GENERAL STATISTICS OFFICE

Operational Handbook

Vietnam Household Living Standard Survey 2008

HÀ NỘI, APRIL - 2008

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MINISTRY OF LANNING AND INVESMENT GENERAL STATISTIC OFFICE OF VIETNAM	SOCIALIST REPUBLIC OF VIETNAM Independence - Freedom – Happiness
No.: 322/QD - TCTK	*Hanoi, April 22nd, 2008*

DECISION
On conducting the Household Living Standard and Consumer Price Index Survey 2008

DIRECTOR GENERAL OF THE GENERAL STATISTIC OFFICE OF VIETNAM

Pursuant to Government's Decree No. 93/2007/ND-CP dated June 4th, 2007 on functions, duties, authorities and organization structure of the General Statistic Office of Vietnam;

To provide systematic information about the Vietnamese residents' living standard biennially during the period 2002-2010;

To provide weights of Consumer Price Index;

Having regard to proposal of the Director of the Social and Environmental Statistic Department and Director of the Trade, Service and Price Statistic Department;

DECIDES:

Article 1: Conduct Household Living Standard and Consumer Price Index Survey 2008 to gather information and evaluate residential living standard and provide weights for computing Consumer Price Index in order to serve leaders at different levels and sectors in policy making and social-economic development planning.

Article 2: Content of the survey includes:

- *For households*: Information that reflects the living conditions including income and expenditures, assets, housing and main living facilities and other basic information that affects the living conditions including: educational level, employment, participation in hunger elimination and poverty reduction programs.

- *For communes*: The social-economic characteristics affecting living conditions of the commune residents, including: main social-economic infrastructure, agriculture production condition, non agricultural employment opportunities and some other basic information about public order, social security, and environment protection.

Article 3: Director of the Social and Environmental Statistic Department will coordinate with Director of Trade, Services and Prices Statistic Department and Directors of other related Departments within GSO in organizing, guiding, supervising the Survey Plan attached in this Decision.

Article 4: Directors of City, Provincial Statistic Offices directly under the Central Government will organize and direct the implementation of the survey in allocated sample size in accordance with the regulated plan.

Article 5: The Financial Planning Department will direct the budget spending for the Household Living Standard and Consumer Price Index Survey in accordance with current regulations. For Provinces, Cities directly under the Central Government that have requested to extend the sample size, the expense for the increased sample will be under the responsibility of the Provincial People's Committee.

Article 6: This decision comes into effect from the date of signing. Directors of the Departments stated in Article 3, Article 4, and Article 5 are responsible for the implementation of this Decision.

DEPUTY MINISTER
DIRECTOR GENERAL

To:

- The Government Office;
- Ministry of Planning and Investment;
- Ministry of Finance;

(Signed)

Nguyen Duc Hoa

- People's Committee of provinces, cities directly under the Central Government;
- The Provincial Statistics Offices (for implementation);
- The Provincial Departments, Institutes, Offices of **GSO (**for implementation);
- Store: Paper achieves, S&E, SMIT.

MINISTRY OF PLANNING AND INVESTMENT
GENERAL STATISTICS OFFICE

THE SOCIALIST REPUBLIC OF VIETNAM
Independence – Freedom – Happiness

No: 324 /PA-TCTK-XHMT

Hà Nội, April 22, 2008

PLAN OF THE SURVEY OF VIETNAM HOUSEHOLD LIVING STANDARDS AND CONSUMER PRICE INDEX'S WEIGHTS 2008

(Promulgated with Decision No 322 /QĐ-TCTK dated 22/04/2008 Of the Director General of General Statistics Office).

I. PURPOSE

Collect information to be a base for assessment of living standard, poverty and the gap between the rich and the poor serving for policy making, planning and national targeted programs of the party and the State in order to continuously improve the living standard of citizen across the country, in all regions and localities.

Provide data for computing consumer price index.

In addition to that, information is collected to serve for research, analysis of some topics on risk management and for computing national accounts.

II. CONTENT

2.1. For household

- Some demographic characteristics of household's members include: age, sex, ethnicity, marital status.

- Household's income includes: income level; income by different sources (salary, wage; self- agricultural, forestry, fishery production; self-household's business production/service; other); income by economic sector and industry.

