about what quantity do you buy at one time from an individual seller?** – Refers to the average size of a typical purchase.

B5_b/c. See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.

Module C

C1. **Which of the following do you own that are available for use in the trading business and are in good working order?** – Ensure that the items are in working order and owned by the trader or the trading business.

C1_1 **Mechanical equipment for cleaning commodities** – Refers to mechanical equipment for removing foreign materials from commodities or sorting and grading commodities. This does not include hand operated sieves or sorting tables.

C1_2 **Mechanical equipment for drying commodities** – Refers to mechanical equipment only. This does not include tarpaulins or sheets used to dry commodities in the sun.

C1_3 **Trucks or other motor vehicles** – Refers to any type of truck, car, motorcycle, or other motor vehicle.

C1_4 **Bagging equipment** – Refers to equipment to bag commodities, including stitching machines. Does not include bags.

C1_5 **Buildings (excluding storage)** – Includes any buildings other than storage buildings.

C1_6 **Ox-carts** – Any sort of animal-drawn cart.

C1_7 **Moisture meters** – Meters for testing the moisture of commodities.

C1_8 **Scales** – Scales for weighing commodities (usually used when bagging commodities or buying).

C2. **Do you collect most of the commodities you buy from the sellers, do sellers bring most of the commodity to you, or is it some of both?** – This question captures the most common way the respondent aggregates commodities. “Most common” means the way in which the respondent aggregates the greatest quantity of commodities.

- 1 = **Collect most yourself (collect 80% or more)** – The respondent goes to the supplier and collects the commodities. This will typically be a trader who buys from farmers at the farm gate or in the village. As a rule of thumb, choose this response if most suppliers bring commodities to the trader by foot.
- 2 = **Suppliers deliver most (80% or more delivered)** – The supplier brings commodities to the respondent's main location. This refers to the case where suppliers bring commodities to the trader's main place of business. As a rule of thumb, choose this response if most suppliers have to use trucks or other motorized transport to bring commodities to the respondent.
- 3 = **Some of both** – The respondent collects about as much as suppliers deliver.

C3. **Do you deliver most of the commodities you sell to the buyer, does the buyer collect most of the commodities from you, or is it some of both?** – This question is similar to the previous question except that it asks how the respondent delivers to his or her customers rather than how he/she collects from suppliers.

- 1 = **You deliver most (80% or more)** – The respondent takes commodities to the buyer's location.
- 2 = **Buyers collect most (80% or more)** – The buyer collects commodities at the respondent's location.
- 3 = **Some of both** – The respondent delivers about as much as buyers collect.

C4. **When you have to transport commodities, what means of transport do you usually use?** – Usually means the manner in which the respondent transports the greatest share of the quantity he/she transports.

- 1 = **Carried (head or back)** – Transport by foot carrying the commodity without the help of a cart, wheelbarrow, bicycle, or other device.
- 2 = **Bicycle** – Transported using a bicycle.
- 3 = **Hand cart/wheelbarrow** – Any sort of human-powered (i.e., not pulled by an animal) wheeled cart.
- 4 = **Ox-cart/donkey** – Any type of animal-drawn, wheeled cart.
- 5 = **Motorcycle** – Transported by motorcycle.
- 6 = **Car** – Any type of automobile other than a truck.
- 7 = **Small truck/pickup** – A small truck or pickup.
- 8 = **Large truck/lorry** – A large truck or lorry designed specifically to haul large loads.
- 9 = **Public transport** – Any form of public transport (e.g., bus, train, etc.).
- 10 = **Boat/canoe** – Any form of transportation on water.

-8 = **Not applicable/don't transport** – Choose this answer if the respondent does not transport commodities.

- C5. **Do you have access to facilities for long-term storage of commodities?** – Refers to any storage facility capable of maintaining the quality of commodities and protecting them from moisture, animals, and other pests for a period of 10-12 months. Access means that the respondent has the use of a storage facility, either because he or she owns it or because he or she can rent, borrow, or rent space in a storage facility.
- C6. **What facilities do you use for long-term storage?** – Refers to the facilities the respondent uses for long-term protection of stored commodities from moisture, animals, and pests. This does not include the types of storage the respondent might use for temporary storage of commodities between purchase and long-term storage.
- C6_1 **Basic earth granaries (traditional storage)** – Refers to traditional, unimproved facilities. These may be built of wood, mud, cane, etc.
- C6_2 **Tents/plastic sheeting/iron sheeting** – Refers to storing the commodity outdoors and covered with plastic or iron sheeting.
- C6_3 **Permanent (concrete or steel) warehouses or silos that you own** – Refers to permanent structures suitable to maintaining quality during long-term storage. May include warehouses, stores, sheds, or silos. Record only those facilities that the trader owns.
- C6_4 **Permanent (concrete or steel) warehouses or silos that you rent or use for a fee** – Refers to permanent structures suitable to maintaining quality during long-term storage. May include warehouses, stores, sheds, or silos. Record only those facilities that the trader does not own and uses for a fee – either by renting the entire facility or renting space in the facility.
- C7_a. **What is the total capacity of the warehouse(s) you own?** – Refers only to warehouses, stores, or sheds the respondent owns. If the respondent owns more than one of a particular type of facility, then add the capacity of all facilities of that type. Include only long-term storage facilities. Probe to determine the capacity of the warehouses if the respondent does not know the capacity.
- C7_b/c. See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- C8. **Do you usually store commodities you buy in anticipation of higher prices?** – This question asks about the respondent’s trading strategy. The respondent should answer “yes” only if buying and holding commodities in order to speculate on price increases is part of the normal business plan or strategy. This will not be the case for traders who only provide the service of aggregating commodities from farmers and (almost) immediately selling to others.
- C9_a. **During the [season], did you _____ [ask for each row] commodities specifically to meet a particular buyer’s requirements?** – The intent of this question is to determine whether there is a market for higher quality commodities and, if so, whether the trader has the capacity to produce the quality desired by that market.

