

ANNEXURE-I

Interview Schedule

Date of Interview: _____

Survey number:

001. District: _____

002. Sub-Division: _____

003. Block: _____

004. Village Name: _____

A. GENERAL HOUSEHOLD INFORMATION

101. Name of Respondent: _____ (Mb. No. _____)

102. Age of Respondent (Years Completed)

103. Gender Male=1 Female = 2.....

104. Community _____

105. Specify Tribe _____

106. Type of Family: Nuclear = 1 Joint = 2

107. Is your household listed in government BPL register?

Yes =1 No =2

BPL Card number: _____

108. If yes, do you have access to any government provisions allotted for BPL families?

Yes =1 No =2

109. If yes, please provide the details:

1. _____ 2. _____ 3. _____

4. _____

B. HOUSEHOLD MEMBERS' PROFILE

201. Total number of people in this household

For gender use codes Male=1, Female=2- (Listing done to confirm family size)

Sl. No.	Name	Gender	Age (Years)	Relation to Head	Occupation
1.					
2.					
3.					
4.					
5.					
6.					
7.					
8.					
9.					
10.					

C. HOUSEHOLD AMENITIES AND ASSETS

301. Type of House/ Building Material

Material Major Building	Floor <input type="checkbox"/>	Wall <input type="checkbox"/>	Roof <input type="checkbox"/>
1. Cement/Concrete			
2. Bamboo			
3. Thatch			
4. C.I. Sheet			
5. Wood			
6. Brick			
7. Clay			
8. Others (Specify)			

302. Primary source of household drinking water.....

Rainwater=1, River/Stream=2, Well=3, Piped Water Supply=4, Tube-well =5, Others=6

303. Who mainly fetches water in your households? (Multiple response possible)

1. Non Adult Female 2. Non Adult Male 3. Adult Female 4. Adult Male

304. Including waiting time, how much time (to and fro) is normally taken to fetch water? _____ Mins

305. What is your household's primary cooking fuel?

Charcoal=1, Firewood=2, Electricity=3, Kerosene=4, LPG=5, Other=6

306. What type of lighting fuel does your HH use?

Kerosene/ Gas Lantern=1, Candles=2, Solar Panel=3, Electrical=4, Torch=5, Other=6

307. How many of each of the following assets does the household own?

a: Mobile Phone	
b: Water pump	
c: CD/DVD/VCD player	
d: Tape Recorder	
e. Bicycle	
f: Radio	
g: Television	

h: Sewing machine	
i: Motorbike/ Scooter	
j: Power tiller	
k: Tractor	
l: Hand Cart	
m: Sprayer	
n: Others (Please specify)	

D. VULNERABILITY

401. Have any of the following events occurred in your family in the last 2 years?

Event	Yes	No
1. Death of a HH income earner		
2. Illness of HH income earner		
3. Loss of job of HH member		
4. Food Shortage		
5. Drought		
6. Flood		
7. Crop Damage		
8. Price Shock		

E. HEALTH, HYGIENE AND FOOD SECURITY

501. If someone in the HH has been ill in the last 12 months, please provide the details:

Type of Illness	Frequency of illness
Non Serious Illness	
Serious Illness	

Frequency of illness: Never=1 Once or twice=2 about once a week=3 Once a month=4 A few times a month=5
A few times a week=6 Every day=7 Don't Know=8

502. What is done at household level to purify water (Multiple responses possible?)

- | | |
|------------------------|----------------------------|
| 1. Cloth Sieving | 4. Warming without boiling |
| 2. Purification tablet | 5. Nothing |
| 3. Boiling | 6. Others (Specify) _____ |

503. Practices regarding Defecation (Codes for Place of defecation given below)

Person	Place for Defecation
Adult Male	
Adult Female	
Children	

Codes for place of Defecation: 1. Open Defecation near house 2. Open Defecation close to water body 3. Open Defecation (in assigned area) 4. Open Defecation (no designated area) 5. Latrine at home 6. Open Defecation (in grazing area) 5. Others (Specify) _____

504. Where is the garbage/ household waste dumped normally? (Multiple Response Possible)

- | | | |
|---|--|-----------------------------------|
| 1. Undesignated space within the inhabited area | 4. Designated space outside village area | |
| 2. Undesignated space outside the village | 5. Front yard | 7. Garbage put to other uses_____ |
| 3. Designated space within inhabited area | 6. Back yard | 8. Others (specify) |

505. In the last calendar year, what has been the trend of consumption in terms of number of meals per day for your HH?

No. Of Meals	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
1												
2												
3												

G. ACCESS TO GOVERNMENT SERVICES

601. Please provide the following details:

Organization	Have You visited this organization and at what level					Have you taken services from this organization?
	Yes	No	Vill.	Block	Dist.	
Public Health Centre						
School						
Agriculture Dept.						
Police Station						
Veterinary Dept						
Post Office						