- Household's expenditure: expenditure level, expenditure by purpose and item (expenditure for food, clothes, accommodation, travel, education, health, culture, etc... and others by list of expenditure items to compute weights for consumer price index).

- Education level, professional level of each household's member.

- Sickness, diseases and the use of health services.

- Employment status, working hours.

- Assets, dwellings and other facilities such as appliances, electricity, water, sanitation condition.

- Participation in hunger elimination and poverty reduction, credit status.

- Administration and risk management.

2.2. For commune

- Some information on demography, ethnicity.

- Basic socio-economic infrastructure including: situation of electricity, roads, schools, medical stations, markets, post offices, water sources.

- Economic situation, including: Agriculture production (land, production increase/decrease tendency of some main crops and causes, assistances for production development such as irrigation, agricultural encouragement); non-agriculture job opportunities.

- Some main information on social order and safety and environment protection.

III. FORM AND LIST OF CLASSIFICATIONS

3.1. Form

- Form 1A-PVH/VHLSS-QS08: Interview form for household (income and weight of consumer price index).

- Form 1B-PVH/VHLSS08: Interview form for household (Income and expenditure).

- Form 1C-PVH/QS08: Interview form for household (weight of consumer price index).

- Form 2-PVX/VHLSS08: Interview form for commune.

- Form 3-PT/VHLSS08: Re-interview form for household.

3.2. List of classifications

- Ethnic code classification (Printed in the interview form).

- Occupation classification (2-number code printed in the interview form).

- Industry classification (2-number code printed in the interview form).

- Education and Training classification of the national education system (2-number code printed in the interview form).

- Vietnam's administrative units classification 2006 promulgated by Decision No 124/2004/QĐ-TTg dated July 8th, 2004 of the Prime Minister and changes have been updated by the General Statistics Office up to December 31st, 2007.

- List of countries and territories (printed in the interview form).

IV. SUBJECTS, UNITS AND SCOPE

4.1. Subjects of the survey include households, households' members and communes with surveyed households.

4.2. Survey units include households and selected communes.

4.3. Scope of the survey include all selected areas, communes in 64 provinces and cities under central management (hereafter called province/city).

V. TIME AND DURATION

The survey is conducted in 2 times: in May and September 2008. 2 months for data collection at field for each period.

VI. SURVEY SAMPLE AND DATA COLLECTION METHOD

6.1. Survey sample

Sample 1: Sample for 2008 living standard survey and for computing weight of consumer price index (CPI). This sample is selected from the master frame designed for VHLSSs in the period 2000-2010 which contains 3,063 communes/wards, 3 areas are selected in each commune/ward from areas of the Population and Housing Census 1999.

Sample size of the Sample 1 includes 45,945 households selected from 3,063 areas of the master sample frame and is divided into 2 types:

- *Sample for income and weight of CPI* includes 36,756 households to collect information as mentioned above and weight of CPI excluding household's expenditure to assess living standard at national level, regional and provincial/city level as well as to compute weight of CPI. This sample uses Interview form 1A PVH/VHLSS08.

- *Sample for income-expenditure* includes 9,189 to collect sufficient information for further assessment and analysis of living standard at national and regional level (no information for computing weight of CPI). This sample uses Interview form 1B-PVH/VHLSS08.

Sample 2: Sample only for computing weight of CPI includes 2 parts: **Part I** includes 9,189 households which are additionally selected from 3,063 areas of Sample 1, 3 households selected from each area; and **Part 2** includes 15,000 households selected from 1,000 areas of the Population and Housing Census 1999 apart from the master frame. This sample uses Interview form 1C-PVH/QS08.

Steps to select sample:

For Sample 1:

Step 1: Select area.

Areas of the Sample 1 will be selected rotationally, specifically: re-select 50% areas of the 2006 VHLSS (in which haft of the areas was surveyed in the 2004 and 2006 VHLSS and another half was only surveyed in the 2006 VHLSS) and the other

50% areas will be newly selected from the sample frame, which were not selected in the 2004 and 2006 VHLSS

The Department of Social and Environmental Statistics Department is responsible for selecting areas and send list of selected areas to Provincial Statistics Offices for reviewing and updating attached with the map and list of areas of the 1999 Population and Housing Census. Provincial Statistics Offices review and propose to change some areas for more suitability with geographical, socio-economic characteristics of provinces with less than the change of 5% of total number of provinces' areas with an agreement of the GSO (the Department of Social and Environmental Statistics Department) before the survey.