C9_b. **Why not?** – Select the single best answer for each row.

- C9_1 **Dry** – Reduce the moisture content to a level where the commodity will not mould or spoil.
- C9_2 **Remove foreign matter** – Remove dirt, sticks, cobs, and other foreign matter from the commodity.
- C9_3 **Remove small and broken grains** – Remove small and broken grains (i.e., grading).
- C9_4 **Remove discolored grains** – Removing discolored grains.
- C9_5 **Remove live pests** – Removing or killing live insect pests.
- C9_6 **Weigh and bag** – Bagging or rebagging and ensuring that bags are of a uniform and accurate weight.

Reasons for not increasing quality codes

- 1 = **No increase in price to justify cost** – Refers to the case where buyers will accept a higher quality (i.e., lower moisture, cleaner, sorted/graded) but are not willing to pay any premium price for higher quality.
- 2 = **Increase in price not enough to justify cost** – Refers to the case where the respondent knows of buyers who are willing to pay some premium for higher quality but the premium is not large enough to justify the cost of achieving the higher quality.
- 3 = **Buyers did not have particular specifications** – Refers to the case when buyers did not have any specific requirements for quality.
- 4 = **Quality received already met market specifications** – Refers to the case where suppliers deliver a quality sufficient to meet buyer requirements and there is no need for the trader to do additional drying/cleaning/sorting/grading. Probe carefully to make a distinction between this response and “1”. This response applies when buyers demand quality and are willing to pay for better quality and suppliers already produce that quality. Response “1” refers to the case where buyers are not willing to pay for quality so it does not matter what quality suppliers deliver.
- 5 = **Did not have ability** – Refers to the case where there were buyers for higher quality (and the price premium would justify the cost) but the trader could not produce higher quality, perhaps because he/she did not have access to the necessary equipment or have access to someone who could provide drying/cleaning/sorting services. Probe carefully to determine that the inability to attain quality (and not the cost of improving quality) is the main reason for not improving quality.

C10. **During the [season], what sources of funds did you use to buy commodities?** –

- 1 = **Own funds only** – Used own capital without having to borrow. Select this response when a trader collects from farmers and pays them only after he or she has sold the commodity to someone else (e.g., a miller or brewer).
- 2 = **Borrowed funds only** – Used only borrowed funds. Select this response when a trader receives money from someone else to buy the commodities and pays back the loan after selling the commodities. Also use this response if the trader is acting as an agent for someone else (e.g., another trader, a miller, a brewer) who provides the money to buy the commodities and then deducts the amount from what he or she pays the trader on delivery.
- 3 = **Owned and borrowed** – Some combination of the two sources above.
- 4 = **Other** – Any other source not listed in responses 1 through 3.

C11. **What was the main source of money you borrowed to purchase commodities?** – Refers only to the source of funds used to purchase commodities for the trading business. The respondent may have used several sources of funds. Probe to identify the main source.

- 1 = **Bank** – Refers to a formal banking institution. This includes credit unions but not microfinance institutions which should be reported under “12”.
- 2 = **Buyer (contract buyer)** – Refers to a situation where a person or business that buys from the trader (e.g., another trader, miller, brewer) provides the trader with credit for buying commodities on behalf of the buyer. In this case, the trader acts as an agent of the buyer.
- 3 = **Agricultural supply company** – Refers to the case where an agricultural input supplier (who may also act as a trader) lends the trader money to purchase on behalf of the company.
- 4 = **Microfinance Institution/ NGO** – Refers to formal microfinance institutions or financial or non-financial NGOs. These may include rural banks, savings and loans, SACCOs, etc.
- 5 = **Friends/relatives** – A person known to you who loaned you the money without charging interest.
- 6 = **Other** – Any other source of loans.

C12. **During the [season], did you sell directly to buyers...?** – This question measures the number of different jurisdictions into which the trader sold. It refers only to buyers the trader sold to directly, not where the commodity ended up. So, if the trader sold to a large trader who then sold to a buyer in another country, it counts as a sale to the location of the large trader, not outside the country. Country offices may need to adapt the wording of the responses to suit the jurisdictional structure in the country.

C12_1 **Outside of [country]** – Mark as “yes” if the trader sold directly to a buyer located outside the country.

- C12_2 **Within [country] but outside the province/region in which you are based** – Mark as “yes” if the trader sold directly to buyers located within the country but outside of the province/region [or other applicable name] in which the trader is located.
- C12_3 **Within the province/region but outside the district in which you are based** – Mark as “yes” if the trader sold directly to buyers located within the province/region [or other applicable name] but outside of the district [or other applicable name] in which the trader is located.
- C12_4 **Within the district but outside the town/trading center in which you are based** – Mark as “yes” if the trader sold directly to buyers located within the district [or other applicable name] but outside of the town/trading center [or other applicable name] in which the trader is located.
- C12_5 **Within the town/trading center but outside the village in which you are based** – Mark as “yes” if the trader sold directly to buyers located within the town/trading center [or other applicable name] but outside of the village [or other applicable name] in which the trader is located.
- C12_6 **Within the village in which you are based** – Mark as “yes” if the trader sold directly to buyers located within the village [or other applicable name] in which the trader is located.

