

Annex IV

Baseline household survey

SECTION 1: Introduction and consent

1.1	District	
1.2	Village	
1.3	Lat	
1.4	Long	
1.5	Elevation	
1.6	Survey No	
1.7	Date of interview	
1.8	Interviewers names	
1.9	Data Entry Clerk/s	

Good morning/afternoon. We are coming from [organization name] with permission from [local government].

We are conducting a survey looking at the role of [target crops – see table below] for income, nutrition and adaptation to weather changes. We would like to ask you some questions that should take no more than one and half hours of your time.

We would like to share some of the information collected so more people understand the needs to strengthen income, nutrition and climate change adaptation in your region, and particularly how to support the role of [the target crops] in strengthening livelihoods. Any information collected will be shared anonymously, without your name, and grouped with the results of other farmers being surveyed.

We ideally will have two respondents for the survey a man and a woman responsible for decision making in the household. We would prefer to speak to the heads of household – man and woman.

	Mali	India	Guatemala
Target Crop 1	Fonio	Kodo millet	Phaseolus
Target Crop 2	Bambara Groundnut	Little millet	Chaya
Target Crop 3	Vegetable TBD	Vegetable TBD	TBD

1.10	Consent given? Y /N	
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SECTION 2: Basic household information

2.1 Details on the members of the household:

What are the age and gender of all members of the household?
 What are their levels of education (number of years schooling)?
 Which members are currently in school?
 Which members contribute an income to the household?
 Which members are available to help on the farm, for how many months per year?

2.1.1	Household members	Gender	Age/ Year of Birth	# Years of School	Enrolled in school this year? (check)	Income earner? (check)	# Months/yr available to help on farm
	H1 HOH	Male					
	H2 HOH	Female					
	H3						
	H4						
	H5						
	H6						
	H7						
	H8						
	H9						
	H10						
	H11						
	H12						
	H14						
	H15						
	H16						
	H17						
	H18						
	H19						
	H20						
2.1.2	Household type: <i>MW= Male headed with a wife or wives</i> <i>MH= Male headed, divorced, single or widowed</i> <i>WH= Female headed, divorced single or widowed</i> <i>MA= Female headed husband away, husband makes most agricultural/HH decisions</i> <i>FD= Female headed, husband away, female makes most agricultural/HH decisions</i> <i>CH= Child headed/orphan</i> <i>OH= Other</i>						
2.1.3	Ethnicity/Caste [Codes to be defined in each country]						

2.2 Details on the respondents:

We would like to have two respondents: a man and a woman responsible for decision making in the household, ideally the male and female heads of household. One respondent is acceptable if a suitable decision maker not available to represent one gender.

	Male respondent	Female respondent
Name		
Code (from table above)		
If not HOH, relationship to HOH 1 = <i>Husband/Wife</i> 2 = <i>Father/Mother</i> 3 = <i>Child</i> 4 = <i>Son in law/Daughter in law</i> 5 = <i>Nephew/Niece</i> 6 = <i>Grandchild</i> 7 = <i>Brother/Sister</i> 8 = <i>Other related</i> 9 = <i>Other unrelated</i>		

2.3 Country-specific questions (linked to PPI index)

India	Guatemala	Mali	Response
2.3.1i What is the household type? 1 = <i>Labour (agricultural, casual, other)</i> 2 = <i>Self-employed (agriculture or non-agriculture),</i> 3 = <i>Regular wage/salary-earning or others</i>	2.3.1g Can the female head/spouse read and write? 1 = <i>Yes</i> 2 = <i>No</i> 3 = <i>No female head/spouse</i>	2.3.1m How many members of the household usually work as their main occupation in agriculture, animal husbandry, fishing, or forestry? 1= <i>One or none</i> 2 = <i>Two</i> 3= <i>Three or more</i>	
	2.3.2g Does any household member work mainly in agriculture, animal husbandry, hunting or fishing, 1 = <i>Yes</i> 2 = <i>No</i> 3 = <i>No one works mainly in agriculture</i>		
	2.3.3g Do any household members work mainly as casual labourers or domestic workers? 1 = <i>Yes</i> 2 = <i>No</i>		

SECTION 3: Farm Details and Sources of Livelihood Security (MAN TO ANSWER)

3.1 Land profile corresponding to last 12 months of production

	Land	Area
3.1.0	Land unit of measurement	
3.1.1	Total Land Available	
Tenure		
3.1.2	Owned, including land rented out to others	
3.1.3	Rented/Leased (for own use)	
3.1.4	Communal land used for cultivation	
3.1.5	Communal land used for grazing	
Land Use		
3.1.6	Rented out	
3.1.7	Rainfed cultivation	
3.1.8	Irrigated cultivation	
3.1.9	Home garden	
3.1.10	Grassland/rangeland	
3.1.11	Permanent fallow/degraded	
3.1.12	Forest	
3.1.13	Pond	
Fragmentation		
3.1.14	Number of parcels	
3.1.15	How far to walk between most distant parcels?	