Step 2: Select household.

Provincial Statistics Offices select households, specifically:

- For areas which are re-selected from the 2006 VHLSS, select all 15 households in which 12 households were already surveyed with income (income households) in 2006 to be surveyed with income for the 2008 VHLSS and 3 households were already surveyed with income-expenditure in 2006 to be surveyed with income-expenditure for the 2008 VHLSS. In case of households which were surveyed in 2004 or 2006 moved from the area, find alternate households to be assured of 12 households for income and 3 households for income-expenditure in each enumeration area.

- For new areas, select 20 households from the updated household's list. From these 20 households, select 15 households (12 official households, 3 spare households) for income survey, the 5 households left (3 official and 2 spare households) for income-expenditure survey.

Household selection follows the methods in the 2008 VHLSS manual.

For Sample 2:

- For the Part 1 of Sample 2: Select 5 households (3 official and 2 spare households) from the updated list of households in 3,063 areas from Sample 1 (excluding households selected in Sample 1) to collect information for computing weight for Consumer Price Index.

- For the Part 2 of Sample 2: select 20 households from the updated list of households of each area among 1,000 areas of Part 2 Sample 2. From 20 selected households, select 15 official households and 5 spare households to collect information for computing weight for Consumer Price Index.

Provincial Statistics Offices will divide all allocated areas in urban/rural area and demographic areas into 2 times of data collection in May and September as follow: 2/3 areas of Sample 1 including 3 households of Part 1 Sample 2 to collect information in May; the left areas will be surveyed in September. Communes with areas of surveyed households will be surveyed with Questionnaire for commune.

List of selected areas and households will be stored at 2 areas: Provincial Statistics Offices and the Department of Social and Environmental Statistics Office for facilitating the monitoring, checking and supervising.

Income sample and Income-expenditure sample will be allocated for 2 times of the survey as follow:

Data collection duration	Sample 1 Income and CPI's weight	Sample 1 Income-expenditure	Sample 2 Part 1	Sample 2 Part 2	Total
Total *In which:*	36.756	9.189	9.189	15.000	70.134
May-June 2008	24.504	6.126	6.126		36.756
September – October 2008	12.252	3.063	3.063	15.000	33.378

6.2. Data collection method

This survey will use two types of questionnaire: questionnaire for commune and questionnaire for household. The questionnaire for household includes: income-expenditure questionnaire (applied for income-expenditure sample) contains all information of the survey; income and CPI's weight questionnaire (applied for income and CPI's weight sample) contains information of the survey and information for computing CPI's weight excluding information on household's expenditure; and questionnaire for CPI's weight (applied for sample from that only information for computing CPI's weight will be collected). Questionnaires are designed in details so that it will facilitate the recording of interviewers, help avoid the miss of items and increase the consistency among interviewers. Thus the survey data will be improved.

Direct interview is applied in this survey. Interviewers visit households, meet with heads of households and related households' members to interview and record information in questionnaires for households. Head of enumeration team interviews commune's leaders and related local staff and records information on questionnaires for communes. In order to ensure quality of selected information, indirect interview or the copy of information from available sources will not be acceptable in this survey.

VII. DIRECTION AND IMPLEMENTATION

7.1. Direction

7.1.1. Central level

General Director of Department of Social and Environmental Statistics chairs and co-operates with General Director of Department of Trade Service Price Statistics to be responsible for comprehensively organizing and leading the survey. Establish a team of specialists from the two departments to help the organization, direction and implementation of the survey including: design project, forms, compile skill guiding handbook, provide skill training for cities/ provinces, examine and supervise the skill training for investigators, team leaders and the data collection process in the area, collect, double check, synthesis, analyse and public the result of the survey.

During the implementation process, General Director of the Department of Social and Environmental Statistics cooperates with General Director of the Department of Trade Service Price Statistics and General Directors of related Departments, Heads of relevant Divisions to deploy specialists to different local areas to examine, supervise, solve professional problems in order to ensure that the survey will be carried out in accordance with the regulations.