H. FINANCIAL ACCESS

701. Does your family have a bank account? (NOT an SHG)

Yes=1 No=0 don't know=99

702. If yes, whether a basic (non-frill) a/c or general bank a/c?

No-Frill A/c=1 General A/c=2

703. If yes, when did you open the bank a/c?

Less than 1 year=1 Between 1- 3 years=2 More than 3 years=3

704. How much balance is in your bank account now?

Amount (in Rs)	Code
Rs 0 – Rs2000/-	1
Rs 2001/- - Rs 5000/-	2
Rs 5001/- - Rs 10,000/-	3
Above Rs 10,000/-	4

If the household doesn't want to answer, use code=77

705. What are the various uses of Bank A/c?

Purpose	Code
Savings	1
Credit	2
Remittance	3
Insurance	4
Grant (MGNREGA/ IAY) transfers	5

706. Has your household borrowed money from any of the below mentioned sources in the last 12 months?
(Multiple response possible)

Source	Code
Bank	1
Relatives/ Friends	2
Money lender	3
Private Society	4

If the household doesn't want to answer, use code=77

707. What is the most convenient source of credit in case of an emergency for your HH? (Multiple response possible)

Source	Code
Bank	1
Relatives/ Friends	2
Money lender	3
Private Society	4

If the household doesn't want to answer, use code=77

708. If there are loan from above sources that you have not been able repay?

If the household doesn't want to answer, use code=77

709. Is anyone in this household a KCC holder?

Yes=1

No=0

Don't know/ Not applicable =99

710. Is anyone in this household a member of SHG?

Yes=1

No=0

don't know/ Not applicable =99

711. Is your SHG Linked to any MFI/ Bank?

Linked to Bank=1

Linked to MFI=0 (Name the MFI _____)

Don't know/ Not applicable =99

712. How much money is in your SHG account now?

Rs...../-

If the household doesn't want to answer, use code=77

Don't know=99

713. Has your household gotten a loan from your SHG in the last 12 months?

Yes=1

No=0

714. How much money has your household borrowed from SHG in the last 12 months?

Rs...../-

For No or Don't Know= 99

If the household doesn't want to answer, use code=77

715. Has your household used any part of any loans available in the last 12 months for the following purpose?

Used loan money for this purpose= 1, Did not use any loan= 0

Don't want to answer, use code=77, Don't know/ Not applicable =99

a. Buying Livestock	
b. Buying crop production inputs (seeds, fertilizer, pesticides)	
c. Buying cash crop trees	
d. Buying and investing in an income generating activity	
e. Land development	
f. Buying household assets	
g. Buying non productive household assets	
h. Home improvement	
i. Medical emergency	
j. Children's education	
k. Buying farm tools	
l. Food processing equipment and supplies	
m. To start a business	
n. Family wedding/ rituals	
o. Other 1 (Specify) _____	
p. Other 2 (Specify) _____	

I. OWNERSHIP OF LAND

801. Amount of the type of land the household uses (in Acres): (3.5 bigha is equivalent to 1 acre)

	Type of Land	Quantity
1	Rain fed Farmland	
2	Irrigated Farmland	
3	Forest/ <i>Jhum</i> Land	
4	Homestead	
5	Others	

J. HOUSEHOLD INCOME PATTERN

901. Cash Income Generating Activities (In last 12 months):

Segment	Amount (in Rs)
Livestock	
Agriculture	
Agricultural wages	
Salary	
Remittances	
Nonfarm Enterprises	
Natural Resources	

Pension	
---------	--

Note. 1. Definition of Non-Farm Self Employment to be explained to respondents
 2. If there is no income from 'Non Farm Self Employment' in 1001 (a), skip the rest.

K. NON FARM ENTERPRISES

1001. How many businesses/ enterprises are owned by people of this HH?

ENTERPRISE PROFILE:

Please provide details of the 3 activities which you consider to be most incremental to the HH income.