NOTE: can define other land types relevant to study area (e.g. sloping land)

3.3 Does the household process/add-value to any crops before sale? Which type of products are made?

Crop species	Product [insert coded list]

3.5 Livestock

Animal Type	# Owned	Income earned 1= yes
Cows		
Calves		
Bulls		
Oxen		
Goats		
Sheep		
Pigs		
Chickens		
Rabbits		
Fish		
Horses		
Burros		
Mules		
[Insert country-specific list]		

3.6 Do you sell any of the following livestock products from your own production in last 12 months?

Product	Income earned 1= yes
Milk: cow	
Milk: sheep/goat	
Butter	
Yoghurt	
Cheese	
Meat: cow	
Meat: sheep/goat	
Meat: chicken	
Meat: pig	
Fish	
Eggs	
Wool	
Honey	
Other	
[Insert country-specific list]	

3.7 Other important livelihood activities based on farm, woods and rivers in last 12 months?

Income source	Income earned 1= yes
Wild plant gathering	
Timber	
Fuel wood	
Charcoal	
Manure/compost production	
Fishing	
[Insert country specific list]	
Other (specify)	

3.8 Off-farm income. Did you receive income from following in last 12 months (check):

Income source	Income earned 1= yes
Employment on someone else's farm	
Other paid employment, business	
Remittances or gifts	
Payments for environmental services	
Payment from projects/government	
Loan/credit	
Renting machinery or animals	
Renting out land	
[Insert country specific list]	
Other (specify)	

3.9 Most important livelihood sources

What are your most important sources of income? (list a maximum of 5 sources)	
How important is [target crop 1] for your household income? <i>0 = no importance, no income gained</i> <i>1 = minor importance</i> <i>2 = medium importance</i> <i>3 = major importance</i>	
How important is [target crop 2] for your household income? <i>0 = no importance, no income gained</i> <i>1 = minor importance</i> <i>2 = medium importance</i> <i>3 = major importance</i>	
How important is [target crop 3] for your household income? <i>0 = no importance, no income gained</i> <i>1 = minor importance</i> <i>2 = medium importance</i> <i>3 = major importance</i>	

SECTION 4: Physical Assets

4.1 Wealth indicators (PPI index)

Mali	India	Guatemala	Response
4.1.1m What is the main construction material of the roof of the residence? <i>1= Tile or thatch 2= Mud, corrugated metal sheets, concrete or other</i>	4.1.1i Does the household possess any casseroles, thermos or thermaware? <i>1= Yes 2= No</i>	4.1.1g What is the main construction material of the residence's floors? <i>1= Parquet, granite, or ceramic 2= Formed cement bricks 3= Mud bricks or cement slab 4= Earth, sand wood or other</i>	
4.1.2m What is the main construction material of the walls of the residence? <i>1= All cement 2= Partly cement or other</i>	4.1.2i What is the primary source of energy for cooking? <i>1= LPG or electricity 2= Firewood and chips, dung cake, kerosene, charcoal, coke or coal, gobar gas, or others 3= No cooking arrangement</i>	4.1.2g Does the household have a refrigerator? <i>1= Yes 2= No</i>	
4.1.3m What is the households main source of drinking water? <i>1= Faucet tap 2= Public pump 3= Modern well 4= Surface water, non-modern well, drilled well or others</i>	4.1.3i Does the household possess a mobile handset and a telephone instrument (landline)? <i>1= Yes, a landline, regardless of mobile 2= Yes, only a mobile 3= No, neither one</i>	4.1.3g Does the household have a gas or electric stove? <i>1= Yes 2= No</i>	
4.1.4m What toilet arrangements does the household have? <i>1= Latrine or flush toilet 2= Others</i>	4.1.4i Does the household possess a television and a VCR/DVD/VCD player? <i>1= Yes, both 2= Yes, only one 3= No neither one</i>	4.1.4g Does the household have a stone mill? <i>1= Yes 2= No</i>	
4.1.5m Does the household own any television sets? <i>1= Yes 2= No</i>	4.1.5i Does the household possess an almirah/dressing table? <i>1= Yes 2= No</i>	4.1.5g Does the household have an electric iron? <i>1= Yes 2= No</i>	