7.1.2 Provincial level

Directors of the Provincial Statistics Offices are responsible in front of the Director General of the General Office of Statistic for comprehensively organizing, monitoring the survey within their local charge, include: establish the enumeration teams, provide skill training, implement the data collecting process in the area, examine, supervise, post-enumerate, hand-over, enter information, double check, compile the result of the survey in accordance with regulated direction and responsible for the quality of survey statistics.

During the data collection process at an area, especially during the early period, Provincial Statistics Offices have to deploy sufficient specialists team to ward/ districts to examine, supervise, in order to timely correct interviewers' mistakes, resolve concerns about survey procedures and techniques.

7.1.3. District level

Heads of district statistic offices are responsible for monitoring the implementation of the survey at wards/ communes selected in the area under their charge.

7.1.4 Ward/ Commune level

Leaders of wards/ communes in the enumeration areas are required to facilitate the survey team to fulfil their duty. Leaders at wards/ communes have to have meeting with selected households to thoroughly explain the purpose of the survey and encourage them to actively take part in providing information as required in the survey. For remote communes, local areas with difficulties, the duty will be delegated to head of the people groups, village chief... who have to directly visit the selected households to encourage them to actively take part in the survey.

Commune leaders in survey areas have to agree with team leaders about the plan to collect data required in the commune survey form. For information related to people under the surveillance of the communal specialists, leaders of the commune have to invite the people in charge to the meeting, explain clearly the purposes, requirements, contents and provide the information for the enumeration team.

7.2. Selection of interviewers and team leaders

Because the survey has complicated contents, relates to many fields of life, society, including many sensitive areas, the interviewers and team leaders have to have a certain level of professional expertise, experience in exploitation of data, know how to involve the public, enthusiastic and physically fit.

At each district with a enumeration spot, it is necessary to establish an enumeration team of 2-3 interviewers and 1 team leader. The team leader is the leader or experienced specialist from district Statistics Office or Provincial Statistics Office.

The duty of the interviewer is to directly visit designated households to collect necessary information and fill up the survey form.

The team leader is responsible for organizing the entire survey process at designated areas, examine, collect all the survey forms conducted by interviewers, collect information and fill up the commune survey form.

7.3. Expertise training

Organization of expertise training at two levels:

7.3.1. Central level

The General Statistics Office conduct a survey expertise training class in 6 days, of which 1 day is for practice at field. Participants of the class include 1 leader of Provincial Statistics Office, 1 leader and 1 staff from the commune Population Division, 1 leader and 1 staff from the Trade Service Price Statistic Division of Provincial Statistics Office. Teachers include leaders and staff from the Social and Environmental Statistics Department and Trade Service price Statistics Department. At the end of each training class, there will be an exam to evaluate the knowledge of the participants and teaching method of the teachers in order to get lessons learned for later training classes.

7.3.2. Provincial level

Each provincial Statistic Office opens an expertise training class for staff joining the survey at local area, including supervisor, leaders of district statistics divisions that have enumeration areas, team leaders and interviewers. The duration of the training is of at least 5 days, including 1 day for practice at the area. Teachers include leaders that have attended training class at Central level.

The contents of the training include extensively explain the survey methodology, implementation plan at local level, direction in household sample size selection, communication skills, techniques for interviewing and recording information into survey forms for commune and household.

During the training period, it is necessary introduce clearly definitions, calculation methods, interview methods to collect information, techniques in recording information into the forms, method to check the logical relation among questions and parts in the survey form, method to examine the quality of the data collected. Practical conditions and situations at the locality should be incorporated to explain and guide interviewers about usual practical concerns. After training, there should be an exam to evaluate the knowledge of participants and only deploy those that have satisfied the requirements of the training; as well as evaluate teaching method of teachers in order to get lessons learned for later training class.

Especially at both central and local levels, there should be enough time to discuss and draw lessons in directing and implementing of 2002, 2004 and 2006 **VHLSS**

7.4. Disseminating activities

The General Statistics Office will print letters to households taking part in the survey to encourage, explain the purposes and benefits of the survey to help the households understand the duty and honour , willing to cooperate and provide accurate information for interviewers.

For delta regions and those with favourable conditions, it is necessary to hold a meeting for households being surveyed at ward/ commune.

7.5. Data collection procedures

Provincial Statistics offices collect data at their areas in two periods: May and September, 2008.