Q.no	Questions	Categories	Enterprise 1	Enterprise2	Enterprise3
1002.	What is the activity of the enterprise? 1=Manufacturing/ 2=Service/ 3= Trade	Description of activity			
		Broad Category			
1003.	What is the ownership type of the enterprise? [Ownership Categories: 1=Proprietary Male 2=Proprietary Female 3=Partnership within Household 4=Partnership outside Households]				
1004.	Where is the enterprise located? 1= Within Household Premises 2= Outside Household Premises (with fixed structure) 3= Outside Household Premises (without Fixed Structures)				
1005.	What is the type of enterprise? 1= Own Account Enterprise/ 2= Establishment				
1006.	No. of Hired Workers (if Establishment) 99= Not Applicable				
1007.	Does it operate the entire year, seasonally, or only some months (from time to time)?	Perennial			
		Seasonal			
		Casual			
1009.	If seasonal, in the last 12 months, in which months the activity was operating?	January			
		February			
		March			
		April			
		May			
		June			
		July			
		August			
		September			
		October			
		November			
		December			

1010.	How long has this enterprise been operating?	Years/ Months			
1011.	Is the enterprise registered under any Act/ Authority? 1=Yes If No, Reason for not registering 2= Excessive procedures 3= Excessive Tax Rates 4= Excessive Fees for registration 5= Not Required 6= Other Reasons				

1012. Please respond with your degree of agreement to the fact the following factors influenced the adoption of entrepreneurial activities by your HH.

Factor	Strongly Disagree	Disagree	Undecided	Agree	Strongly Agree
1. Population growth(More Members)					
2. Increasing scarcity of arable land and decreasing access to fertile land					
3. Declining farm productivity					
4. Declining returns to farming					
5. Lack of access to farm input markets					
6. Decline of the natural resource base					
7. Temporary events and shocks					
8. Absence or lack of access to rural financial markets					
9. Higher return on labour in the RNFE					
10. Higher return on investments in the RNFE					
11. Lower risk of RNFE compared to on-farm activities					
12. Generation of cash in order to meet household objectives					
13. Economic opportunities, often associated with social advantages, offered in urban centers and outside of the region or country.					
14. Appeal of urban life, in particular to younger					

1013. Please provide details of workers and change in trend of their engagements in the last three years.

Worker Type	Categories	Enterprise1		Enterprise2		Enterprise3	
		3 Years Back	Last Year	3 Years Back	Last Year	3 Years Back	Last Year
HH Member	Numbers						
	Man Days						
Casual	Numbers						

	Man Days						
Permanent	Numbers						
	Man Days						

1014. What was the primary source of start up capital for your enterprise?

Source of Capital	Enterprise1	Enterprise2	Enterprise3
Agricultural Income			
Family or Friends			
Private money lenders			
Non Farm Self Employment Income			
Bank			
Wage or salary income			
Sale of Assets			
Remittances			
Others			

1015. Where do you sell your products/ service from your enterprises?

	Enterprise1	Enterprise2	Enterprise3
Multiple Response Possible			

1=In the village to the villagers 2= Directly in the town 3= In the village to the village trader
4= In the nearest wholesale market 5= Others (Specify_____)

1016. Please respond with your degree of agreement to the fact the following factors stand as constraints to productivity and sales growth for this enterprise.

Factor	Manufacturing Ent.	Service Ent.	Trading Ent.
1. Access to Formal Credit			
2. Access to Electricity			
3. Access to Labour			
4. Access to Technology			
5. Access to Market			
6. Access to water Supply			
7. Telecommunications and postal service			
8. Regulations and Policies			
9. Social Unrest			
10. Others_____			

1= Not a problem 2= A minor problem 3= Somewhat a problem 4= A major problem

1017. Have you received any support from the various organisations in the following? Please tick.

Support Type	Tick	Source
Linkage with Input Suppliers		
Linkage with Banks for Credit		
Linkage with Buyers		

1= Govt. Agency

2= Private Institution

3= NGO

4= Others_____

1018. Have you attended any training organized by various agencies on enterprise related topics? [1=Y/2=N]

1019. If Yes, Please provide details. (Tick as applicable)

	Management	Accounting	Skill Based	Marketing	1. Others	2. Others
Govt. Agencies						
Private Institution						
NGO						
Others						