Mali	India	Guatemala	Response
4.1.6m Does the household own any radios? 1= Yes 2= No	4.1.6i Does the household possess a sewing machine? 1= Yes 2= No		
4.1.7m Does the household own any irons? 1= Yes 2= No	4.1.7i Does the household possess a bicycle, motorcycle/scooter or motor car/jeep? 1= <i>Motorcycle scooter but no car</i> 2= <i>Motor car/jeep</i> 3= <i>Yes, bicycle only</i> 4= <i>No, none</i>		
4.1.8 Does the household own any motorbikes? 1= Yes 2= No			

4.2 Assets related to agriculture and the target crops

4.2.1	Do you own any of the following assets: [insert list of tools relevant to processing and value addition of target crops]	
4.2.2	Do you have access to irrigation? [insert list of irrigation system types relevant to Project area]	
4.2.3	Do you hire agricultural labourers to assist with farm work? 1= Yes 2= No	

SECTION 5: Roles in Production of Target Crops and Social Assets (WOMAN TO ANSWER)

5.1. Roles of household in production of [target crop 1]

5.1.1	Indicate the household member with the following roles in production of [target crop 1] Indicate precise household member using codes from question 2.1.1		
	Activity	Performs work	Decides how, when or who to perform task?
	Land preparation		
	Planting		
	Manuring		
	Weeding		
	Crop protection		
	Irrigation		
	Harvesting		
	[Insert crop specific list for processing activities]		
	[Insert crop specific list for value addition activities]		
	Marketing		
5.1.2	Which household member receives the cash from selling [target crop 1]?		
5.1.3	Who decides on how to use the cash from [target crop 1]?		

5.2. Roles of household in production of [target crop 2]

5.2.1	Indicate the household member with the following roles in production of [target crop 2] Indicate precise household member using codes from question 2.1.1		
	Activity	Performs work	Decides how, when or who to perform task?
	Land preparation		
	Planting		
	Manuring		
	Weeding		
	Crop protection		
	Irrigation		
	Harvesting		
	[Insert crop specific list for processing activities]		
	[Insert crop specific list for value addition activities]		
	Marketing		
5.2.2	Which household member receives the cash from selling [target crop 2]?		
5.2.3	Who decides on how to use the cash from [target crop 2]?		

5.3. Roles of household in production of target crop 3

5.2.1	Indicate the household member with the following roles in production of [target crop 2] Indicate precise household member using codes from question 2.1.1		
	Activity	Performs work	Decides how, when or who to perform task
	Land preparation		
	Planting		
	Manuring		
	Weeding		
	Crop protection		
	Irrigation		
	Harvesting		
	[Insert crop specific list for processing activities]		
	[Insert crop specific list for value addition activities]		
	Marketing		
5.2.2	Which household member receives the cash from selling [target crop 2]?		
5.2.3	Who decides on how to use the cash from [target crop 2]?		

5.4 Indications of women's empowerment

5.4.1	Does any member of your household participate in community or local institutions?		
	Does any member of your household have a leadership role in any community or local institution?		
		Participating Household members (codes from question 2.1.1)	Household members with leadership role (codes from question 2.1.1)
	Institution		
	[insert list of institutions identified in FGD or country specific list]		
5.4.2	Does any member of your household have access to credit? From which source?	Household members (codes from question 2.1.1)	Credit Source [insert coded list]
5.4.3	How would you rate your availability of leisure time? 1= Very poor, very little free time 2= Poor 3= Satisfactory 4= Good 5= Excellent		

SECTION 6: Food security and diet quality (WOMAN TO ANSWER)

6.1 Household Food Insecurity Access Scale (HFIAS)

Each of the questions in the following table is asked with a recall period of four weeks (30 days). The respondent is first asked an occurrence question – that is, whether the condition in the question happened at all in the past four weeks (yes or no). If the respondent answers “yes” to an occurrence question, a frequency-of-occurrence question is asked to determine whether the condition happened rarely (once or twice), sometimes (three to ten times) or often (more than ten times) in the past four weeks.

Example:

In the past four weeks, did you worry that your household would not have enough food?

0 = No (skip to Q2) 1 = Yes 1.a.

How often did this happen?