At each ward/commune with a enumeration area, team leader notifies and agrees with ward/ commune leaders regarding the plan for interviewing households and collecting information for the commune survey form. After agreement, team leader and village leaders announce the plan for heads of the households and related members so that they will get as much information as possible in order to actively arrange their personal business and meet with interviewers. This plan must be informed 3 – 5 days before interviewers visit households.

Team leader sets up the workload delegation plan for each interviewer and notifies the Provincial Statistics Office in order to arrange examination and supervision plan at the area.

Based on the plan prepared by leader, the interviewer has to directly meet heads of the households and households' members to interview and collect information, absolutely no using of other available document in place of face to face interview.

Interviewer has to follow the household interview procedures as stated in handbook of expertise direction 2008 VHLSS

Timing regulation: From the time of data collection until the form is submitted, each interviewer can have 2.5 days to interview 1 household regarding income and expenditure survey form, 2.5 days to interview 1 household regarding income and weight of consumer price index survey form, and 1 day to interview 1 household regarding weight of consumer price index survey form.

7.6. Supervision, examination and inspection

The General Statistics Office and Provincial Statistics Offices are in charge of supervising, examining and inspecting regularly or suddenly during the period of training, collecting and analysing survey data.

The supervision, examination, inspection team from the General Office includes staff from the Social and Environmental Statistics Department, Trade Service Price Statistics Department, inspectors from the General Statistics Office and other related units.

The supervision, examination, and inspection team at local level are staff from Population Division, Trade Service Price Division, Statistical Inspector and other related Divisions.

The purpose of supervision, examination, and inspection is to discover and solve timely at field all concerns incurred during the survey period.

The contents of examination, inspection include organizing and implementing the survey procedures, quantity (sufficient number of households as planned, enough forms, parts and survey indices) and quality (in correct lines, columns, code, unit, calculation, logical relation between columns, lines, indices, relation between tables, rationality when compare some indices with local reality or other related statistical documents), methods to ask questions and record data of each interviewer, act in accordance with administration procedures such as progress report as regulated, fill up the quality control form, data entering and cleaning up process.

Team leader is responsible for examining all the team's completed survey forms in contents, calculation methods, logicality, calculation examination, compare a few indices with the local reality or other related statistical documents, attend the interview of interviewers to examine the communication skills, data collection and recording process.

As for data collecting process, at both central and local levels, there must be an extensive management plan for examination and inspection, and it is necessary to focus on the first week of implementing the process in order to timely correct interviewers' mistakes and avoid systematic mistakes.

7.7. **Post-enumeration**

Provincial Statistics Offices have to select randomly 10% of the interviewed households for post-enumeration to check-up the quality of the survey. In order to ensure the high quality of the inspection, Provincial Statistics Offices have to choose experienced, enthusiastic, expertise staff to directly visit the households to examine. It is possible to appoint an interviewer that has been collecting information at the area as an inspector, but not for the households interviewed by them, in order to ensure the objectivity. The inspector besides collecting information from the households, can visit key leaders of ward/ commune (president or vice President, Head of the village, resident group) to collect some information related to the inspecting procedures. While doing this, the inspector absolutely cannot reveal information of the survey, even to the local government.

After inspecting, Provincial Statistics Offices have to report results in regulated form to the General Statistics Office. (See instruction about inspecting procedures in expertise guidance Handbook VHLSS 2008)

7.8. Submission of result

District Statistics Divisions collect every survey forms from the interviewers under their charge.

Provincial Statistics Provincial Statistics Offices collect every survey forms of the districts with enumeration spots.

Department of Social and Environmental Statistics collects survey forms, result of the quick compilation and the raw data set from all cities, provinces.

7.9. Processing, compiling and disseminating result

Statistical Informatics centre of Hanoi develops, trains users and provides Provincial Statistics Offices the 2-time (twice) data entering program, inspecting program, quick compilation program and official compilation program.

Provincial Statistics Offices which are qualified will be in charge of entering data twice, clean up data and compile data of households according to the regulated plan and guidance from the Statistical Informatics Centre in order to ensure the consistent data processing and compiling.

All survey forms only after being certified by provincial level inspector to be qualified can be used as enter data, being cleaned up and analysed.