Module D

- D1. **During the [season], what staple commodities did you buy?** – Restrict to staple commodities only. Customize the instrument so it includes codes only for the staple commodities relevant to the country (use the global crop/commodity code list in Figure 5 and do not change the codes associated with the crops). Add additional columns if necessary.
- D2_1. **During the [season], about how much _____ (commodity name from column) did you buy?** – Record the approximate quantities of each commodity the trader bought during the [season]. Probe to remind the respondent of all purchases from different sources and to promote accurate recall of the quantities purchased.
- D2_2/3. See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- D3. **During the [season], about what proportion of _____ (commodity name from column) did you buy from _____ (seller name from row)?** – Use proportional piling (if necessary) to help the respondent determine the approximate proportion of each commodity he/she bought from each source. It will often not be necessary to use proportional piling if the respondent bought all or most of the commodity from only one source.
- D3_1 **Small-scale farmers** – If possible, apply the country-specific definition of a smallholder farmer. This will not usually be possible and you will have to rely

on what the respondent defines as a smallholder farmer. In any case, tell the respondent the definition of a smallholder farmer.

- D3_2 **Larger farmers** – Refers to all other farmers who are not smallholders. This may include medium, emergent, or commercial farmers.
- D3_3 **Farmer organizations** – Any form of farmer organization (i.e., an organized group of farmers who market collectively).
- D3_4 **Other traders/middle-men/village agents** – Any trader or other person or entity (not including farmer organizations) that aggregates commodities from farmers for sale.
- D3_5 **Food reserve agency** – Government operated food reserve agency (name will be country specific).
- D3_6 **Certified warehouses** – Warehouses are usually certified through a commodity exchange and are often operated by traders. Choose this response only if the respondent bought commodities deposited in a certified warehouse that were not owned by the warehouse operator. This will include commodities the trader buys across a commodity exchange. If the trader bought commodities from a certified warehouse but the commodities were owned by the warehouse operator who is also a trader, then choose response 4.
- D3_7 **Other** – Any other supplier not listed in responses D3_1 through D3_6.
- D4_1. **During the [season], how large was your single largest sale of _____ (commodity name from column)?** – Record the largest quantity of the commodity sold at one time to a single buyer during the [season].
- D4_2/3. See the section titled “Recording Quantities” on page 4 for detailed instructions on recording quantity units.
- D5. **During the [season], about what proportion of your sales of _____ (commodity name from column) did you make to _____ (buyer name from row)?** – Use proportional piling to help the respondent determine about how much of each commodity he/she sold to directly to each type of buyer. Report only the buyer the respondent sold to directly. For example, if the respondent sold to another trader who then sold to WFP, the direct buyer is the other trader, not WFP. It will not always be necessary to use proportional piling if the respondent sold all or most of the commodity to only one buyer.
- D5_1 **Households/ individuals** – Refers to individuals or households no matter where they bought the commodity (e.g., at a local market, directly from the trader, etc.).
- D5_2 **Retail stores** – Refers to sales the respondent made directly to retail stores. Retail stores are stores that sell directly to consumers.
- D5_3 **Millers/brewers/processors** – Refers to sales the respondent made directly to millers/brewers/or processors.

- D5_4 **Traders/warehouse operators/food suppliers** – Refers to sales the respondent made directly to traders, warehouse operators (who will often be traders), or suppliers of food to government institutions.
- D5_5 **Government food reserve agency or government institutions (schools, hospitals, etc.)** – Refers to sales the respondent made directly to a government food reserve or food bank agency (name may be country-specific) or directly to government institutions such as schools, prison, hospitals, etc. This response refers to direct sales to government institutions while “4” above refers to sales to food suppliers who then supply government institutions.
- D5_9 **WFP** – Sales directly to the World Food Programme. Choose this response only if the organization sold directly to WFP.
- D5_6 **International development agencies** – Refers to international, government-sponsored, or government affiliated, development agencies such as USAID, GTZ, DFID, etc. These are not NGOs.
- D5_7 **National/international NGOs** – Refers to non-governmental organizations. NGOs are organizations that are not sponsored by or affiliated with a government. They may receive funding from governments but are not sponsored by or affiliated with government.
- D5_8 **Farmer organizations** – Refers to sales to farmer organizations. For example, a farmer organization may buy from a trader to fill out an order if it can’t get all it needs from its members.
- D5_10 **Other** – Any other buyer not listed in responses D5_1 through D5_9.

Module E

- E1. **General** – This module asks about the suppliers from whom the respondent buys commodities. The definitions of suppliers are the same as in question D3 (see above for definitions). Probe to ensure that the respondent thinks about all the suppliers of a particular type (i.e., all the smallholder farmers) from whom he/she bought commodities.
- E1_a. **During the [season], were the commodities you bought from ____ (type of supplier from row) usually dry enough for your needs?** – Asks whether the commodities received were generally (usually) dry enough to meet the specifications of those the respondent sold to.
- E1_b. **During the [season] were the commodities you bought from ____ (type of supplier from row) usually clean enough for your needs?** – Asks whether the commodities received were generally (usually) clean enough (i.e., had a low enough percentage of foreign matter and dirt) to meet the specifications of those the respondent sold to.
- E1_c. **How did you usually pay _____ for commodities?** – This question asks only about the mode of payment, not the timing. A respondent may use several modes of payment. Record the most common form used for the particular supplier.

Method of payment codes

- 1 = **Cash** – Refers to cash payment only.
- 2 = **Cheque/voucher** – Refers to any payment that is not cash (and not goods or services) but that represents cash and can be converted to cash.
- 3 = **Goods/in-kind** – Refers to paying for commodities by trading other goods or services rather than using money. For example, a trader might give a farmer agricultural inputs, food, or clothing in exchange for commodities.
- 4 = **Both cash and in-kind** – Pay partially in cash and partially in goods.
- 5 = **Bank transfer** – Automatic wire transfer between banks.