1 = Rarely (once or twice in the past four weeks) 2 = Sometimes (three to ten times in the past four weeks) 3 = Often (more than ten times in the past four weeks)

		Yes/No	How Often? 1 = rarely (once or twice) 2 = sometimes (three to ten times) 3 = often (more than ten times)
6.1.1	In the past four weeks, did you worry that your household would not have enough food?		
6.1.2	In the past four weeks, were you or any household member not able to eat the kinds of foods you preferred because of a lack of resources?		
6.1.3	In the past four weeks, did you or any household member have to eat a limited variety of foods due to a lack of resources?		
6.1.4	In the past four weeks, did you or any household member have to eat some foods that you really did not want to eat because of a lack of resources to obtain other types of food?		
6.1.5	In the past four weeks, did you or any household member have to eat a smaller meal than you felt you needed because there was not enough food?		
6.1.6	In the past four weeks, did you or any household member have to eat fewer meals in a day because there was not enough food?		
6.1.7	In the past four weeks, was there ever no food to eat of any kind in your household because of lack of resources to get food?		
6.1.8	In the past four weeks, did you or any household member go to sleep at night hungry because there was not enough food?		
6.1.9	In the past four weeks, did you or any household member go a whole day and night without eating anything because there was not enough food?		

6.2 Annual food security assessment

In the past 12 months did your household (check the months that apply):

		Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
6.2.1	Experience food insufficiency?												
6.2.2	Access food aid?												

6.3 Dietary Diversity Questionnaire

6.3.1 The following questions are directed specifically to the female respondent, considering only what she consumed:

Please describe the foods (meals and snacks) that you ate or drank yesterday during the day and night, whether at home or outside the home.

Start with the first food or drink of the morning. Write down all foods and drinks mentioned. When composite dishes are mentioned, ask for the list of ingredients. When the respondent has finished, probe for meals and snacks not mentioned.

Breakfast	Snack	Lunch	Snack	Dinner	Snack

6.3.2	Did you eat anything (meal or snack) OUTSIDE the home yesterday? 1= Yes 2=No	
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6.3.3 When the respondent recall is complete, the enumerator is to fill in the food groups based on the information recorded above in section 6.3.1. For any food groups not mentioned, ask the respondent if a food item from this group was consumed.

Food Group	Example	Yes = 1 No =0
Cereals	bread, noodles, biscuits, cookies or any other foods made from millet, sorghum, maize, rice, wheat + insert local foods available grains e.g. ugali, nshima, porridge or pastes or other locally available cereal foods	
Vitamin A rich vegetables and tubers	pumpkin, carrot, squash, or sweet potato that are orange inside + other locally available vitamin A rich vegetables (e.g. red sweet pepper)	
White roots and tubers	white potatoes, white yams, cassava, or foods made from roots	
Dark green leafy vegetables	dark green leafy vegetables, including wild forms + locally available vitamin A rich leaves such as amaranth, cassava leaves, kale, spinach	
Other vegetables	other vegetables (e.g. tomato, onion, eggplant) + other locally available vegetables, including from the wild	
Vitamin A rich fruits	ripe mango, cantaloupe, apricot (fresh or dried), ripe papaya, dried peach, and 100% fruit juice made from these + other locally available vitamin A rich fruit	
Other fruits	other fruits, including wild fruits and 100% fruit juice made from these	
Organ mean (iron rich)	liver, kidney, heart or other organ meats or blood-based foods	
Flesh meats	beef, pork, lamb, goat, rabbit, wild game, chicken, duck, or other birds	
Eggs	eggs from chicken, duck, guinea fowl or any other egg	
Fish and seafood	fresh or dried fish or shellfish	
Legumes	beans, peas, lentils or food made from these	
Nuts and seeds	nuts, seeds or foods made from these	
Milk and milk products	milk, cheese, yogurt or other milk products	
Oils and fats	oil, fats or butter added to food or used for cooking	
Sweets	sugar, honey, sweetened soda or sweetened juice drinks, sugary foods such as chocolates, candies, cookies and cakes	
Spices, condiments, beverages	spices (black pepper, salt), condiments (soy sauce, hot sauce), coffee, tea, alcoholic beverages	
Insects	termites, grass-hoppers, silk worm, larvae	
Did you eat anything (meal or snack) OUTSIDE the home yesterday?		

6.4 Consumption of target crops

How often do you typically consume the target crops? Are there seasonal differences? How is the crop prepared?