Provincial Statistics Offices delegate staff with expertise in entering data and responsible to take part in the data enter training and implementing, in the mean time have methods to examine and supervise to minimize possible mistakes incurred while entering data. When the data enter and data examination program inform the possibilities of mistakes in data, the data enter staff and staff in charge of surveying living standard from the Population Division and Trade Service price Division have to cooperate to examine, clarify carefully with interviewer teams and correct the mistakes if necessary. The data enter staff must not correct the possible mistakes on his own without the approval from specialist staff. The data enter and cleaning up have to be finished within 2 months after each period of data collecting at the locality.

After finish data entering and cleaning up, Provincial Statistics Offices at have to preliminarily compile the survey data. Leaders from Provincial Statistics Offices examine and send the preliminarily compiled data and data testing report to the Department of Social and Environmental Statistics for assessment. The compilation and assessment of the preliminary results should be finished in 1 month, of them 20 days are for preliminary results and 10 days are for assessment of the preliminary results.

After the preliminary results have been assessed, Provincial Statistics Offices proceed to officially compilation, as well as send the entered raw data to Hanoi Statistical Informatics Center.

The Statistical Computing Centre of Hanoi chairs the cooperation with Department of Social and Environmental Statistics to compile the nationwide data.

The General Statistics Office publishes the preliminary results of the 2008 VHLSS and weight of consumer price index in June 2009 and publishes official result in December 2009. Besides, result of the survey will be used to review plan’s implementation of 2008 and make plan for the year 2009.

7.10. Document transfer

Interviewers and the teams transfer the survey documents (survey forms and commune interview forms) to the district Division of Statistics within 5 days after the interview period.

District Statistics Division transfer the survey documents to Provincial Statistics Offices latest 12 days after the last day of the interview at each locality

Provincial Statistics Offices send the preliminary results to Department of Social and Environmental Statistics on 20/08/2008 and 20/12/2008. Provincial Statistics Offices send the first batch of original data which has been entered to Statistical Informatics Centre of Hanoi on 30/10/2008 and second batch on 31/12/2008.

Provincial Statistics Offices are responsible for storage of the survey forms until the General Office orders to cancel.

VIII. BUDGET

The General Statistics Office announces the budget allocated to each locality based on scale, complexity and practical situations about implementation of VHLSS and the weight of consumer price index 2008. Provincial Statistics Offices have to use the budget rationally and in accordance with regulation in order to ensure the progress and high quality of the survey.

Budget for the survey will be used for different procedures of the survey, including selecting sample, plan preparation, compiling survey instruction documents, data recording, expertise training, disseminating, directing, survey checking, supervising, post-enumerating, wage for interviewers, presents for households being surveyed, over time salary for staff doing the check-up, inspection, survey forms cleaning up, data entering, examining the result of data entering, preliminary compilation, official compilation the survey result, examining the result, checking-over, writing report analysing, building the survey database.

IX. IMPLEMENTATION PLAN

– From 8-9/2007: Research for plan preparation, survey form, preliminary compilation tables, official compilation tables and expertise instruction documents, indicators.

– From 10/2007 to 4/2008: prepare the sample

– 3/ 2008: Pilot survey

– 4/2008: Submit plan for approval and print central training documents

– End of 4/2008: Print survey documents and send to localities.

– End of 4/2008: Central provides expertise training for cities/ provinces.

– Early 5/2008 localities hold expertise training for interviewers and prepare for the survey procedures at their areas.

– 5-6 and 9-10/2008: Collect information at enumeration areas.

– From 5 to 12/2008: Central examines, collects survey forms and raw data at localities.

– From 6 – 12/2008: Enter and clean up data at Provincial Statistics Offices.

– 8 – 9/2008: Preliminary compilation for data collection in May

– 12/2008 – 5/2009: Preliminary compilation for data collection in September and compile result of the two periods.

– 6/2009: Publish of preliminary result.

– 7 – 11/2009: Analyse official result

– 12/2009: Publish official result.

The General Statistics Offices requires Leaders of Provincial Statistics Offices to pay attention to directing, ensuring the regulated content, methods, and timing so that the VHLS and weight of consumer price index survey 2008 achieve desirable result.

To:

- Management of the General Office
- People's Committee of cities/ provinces
- Provincial Statistics Offices of cities/ provinces
- Department, Office, Divisions at the General Provincial Statistics Offices
- Secretariat Office
- Paper archives, SED, MITD.