E1_d. **About how many days after receiving the commodities did you usually pay _____?** – Refers to the length of time (in days) after receiving the commodities that the respondent usually pays for them when dealing with each supplier type. If paid in installments, it refers to the number of days until the final payment.

E1_e. **During the [season], what type of credit did you generally give to _____?** – Record the type of credit (if any) the respondent usually gives to each type of supplier.

Type of credit provided codes

- 1 = **Inputs (seed/fertilizer/chemicals/farming implements)** – Refers to the respondent providing agricultural inputs (or implements/tools) before the harvest with an agreement that the farmer will pay for the inputs/tools in cash or in-kind at some later date (usually at harvest time).
- 2 = **Cash** – Refers to the case where the respondent gives cash loans to a supplier. This will usually be advancing cash against the value of the crop that is planted. It is essentially a loan secured by a planted crop.
- 3 = **Both cash and inputs** – Refers to the case where a respondent may provide a combination of “1” and “2” to a particular type of supplier.
- 4 = **None** – Does not give credit to this type of supplier.

E1_f. **What kind of security did you usually require for the loan?** – Refers to the type of security or collateral the respondent requires different types of suppliers to provide when the respondent does give credit.

Security required codes

- 1 = **Assets such as land or livestock** - The respondent accepts or considers land and/or livestock as security or collateral for a loan.
- 2 = **Houses or other buildings** – The respondent accepts or considers houses and other buildings as security or collateral for a loan.
- 3 = **Agreement to pay portion of crop at harvest** – The loan is secured by an agreement to give the respondent a share of the crop when it is harvested.

- 4 = **Agreement to pay cash at harvest** – The loan is secured by an agreement to pay cash at harvest time.
- 5 = **No security required/relationship of trust** – The respondent does not require any type of formal security. The loan is based on a relationship of trust between the respondent and the supplier.
- 6 = **Other** – Any form of security/collateral not mentioned in responses 1 through 5.

E1_g. **How does the quantity you bought from _____ (name of supplier from row) during the [season] compare to the quantity you bought from _____ (supplier) during [previous season]?** – Asks the respondent to compare the quantity purchased from each supplier in the past [season] to the quantity purchased from that type of supplier in the [previous season]. Answer “substantially larger” or “substantially smaller” only if the quantity is at least 10% larger or smaller. Otherwise, answer “about the same”.

- 1 = **Substantially larger** – At least 10% more than in the previous [season].
- 2 = **About the same** – Within 10% of the previous [season]’s quantity.
- 3 = **Substantially smaller** – At least 10% less than in the previous [season].
- 4 = **Not applicable** – Respondent has been in business for less than two years and can’t make a comparison between two years.

E1_h. **What is the most important reason you bought more from _____?** – A respondent may mention several reasons. Probe to identify the most important reason. Many of the responses are related. For example, a respondent may have bought more because a miller he/she buys for wanted more and gave the respondent more money to purchase on the miller’s behalf. This reason could fit responses “2” and “4”. Probe carefully to determine the main reason for buying more. In the example above it would be increased demand from the buyer because this caused the buyer to provide additional funds.

- 1 = **Suppliers had more to sell** – There was more available to buy and the respondent had the resources to buy.
- 2 = **You bought more to meet increased demand from those to whom you sell** – The respondent needed more to meet increased demand from buyers. The respondent might also say that he/she had more contracts to fill.
- 3 = **You faced less competition from other buyers** – This response applies when the respondent was able to buy more because there were fewer other buyers in the market competing for a limited quantity of the commodity.
- 4 = **You had access to more funds to buy commodities** – Refers to the case when the respondent had more money (own or borrowed) to purchase commodities than in the [previous season].
- 5 = **You had access to more storage capacity to hold commodities** – Refers to the case when the respondent had access to greater storage capacity in which to store commodities than in the [previous season]. When selecting this response,

ensure that limited storage capacity was a constraint in the [previous season] and there was not some other (more important) reason for buying less in the [previous season].

- 6 = **You established new relationships with suppliers and expanded your buying area** – Refers to the case where the respondent identified new suppliers and thus gained access to more commodities to buy.
- 7 = **Prices were lower** – Refers to the respondent being able to buy more (with the same amount of money) because prices are lower than in the [previous season].
- 8 = **Other** – Any reason other than those listed in responses 1 through 7.

E1_i. **What is the most important reason you bought less from _____?** – A respondent may mention several reasons. Probe to identify the most important reason.

- 1 = **Suppliers had less to sell** – Suppliers produced less or had less to sell than in the [previous season].
- 2 = **You bought less because those to whom you sell demanded less** – Refers to the case where the respondent could not sell as much as during the [previous season] and therefore bought less.
- 3 = **You faced more competition for the commodities from other buyers** – Refers to the case where the respondent could not buy as much as during the [previous season] because there were more other buyers competing for a limited quantity of commodities or because other buyers bought more. For example, this might be the case in Zambia during a year when the FRA buys a much larger share of the maize harvest than in the [previous season].
- 4 = **Suppliers were selling elsewhere (farmer organizations, warehouses, etc.)** – Refers to the case where farmers are choosing to sell more through farmer organizations or certified warehouses than to traders. This differs from response “3” because it refers to marketing methods rather than to specific types of buyers while response “3” refers to different types of direct buyers. It means that the supplier chooses to sell in a different way than through a trader. The farmer organization or certified warehouse are not “buyers” as such but merely alternative ways for suppliers to market their commodities.
- 5 = **Had access to fewer funds with which to buy commodities** – Refers to the case where the respondent had access to less money (own or borrowed) with which to buy commodities.
- 6 = **Prices were higher** – Refers to the respondent being able to buy less (with the same amount of money) because prices are higher than in the [previous season].
- 8 = **Had access to less storage capacity** – Had less capacity to store purchased commodities and did not want to risk spoilage with inadequate storage.
- 7 = **Other** – Any reason other than those listed in responses 1 through 6 and 8.