6.4.1 Target crop 1

Season (Months)	Crop consumed every # days <i>e.g. 1 = Every day</i> <i>2= Every other day</i> <i>3.5 = Twice a week</i> <i>7= Once a week</i> <i>14= Once every two weeks</i> <i>21 = Once every three weeks</i> <i>30= Once a month, etc.</i>	How prepared [insert coded list of recipes]

6.4.2 Target crop 2

Season (Months)	Crop consumed every # days <i>e.g. 1 = Every day</i> <i>2= Every other day</i> <i>3.5 = Twice a week</i> <i>7= Once a week</i> <i>14= Once every two weeks</i> <i>21 = Once every three weeks</i> <i>30= Once a month, etc.</i>	How prepared [insert coded list of recipes]

6.4.3 Target crop 3

Season (Months)	Crop consumed every # days <i>e.g. 1 = Every day</i> <i>2= Every other day</i> <i>3.5 = Twice a week</i> <i>7= Once a week</i> <i>14= Once every two weeks</i> <i>21 = Once every three weeks</i> <i>30= Once a month, etc.</i>	How prepared [insert coded list of recipes]

SECTION 7: ADAPTIVE PRACTICES (BOTH MAN AND WOMAN TO ANSWER)

7.1 Information about climate change

		Man response	Woman response
7.1.1	Have you received any information regarding changing patterns in the weather (climate change)? 1 = Yes 2 = No 3 = I don't know		
7.1.2	Where do you get the information? [Insert list of information sources]		

7.2 Information about adaptive farming practices for climate change

		Man response	Woman response
7.2.1	Have you received any information regarding how to adapt your farming practices to changes in the weather? 1 = Yes 2 = No 3 = I don't know		
7.2.2	Where do you get the information? [Insert list of information sources]		

7.3 Information about the role of traditional crops in climate change adaptation

		Man response	Woman response
7.3.1	Have you received any information regarding the role of traditional crops or varieties, including [the target crops] but also old varieties of [staple crops] in climate change adaptation? 1 = Yes 2 = No 3 = I don't know		
7.3.2	Where do you get the information? [Insert list of information sources]		

7.4 Have you received seed from the following sources in the past 3 years (read options):

	Man response	Woman response
Own stock		
Other farmer in the community – related		
Other farmer in the community – not related		
Community Seed Bank		
Market place		
Farmer in another community - related		
Farmer in another community – not related		
Relief agency		

Government agency		
Private seed company		
[Insert country-specific list]		
Other (specify)		

7.5 Have you shared seed with the following in the past 3 years (read options):

	Man response	Woman response
Other farmer in the community – related		
Other farmer in the community – not related		
Farmer in another community - related		
Farmer in another community – not related		
Community Seed Bank		
Other (specify)		

7.6 What changes have you made in the way you manage your land crops and farm animals in the last 3 years?

7.6.1 Have you made any changes in the crop species on your farm in the last three years? Specifically have you (read options):

	Crop Code
Introduced new crop species	
Testing a new crop species you are still unsure about	
Stopped growing a crop entirely	
Stopped growing a crop in one season	
Expanded area to a crop	
Reduced area to a crop	

7.6.2 Have you made changes in the crop varieties grown on your farm in the last 3 years, specifically have you (read options)?

	Crop Code
Stopped using a variety	
Introduced a new variety of crop, if yes what were the novel features of the crop introduced (don't read list, check features mentioned):	
Higher yielding	
Better quality	
Pre-treated improved seed	
Shorter cycle	
Longer cycle	
Drought tolerant	
Flood tolerant	
Salinity tolerant	
Toxicity tolerant	
Disease resistant	
Pest resistant	
Other (indicate)	

7.6.3 In the last 3 years, have you made changes in the timing of your farming operations? What were the changes? (do not read options)?

	Crop Code
Earlier land preparation	
Earlier planting	
Later planting	
Other	

7.6.4 In the last 3 years have you made changes in your cropping practices or management of land, soil, or water? What were the changes (don't read options)?

	Crop Code
Introduced intercropping	
Introduced crop cover	
Introduced mulching	
Introduced rotations	
Introduced hedges	
Introduced/built ridges or bunds	
Introduced terraces	
Introduced stone terraces	
Introduced contour ploughing	
Introduced improved irrigation efficiency	
Introduced improved drainage	
Introduced micro-catchments	
Tidal water control management	
Started irrigating	
Stopped irrigating	

7.6.5 In the last 3 years, have you made changes in use of inputs, mechanization or pest management? What were the changes (don't read options)?

	Crop Code
Mechanized farming	
Started using or using more mineral chemical fertilizers	
Started using manure/compost	
Stopped using manure/compost	
Started using or using more pesticides/herbicides	
Started using integrated pest management	
Started using integrated crop management	

7.6.6 Have you made changes in livestock management in the last 3 years? What were the changes (don't read options)?

	Crop Code
New farm animal or fish types introduced	
New farm animals or fish types being tested	
Stopped keeping one or more types of farm animals or fish	
New breed introduced	
Reduction in herd size	
Increase in herd size	
Change in herd composition	
Stall keeping introduced	
Fencing introduced	
Cut and carry introduced	
Growing fodder crops	
Improved pastures	
Fodder storage (e.g. hay, silage)	
Other	