DEPUTY MINISTER
DIRECTOR GENERAL

GUIDLINE

IN REVIEWING ENUMERATION AREA, UPDATING LIST OF HOUSEHOLD AND METHODOLOGY FOR SELECTING HOUSEHOLD VHLSS 2008

(ATTACHED WITH DOCUMENT NO. 221 DATED 24/03/2008 REGARDING SAMPLE PREPARATION FOR VHLSS 2008)

1. **Area review and household listing update**

1.1. ***Area review VHLSS 2008***

Department of Social and Environmental Statistics has selected area for VHLSS 2008 base on this method:

– Keep 50% of the areas in VHLSS 2006, of that 20% had been surveyed both in VHLSS 2004 and 2006; 25% only surveyed in VHLSS 2006 (do not choose again areas surveyed in survey 2002). Name and code of the areas are as in VHLSS 2006.

– The remaining 50% chosen will be entirely new from the sample size, these are areas that have not been chosen to be surveyed in 2002, 2004 and 2006. Name and code of the areas will be based on the Population and Housing Census 1999.

Provincial Statistics Offices are required to review the areas in accordance with these regulations:

– Areas belonging to new detached district that have not acquired a code in the administration list: Code of the district is the next order number after the last district in the administration list of the city/ province of the area (use the Code for Administration Unit 2001) and keep the same area code, village code as in VHLSS 2006.

- The case of areas under clearance, Provincial Statistics Offices will replace it by another new area under the surveyed ward/ commune, based on the number of areas in the ward/ commune (as in the Population and Housing Census 1999), choose an area based on simple random method to establish the list and choose the households. Code of the area will be 8 (means year 2008). The area cannot be the same as any enumeration areas. In the case of ward/ commune under clearance, choose another ward/ commune with similar geographical and economic conditions to replace and take an area for survey based on the same method mentioned above, and the area will also be coded 8 as the above rule.

– In the case of wards/ communes which had already been replaced from 2004 and 2006, and this time is classified as having to choose a new area for 2008 survey, the Provincial Statistics Offices will choose a area to do survey based on the above method and the area will also be coded 8.

– Provincial Statistics Offices send all amendments, addition (if applicable) to the Department of Social and Environmental to update and manage in unification.

1.2. ***Update listing***

For each newly chosen area, it is required to update the list of households in the area for sample selection, the deadline if 29/04/2008. Besides cases being updated in the listing for VHLSS 2006, VHLSS 2008 have to update regarding these cases:

– Households with KT3 resident registration (including 1-person household) having a house or having lived in the area more than 6 months prior to 18/04/2008, including people who are registered in another city/ province but live in a city/ province different from where they registered.

– Households and individuals with KT4 resident registration who have lived in the area more then 6 months prior to 18/04/2008 including seasonal labour (or similar) eligible for a temporary resident and households not yet eligible for KT3 registration. People under this category if stay in the same room but are independent in economic (do not share a same fund) and not eat together are considered each person a separate household in the listing. On the other hand, people who are blood related, share a same rented house and share the same fund are considered in the same household. Students and labours under 18 live in rented house are not considered a household in the listing.

Method to update the listing is as following:

1.2.1. Newly chosen areas from the sample size with map and listing

Based on the household listing of each area in the Population and Housing Census 1999, the updating of household listing will be carried out based on these methods:

(a) Households that have been moved out of the area will be cancelled out from the list.

(b) Newly detached households and households that moved in the area after 1999, including those under KT3, KT4 category that have been living in the area for more than 6 months as stated in 1.2: record full name of the head of the household and additional information at the end of the listing.

1.2.2. newly chosen areas from the sample size without map and listing:

Provincial Statistics Offices based on the name of the enumeration area from the sample list to conduct a new listing at the time of 18/04/2008 based on the order of address from North to South and East to West to choose the households.

1.2.3. Areas chosen from ward/ commune which are replaced without map, listing:

After choosing the new area based on the above direction, Provincial Statistics Offices conduct the listing for households in the area based on the above stated method to choose the households.

*1.3. **Record the number of households in each area into area listing VHLSS 2008***

In order to calculate the index for the analysis of VHLSS 2008, each ward/ commune and each enumeration area has to have the number of households in 1999 and number of households 2008. In the case of areas without data on number of households in 1999, please estimate the number to record in list of areas VHLSS 2008. The deadline is 18/04/2008.