GENERAL COMMENTS

ANNEXURE-II

I. SUMMARY OF LITERATURE REVIEW ON VARIABLES USED FOR LIVELIHHOD ANALYSIS UNDER SLA

SL.NO.	CAPITAL/ASSET CATEGORY	VARIABLES	CITATION
1	HUMAN	<ul style="list-style-type: none"> i. The skills, knowledge, ability to labour and good health and physical capability ii. Household size, education, skills, and health of household members. iii. Household income and expenditure 	<p>(Krantz, 2001) (UNDP, 2010)</p> <p>(Elasha, Elhassan, & Ahmed, 2005) (Ellis, 1999)</p> <p>:(Chen, et al., 2013)</p>
2	NATURAL	<ul style="list-style-type: none"> i. Soil, water, air, genetic resources, etc.) and environmental services ii. Land, water and biological resources iii. State of biodiversity conservation, forest health, activities necessary for forest protection. 	<p>(Krantz, 2001) (UNDP, 2010)</p> <p>(Elasha, Elhassan, & Ahmed, 2005)</p> <p>(Chen, et al., 2013)</p>
3	FINANCIAL	<ul style="list-style-type: none"> i. Cash, credit/debt, savings, and other economic assets , trade, remittances ii. Income levels, variability over time, and distribution within society of financial savings, access to credit and debt levels. iii. Sources of income –Crop, Livestock, Self Employment, Transfers, other sources iv. Credit 	<p>(Krantz, 2001) (UNDP, 2010)</p> <p>(Elasha, Elhassan, & Ahmed, 2005)</p> <p>(Winters et al., 2010),</p> <p>(Foster, 2011)</p>
4	PHYSICAL	<ul style="list-style-type: none"> i. Roads, irrigation works, electricity, reticulated equipment and housing. ii. Household fixed assets, durable goods, energy structure iii. Transportation(railroads), Electricity 	<p>(Elasha, Elhassan, & Ahmed, 2005) (UNDP, 2010)</p> <p>(Chen, et al., 2013)</p> <p>(Foster, 2011)</p>

5	SOCIAL	<ul style="list-style-type: none"> i. Networks, social claims, social relations, affiliations, associations. ii. Social resources, including informal networks, membership of formalized groups and relationships of trust that facilitate co-operation and economic opportunities iii. Membership of a group, friends or kin for help in times of need, support from trade or professional associations iv. Community membership, social network, family decisions dynamics 	<p>(Krantz, 2001)</p> <p>(UNDP, 2010)</p> <p>(Elasha, Elhassan, & Ahmed, 2005)</p> <p>(Chen, et al., 2013)</p>
---	--------	--	--

II. SUMMARY OF LITERATURE REVIEW ON VARIABLES USED AS DETERMINANTS OF PARTICIPATION IN NONFARM ENTERPRISES AT HOUSEHOLD LEVEL

SL.NO.	CAPITAL/ASSET CATEGORY	VARIABLES	CITATION
1.	HUMAN CAPITAL	Education, Family Labour, Age, Gender,	(Davis, 2003), (Micevska, 2008), (Winters et al.,2009), (Huang. Wa and Rozelle, 2009), (Simtowe, 2010) (Rahut & Scharf, 2012) (Tuyen, Lim, Cameron & Huang, 2014)
2	FINANCIAL CAPITAL	Credit	(Escobal, 2001), (Mduma and Wobst, 2005), (Tuyen, Lim, Cameron & Huang,2014)
3	PHYSICAL CAPITAL	Infrastructure, Remoteness, Road Conditions, Electricity, Information, telecom, Distance to Market	(Escobal, 2001), (DFID, 2002) (Winters et al., 2009), (Gibson and Olivia, 2010), (Ackah, 2013)
4	SOCIAL CAPITAL	Social networks which facilitates formal and informal loans, cash advances, inputs on credit, skills, shared resources for production and marketing, and migration opportunities.	(Davis, 2003)
5	NATURAL CAPITAL	Upland, Land Size	(Simtowe, 2010)

ANNEXURE-III

EXAMPLE: DRAWING A SAMPLE USING PROBABILITY PROPORTIONAL TO SIZE SAMPLING TECHNIQUE

1. Let us suppose, we have to draw five villages from among 30 villages using PPS methodology. Using the instructions of McGinn (2004), Column A, Column B and Column C are prepared.

<u>Column A</u>	<u>Column B</u>	<u>Column C</u>	<u>Column D</u>
Village	Households	Cumulative Household Number	Selected Villages
1	40	40	
2	20	60	
3	56	116	65
4	135	251	
5	7	258	
6	24	282	
7	35	317	
8	21	338	
9	15	353	
10	70	423	362
11	100	523	
12	80	603	
13	61	664	659
14	32	696	
15	15	711	
16	150	861	
17	15	876	
18	31	907	
19	54	961	956
20	58	1019	
21	78	1097	
22	46	1143	
23	54	1197	
24	24	1221	
25	36	1257	1253
26	26	1283	
27	31	1314	
28	45	1359	
29	100	1459	
30	26	1485	

2. Likewise, the sampling interval is calculated as under:

$$\begin{aligned}\text{Sampling Interval (SI)} &= \text{Cumulative population} / \text{Number of villages} \\ &= 1485 / 5 \\ &= 297\end{aligned}$$

3. A number between 1 and SI i.e. 297 is randomly selected.

$$\text{Here, Random Start (RS)} = 65 \text{ (generated, using Random Number Generator)}$$

4. Series Calculated:

- a. $RS=65$
- b. $RS+SI=65+297=362$
- c. $RS+2SI=65+594=659$
- d. $RS+3SI=65+891=956$
- e. $RS+4SI=65+1188=1253$

Villages with serial numbers 3, 10, 13,19 and 25 are selected for the next stage sampling.