Module F

- F1. **General** – This question asks for information about how the respondent sold to different types of buyers.
- F1_1 **Households/ individuals** – Refers to individuals or households no matter where they bought the commodity (e.g., at a local market, directly from the trader, etc.).
- F1_2 **Retail stores** – Refers to sales the respondent made directly to retail stores. Retail stores are stores that sell directly to consumers.
- F1_3 **Millers/brewers/processors** – Refers to sales the respondent made directly to millers, brewers, or processors.
- F1_4 **Traders/warehouse operators/food suppliers** – Refers to sales the respondent made directly to traders, warehouse operators (who will often be traders), or suppliers of food to government institutions.
- F1_5 **Government food reserve agency or government institutions (schools, hospitals, etc.)** – Refers to sales the respondent made directly to a government food reserve or food bank agency (name may be country-specific) or directly to government institutions such as schools, prison, hospitals, etc. This response refers to direct sales to government institutions while “4” above refers to sales to food suppliers who then supply government institutions.
- F1_9 **WFP** – Sales directly to the World Food Programme. Choose this response only if the organization sold directly to WFP.
- F1_6 **International development agencies** – Refers to international, government-sponsored, or government affiliated, development agencies such as USAID, GTZ, DFID, etc. These are not NGOs.
- F1_7 **National/international NGOs** – Refers to non-governmental organizations. NGOs are organizations that are not sponsored by or affiliated with a government. They may receive funding from governments but are not sponsored by or affiliated with government.
- F1_8 **Farmer organizations** – Refers to sales to farmer organizations. For example, a farmer organization may buy from a trader in order to fill out an order if it can’t get all it needs from its members.
- F1_a. **During the [season], did you sell commodities to _____?** – Indicate the different types of buyers the respondent sold to during the [season].
- F1_b. **How does the quantity you sold to _____ (name or buyer from row) during the [season] compare to the quantity you sold during the [previous season]?** – Asks the respondent to compare the quantity sold to each type of buyer in the [season] (i.e., all of the agricultural seasons during the past 12 months) to the quantity sold to each type of buyer in the [previous season] (i.e., all of the agricultural seasons during the 12 months prior to the [season]). Select “substantially more” or “substantially less” only if the quantity was 10% or more more or less. Otherwise, answer “about the same”.

Codes for size of sales

- 1 = **Substantially larger** – At least 10% more than in the previous [season].
- 2 = **About the same** – Within 10% of the previous [season]’s quantity.
- 3 = **Substantially smaller** – At least 10% less than in the previous [season].
- 4 = **Not applicable** – Respondent has been in business for less than two years and can’t make a comparison between two years.

F1_c. **What is the most important reason you sold a larger quantity to _____?** – The respondent may mention several reasons for selling more. Probe for the most important reason.

Reasons for larger sales (codes)

- 1 = **Able to attain higher quality standards** – The respondent was able to achieve higher quality standards (i.e., lower moisture content, lower percentage of foreign matter, small/broken/discolored grains) and thus satisfy the requirements of buyers that he/she could not sell to with lower quality commodities.
- 2 = **Able to buy more of the commodity** – The respondent was able to buy more of the commodity and therefore had more to sell. This refers to a situation where more of the commodity was available on the market, not to a case where the respondent had increased demand from a buyer who financed larger purchases. Response “4” covers this latter situation.
- 3 = **Developed new market relationships** – The respondent had more buyers/markets and was therefore able to sell more.
- 4 = **Increased demand from buyer** – An existing buyer wanted more commodities and the respondent was able to buy more to meet the new demand.
- 5 = **Other** – Any reason other than those mentioned in responses 1 through 4.

F1_d. **What is the most important reason you sold a smaller quantity to _____?** – The respondent may mention several reasons for selling less. Probe for the most important reason.

Reasons for smaller sales (codes)

- 1 = **Not able to satisfy quality requirements** – The respondent was not able to achieve the same quality standards (i.e., lower moisture content, lower percentage of foreign matter, small/broken/discolored grains) as in the [previous season] and therefore could not satisfy the requirements of as many buyers. This reason could also apply if buyers demanded higher quality this [season] than in the [previous season] and the trader could not increase quality to meet the new demand.
- 2 = **Could not buy as much of the commodity** – The respondent was not able to buy as much commodities and therefore had less to sell. This refers to a situation where less of the commodity was available on the market, not to a case where the

respondent had reduced demand from a buyer who financed smaller purchases. Response “3” covers this latter situation.

3 = **Reduced demand from buyer** – Existing buyers wanted less commodities and the respondent therefore sold less.

4 = **Other** – Any reason other than those mentioned in responses 1 through 3.

F1_e. **How does _____ (name or buyer from row) usually pay you?** – Refers to the usual or most common way each type of buyer pays the respondent for commodities.

Payment method (codes)

1 = **Cash** – Refers to cash payment only.

2 = **Cheque/voucher** – Refers to any payment that is not cash (or goods or services) but that represents cash and can be converted to cash.

3 = **Bank transfer** – Automatic wire transfer between banks.

4 = **Goods/in-kind** – Refers to paying for commodities by trading other goods or services rather than using money. For example, a trader might give a farmer agricultural inputs, food, or clothing in exchange for commodities.

5 = **Other** – Any other payment method not included in codes 1 through 4

F1_f. **About how many days after you delivered the commodity did _____ (name of buyer from row) usually pay you?** – Refers to the average number of days between when the respondent delivers commodities to each type of buyer and when the respondent receives payment for the commodity. In cases where a buyer pays in installments, this is the date of the final payment.

Module G

G1. ***General***

G1_1 **Publicly available market information (e.g., radio/TV, commodity exchange, SMS, newspapers, information boards at agricultural offices, etc.)** – Refers to any publicly available sources of price or other marketing information.

G1_2 **Personal knowledge of market (e.g., talking with other traders/buyers, friends, etc.)** – Refers to personal knowledge based on communication with market actors and others.

G1_3 **Price set by the buyer you sold to** – Refers to the case where the buyer set or dictated the price with no negotiation with the trader.

G1_4 **Extension workers/warehouse operators** – Refers to government agricultural extension workers or warehouse operators (private sector or public sector).

G1_5 **Food reserve agency floor price** – Refers to the publicly announced price of the government food reserve agency. If the country has a food stock agency, use the name of that agency in this question.

G1_6 **Other** – Any sources other than those listed in responses G1_1 through G1_5.

G1_a. **During the [season], what sources of information did you use to determine the price at which you sold commodities?** – Record all sources the respondent mentions using. Probe to make sure the respondent actually used the information rather than just being aware of it.

G1_b. **Was this information useful in setting prices at which you sold?** – For each source of information, record whether the respondent actually found the information useful in setting prices or making other decisions about when, how, whether, where, or from/to whom to buy or sell commodities.

G2. **What is the public source of price information you relied on most often?** – Record the source of information the respondent found most useful and relied on most for decision making.

G2. Public market information sources (codes)

1 = **Radio/TV** – Information obtained from radio or TV broadcasts.

2 = **Information boards at local agricultural offices** – Boards with prices posted at local agricultural offices.

3 = **Newspapers** – Information obtained from newspapers.

4 = **SMS system/mobile phone** – Information obtained by SMS on a mobile phone or by calling a phone number to receive market information.

5 = **Other** – Any other source of information not included in codes 1 through 4

G3_a/b. **In your opinion, what are the two things that have the most potential to negatively affect your business?** – Refers to the factors that represent the greatest risk to the financial performance of the respondent's trading business. Prompt for the two most important.

G3. Codes for business risks

1 = **Limited own capital/cash flow** – Refers to limited access to cash to buy commodities or manage other business functions.

2 = **Limited access to credit** – Refers to limited access to credit to buy commodities or manage other business functions.

3 = **Unreliable electricity** – Unreliable electricity to run the business (e.g., lights, machinery, etc.).

4 = **Unpredictable prices** – Risks caused by unpredictable prices that may cause losses between buying and selling.

- 5 = **Security/corruption** – Refers to risks to personal safety, safety of employees, risks associated with theft of commodities or money, or corruption that makes it difficult to access particular markets or buyers.
- 6 = **High cost of/unreliable supply of inputs** – Refers to the risks associated with unreliable input supplies (either because of availability or cost). This may affect production, and therefore indirectly affect the quantity of commodities available to buy. It may also affect the respondent’s ability to provide inputs to suppliers.
- 7 = **Taxes/fees** – High taxes or fees associated with operating a trading business.
- 8 = **Late/no payment from buyers** – Refers to constraints imposed by the time it takes to receive payment from buyers or the risks associated with buyers not paying at all.
- 9 = **Transportation costs** – Refers to high or unpredictable/rising transportation costs.
- 10 = **Limited markets/market access** – Refers to situations where there may be few buyers or opportunities to sell. It may also refer to cases where other constraints, such as not having access to transportation limit access to markets.
- 11 = **Other** – Any reason other than those listed in responses 1 through 10.

G4. **Do you have any insurance to cover loss or damage to your commodities?** – Refers to insurance that will reimburse the respondent (fully or partially) for any losses or damage to commodities during transportation or storage.

G5. **Have you ever stored commodities in a warehouse that gave you a receipt that you could sell, trade, or use as security for a loan?** – This question refers to a warehouse receipt system. The main elements of this system are that 1) the warehouse gives a trader a receipt to record the trader’s commodities stored in the warehouse, 2) the receipt certifies the quantity and quality of the stored commodity, and 3) the trader can use the receipt as collateral or security for a loan. To answer “yes” to this question, the warehouse must offer the receipt and the trader must be able to use the receipt as security for a loan.

G6. **What was the most important reason you chose to use such a warehouse?**

Reasons for using warehouse (codes)

- 1 = **Ability to borrow money against stored commodities** – The ability to access cash without selling the commodity.
- 2 = **Certification of quantity and quality** – Less risk to respondent because quantity and quality are certified and insured by the warehouse operator.
- 3 = **More attractive to buyers (i.e., more assurance of quality and quantity)** – Buyers are more comfortable because the warehouse certifies the quantity and quality of the commodities.

- 4 = **Buyers pay better prices for commodities stored in warehouse** – Buyers are willing to pay better prices because they face less risk, i.e., are more assured of quantity and quality.
- 5 = **Larger market/attract more buyers** – The warehouse attracts buyers and gives the respondent access to more buyers than he/she would have otherwise.
- 6 = **Other** - Any reason other than those listed in responses 1 through 5.

G7. **What was the most important reason you did not use such a warehouse?** – The respondent may mention several reasons. Probe for the most important.

Reasons for not using such a warehouse (codes)

- 1 = **Do not have access to such a warehouse** – No warehouses available where the respondent works or they are too difficult to get to physically,
- 2 = **The costs to use the warehouse are too high** – Warehouses are available in areas where the respondent works but the costs of using the warehouse is too high relative to the benefits.
- 3 = **Do not need such a warehouse to reach markets** – The respondent sells enough without using the warehouse.
- 4 = **Other** – Any other reason not mentioned in codes 1 through 4

G8. **During the [season], did you sell any commodities directly through a commodity exchange using a broker?** – This question is relevant only in countries that have a commodity exchange. Other countries may delete this question. Refers to using a broker to sell on the exchange.

G9. **During the [season], what quantity of commodities did you sell through a commodity exchange? (mt)** – This question is relevant only in countries that have a commodity exchange. Countries for which this question is not applicable should enter (perhaps pre-fill) missing value codes for this question. Metric tonnes may not be the relevant measure in all countries. Country offices may change the units if necessary but should document the change in their M&E reports. List up to three commodities.

G10. **What were the most important reasons you chose to sell through the exchange?** – This question is relevant only in countries that have a commodity exchange. Write in the response as close as possible to verbatim.

G11. **What were the most important reasons you chose not to sell through the exchange?** – This question is relevant only in countries that have a commodity exchange. Write in the response as close as possible to verbatim.

G12. **Have you ever sold commodities through a competitive tender?** – Refers to participating and winning a competitive tender. This may be any sort of competitive tender issued by any buyer. A competitive tender is a situation where the trader responds to a request from a buyer for a specified quantity of a commodity and the trader competes against others offering the commodity by stating the price at which he or she will sell.

- G13. **Has the price you have to pay for commodities changed much over the past three years?** – This question attempts to determine whether there has been any trend in the price at which the respondent buys commodities. A trend is a longer-term shift in prices rather than a short-term change brought about by supply and demand conditions in a single year. “Much” refers to a change that is more than the general change in prices of other goods.
- G14. **Has the price you receive for commodities you sell changed much over the past three years?** – This question attempts to determine whether there has been any trend in the price at which the respondent sells commodities. The interpretation of a trend is the same as in question G13.
- G15. **How has the difference between what you pay for commodities and what you sell them for changed over the past three years?** – This question asks whether the margin between the price at which the respondent buys commodities and the price at which the respondent sells commodities has changed much over the past three years. As with the previous two questions, it is asking about a trend, not a short-term change.
- 1 = **Significantly larger**– (at least 10% more).
- 2 = **About the same** – up to 10% more or less.
- 3 = **Significantly smaller** – (at least 10% less).
- G16. **What has changed that made the difference larger/smaller?** – Asks about the most important factors that have affected the margin between buying and selling prices that question G15 asks about.
- G17. **Over the past several years, have you made significant changes in how and where you buy and sell commodities? If so, how and why?** - Write in the response as close as possible to verbatim.

APPENDIX A – VARIABLE FORMATS

This appendix defines numeric formats for the variables in the three data collection instruments. Each variable format is denoted as “X.x” where “X” is the number of places before the decimal point and “x” is the number of places after the decimal point. For example, a variable with a format of 1.0 is a single-digit integer. A variable with a format of 9.0 is an integer with units in 100,000,000. A variable with a format of 3.2 is measured in hundreds with accuracy to two decimal points.

The following tables contain formats for the farmers’ organization, smallholder farmer, and trader questionnaires, respectively.

In cases where an entire row or column of a table in the questionnaires collects the same data (e.g., an entire column collects data on the monetary cost of seed), the tables of variable formats tables cite only the row or column reference.

Variable Formats for the P4P Farmers' Organization Survey Data

Variable reference	Numeric format	Variable reference	Numeric format	Variable reference	Numeric format
A1	4.0	A19	2.0	C6_b	2.0
A2_a	6.0	B1	2.0	C6_c	2.0
A2_b	6.0	B2_a	2.0	C7_a	3.0
A2_c	6.0	B2_b	2.0	C7_b	2.0
A2_d	3.0	B2_c	2.0	C7_bb	4.0
A3	9.0	B2_d	5.0	C7_c	2.0
A4	9.0	B2_e	2.0	C7_d	2.0
A5_a	4.0	B2_f	5.0	C7_e	5.0
A5_b	4.0	B2_g	2.0	C7_f	9.0
A6	2.0	B3_a	2.0	C7_g	9.0
A7	2.0	B3_b	2.0	C7_h	2.0
A8	2.0	B4	2.0	C8_a	2.0
A9	2.0	B5	2.0	C8_b	2.0
A9.1	2.0	C1_a	3.0	C8_c	2.0
A9.2	2.0	C1_b	5.0	C9	2.0
A10	2.0	C1_c	2.0	C10	3.0
A11	2.0	C1_d	5.0	C11	2.0
A12_a	2.0	C1_e	5.0	C12	2.0
A12_b	4.0	C1_f	2.0	C13	2.0
A12_c	9.0	C1_g	5.0	C14	2.0
A12_d	9.0	C1_h	2.0	C15_a	3.0
A12_e	2.0	C1_i	2.0	C15_b	4.0
A13	2.0	C1_j	2.0	C15_c	2.0
A14	2.0	C1_k	2.0	C15_d	2.0
A15	2.0	C1_l	2.0	C15_e	5.0
A16_a	2.0	C2	2.0	C15_f	2.0
A16_b	2.0	C3	2.0	C15_g	2.0
A16_c	2.0	C4_a	4.0	C16	2.0
A16_d	2.0	C4_b	2.0	C17_a	2.0
A17	2.0	C5	9.0	C17_b	2.0
A18_a	2.0	C6_a	2.0	C18	2.0
A18_b	2.0				

Variable Formats for Smallholder Farmer Survey Data					
Variable reference	Numeric format	Variable reference	Numeric format	Variable reference	Numeric format
A1_a	2.0	B11_a	3.0	D2_d	9.0
A1_b	2.0	B11_b	5.0	D2_e	4.0
A1_c	2.0	B11_c	2.0	D2_f	4.0
A1_d	2.0	B11_d	5.0	D2_g	9.0
A2_a	2.0	B11_e	2.0	D2_h	2.0
A2_b	2.0	B11_f	9.0	D2_i	9.0
A2_c	2.0	B11_g	2.0	D2_j	9.0
A2_d	2.0	B11_h	9.0	D2_k	9.0
A2_e	2.0	B11_i	2.0	E1_a	3.0
A2_f	2.0	B11_j	3.0	E1_b	2.0
A2_g	2.0	B11_k	3.0	E1_c	9.0
A2_h	3.0	B12_a	3.0	E1_d	2.0
B1_a	5.2	B12_b	3.0	E1_e	9.0
B1_b	2.0	B12_c	3.0	E2	2.0
B2	2.0	B12_d	3.0	E3	3.0
B3_a	2.0	B12_e	3.0	E4	2.0
B3_b	2.0	B12_f	3.0	E5	2.0
B4_a	2.0	B12_g	2.0	E6	2.0
B4_b	2.0	B12_h	2.0	F1	2.0
B5	2.0	B12_i	2.0	F2_a	2.0
B6_a	2.0	B12_j	2.0	F2_b	9.0
B6_b	2.0	B12_k	2.0	F2_c	9.0
B7_aa	1.0	B12_l	2.0	F2_d	2.0
B7_a	3.0	B12_m	2.0	F2_e	2.0
B7_b	2.0	B12_n	2.0	F2_f	2.0
B7_c	3.2	B12_o	2.0	G1	9.0
B7_d	2.0	B12_p	3.0	G2	9.0
B7_e	5.3	B12_q	3.0	G3	9.0
B7_f	2.0	B12_r	3.0	H1	3.0
B7_g	5.0	B12_s	3.0	I1_1	2.0
B7_h	5.0	B12_t	3.0	I1_2	2.0
B7_i	9.0	B12_u	2.0	I1_3	2.0
B7_j	5.0	B12_v	2.0	I2	2.0
B7_k	5.0	B12_w	2.0	I3	2.0
B7_l	9.0	B12_x	2.0	I4_a	5.0
B7_m	9.0	B12_y	2.0	I4_b	1.0
B7_n	9.0	B12_z	2.0	I5	2.0
B7_o	2.0	B13_a	2.0	I6	2.0
B7_p	4.2	B13_b	2.0	I7	2.0
B7_q	9.0	B14_a/b	2.0	J1	2.0
B7_r	4.2	B15	2.0	J2_name	text (35 chars)
B7_s	9.0	B16	2.0	J2_a	2.0
B7_t	2.0	C1	2.0	J2_b	2.0
B7_u	3.0	C2_a	3.0	J2_c	2.0
B7_v	3.0	C2_b	text (25 chars)	J2_d	4.0
B7_w	3.0	C2_c	5.0	J2_e	3.0
B7_x	3.0	C2_d	2.0	J2_f	2.0
B8	2.0	C2_e	5.0	J2_g	2.0
B9	9.0	C2_f	2.0	J2_h	2.0
B10_a	5.0	C2_g	2.0	J2_i	2.0
B10_b	2.0	D1	2.0	J2_j	2.0
B10_c	5.0	D2_a	3.0	J2_k	2.0

Variable Formats for Smallholder Farmer Survey Data					
Variable reference	Numeric format	Variable reference	Numeric format	Variable reference	Numeric format
B10_d	9.0	D2_b	4.0		
B11_aa	1.0	D2_c	4.0		

Variable Formats for Trader Survey Data

Variable reference	Numeric format	Variable reference	Numeric format	Variable reference	Numeric format
A1	2.0	A10	2.0	D5 (all rows/cols)	3.0
A2	2.0	A11	2.0	E1_a	2.0
A3	text (35 chars)	B1_1	text (35 chars)	E1_b	2.0
A4_1	2.0	B1_2	text (12 chars)	E1_c	2.0
A4_2	text (35 chars)	B1_3	text (50 chars)	E1_d	2.0
A4_3	4.0	B2	3.0	E1_e	2.0
A4_4	2.0	B3	2.0	E1_f	2.0
A5_a	4.0	B4_1	2.0	E1_g	2.0
A5_b	4.0	B4_2	2.0	E1_h	2.0
A6	2.0	B5_a	5.0	E1_i	2.0
A7	2.0	B5_b	2.0	F1_a	2.0
A8_a	2.0	B5_c	5.0	F1_b	2.0
A8_b	2.0	C1 (all rows)	2.0	F1_c	2.0
A8_c	2.0	C2	2.0	F1_d	2.0
A8_d	2.0	C3	2.0	F1_e	2.0
A8_e	2.0	C4	2.0	F1_f	2.0
A8_f	2.0	C5	2.0	G1_a	2.0
A8_g	2.0	C6_1	2.0	G1_b	2.0
A8_h	2.0	C7_a	5.0	G2	2.0
A8_i	2.0	C7_b	2.0	G3_a	2.0
A8_j	2.0	C7_c	5.0	G3_b	2.0
A8_k	2.0	C8	2.0	G4	2.0
A8_l	2.0	C9_a (all rows)	2.0	G5	2.0
A9_a	2.0	C9_b (all rows)	2.0	G6	2.0
A9_b	2.0	C10	2.0	G7	2.0
A9_c	2.0	C11	2.0	G8	2.0
A9_d	2.0	C12 (all rows)	2.0	G9_a	3.0
A9_e	2.0	D1	3.0	G9_b	5.0
A9_f	2.0	D2_1	5.0	G10	text
A9_g	2.0	D2_2	2.0	G11	text
A9_h	2.0	D2_3	5.0	G12	2.0
A9_i	2.0	D3 (all rows/cols)	3.0	G13	2.0
A9_j	2.0	D4_1	5.0	G14	2.0
A9_k	2.0	D4_2	2.0	G15	2.0
A9_l	2.0	D4_3	5.0		