The Department of Social and Environment sends each Provincial Statistics Offices at provincial level 1 copy of “List of areas in VHLSS 2008) including map, tables and a electronic list without maps and tables to record the number of households as regulated and send to the General Office.

2. Households selection

- For areas being re-selected from VHLSS 2006, keep 15 official households already in VHLSS 2006 (12 households for income survey and 3 for income and expenditure survey). In the case households that moved out of the area or do not have any person capable of answering the survey or refuse to cooperate, it is possible to use a back-up household (each area have 5 back-up households, 3 for income survey and 2 for income-expenditure survey). The rule is that the back-up households for income survey will replace the official households for income survey, and similarly the back-up households for income-expenditure survey will replace the official households for income-expenditure survey. In the case that all back-up households have been used up, randomly choose another household to replace from the household listing of the area. The replaced household will be numbered as regulated in the Handbook of Instruction for Interviewer 2005, the 6 back-up households is coded from 16-20. After using all the 5 back-up households. If it is still necessary to replace some official households, choose households from the listing and number 21 for the 6th replacement, 22 for the 7th replacement, etc.

- For newly chosen areas: Provincial Statistics Offices are responsible for selecting households for the respective area. In each area, 20 households will be chosen (15 official households and 5 back-up households). From the list of households in each area either being established new or updated from the Population and Housing Census 1999 (if applicable), each area choose 20 households based on simple random sample selection method. The method is: Divide the number of households in the list by 20 to calculate the interval of household selection. Then choose households using random number table: choose a number in the range from 1 to “household selection interval”, compare with the household listing, the number chosen is the order of the first household being chosen, the second household is the one with order equals to order of the first household plus household selection interval, similarly the third household's order equals to order of the second household plus household selection interval. Continue the process until 20 households have been chosen. Of the 20 households, 15 will be chosen to be official ones, including 12 for income survey, 3 for income-expenditure survey, the remaining 5 are back-up households (3 back-up for income survey, 2 back-up for income-expenditure survey).

3. Steps for selecting households in 2006 survey used in 2008 survey

Scenario 1: All of the 15 households in 2006 survey are still in the are (12 households in income survey and 3 households in income-expenditure survey)

In this case, only 5 back-up households is needed (if necessary)

Scenario 2: The area do not have all the 15 households in the 2006 survey

In this case, it is necessary to choose 15 official households (including: 12 households for income survey, 3 for income-expenditure survey) and 5 back-up households based on the following steps:

Step 1: Keep all the households in the 2006 survey which are still staying in the area.

Step 2: If there is a new household moved into house of a household in 2006 survey, who have moved out of the area, the new household will be chosen to replace the earlier one.

Step 3: If a household in the 2006 survey has been divided, choose the household with the head of the household in the 2006 survey. If the person has passed away, choose the detached household with the most number of members in the 2006 survey. In the case that the head of the household being surveyed has passed away or moved out of the area, and others members are still staying in the area, the household will still be chosen with the new head being recorded.

Step 4: If the area has to choose more households to make up the number of 15 official households and 5 back-up, the method is as followed:

For example: After step 1, 2, 3 stated above, an area is in need of 12 more households, including 7 official (of that: 6 for income survey, 1 for income-expenditure survey) and 5 back-up households (of that: 3 for income survey, 2 for income-expenditure survey) as in the following table:

	Households as in 2006		Additional households	
	TN	TNCT	TN	TNCT
Households being surveyed 2006, and still in the enumeration area	4	1		
Households moved into the house of households being surveyed in 2006\	1			
Newly detached households	1	1		
Official households	**6**	**2**	**6**	**1**
Back-up households			3	2
Number of additional households required, including back-up			9	3

The method to choose these 12 additional households:.

– First, choose 12 households based on sample selection method: (I) Establish a list of households in the area (except for households remain unchanged, households that moved into the house of a household that had already moved, and newly detached households are chosen for the 2008 survey) based on the position from North to South and East to West (ii) calculate the interval k=(number of household)/12. If k is a number with the decimal part different from 0, round up based on the rule that the decimal smaller than 0.5 will be cancelled out, other wise add 1; (iii) choose a random number with the value from 0 to k; (iv) the first household being chosen is the one with order equal to the random number; (v) The following household being chosen are those have order number equal to the order number of the previous.

– After that choose 7 official households from the list of 12 selected households using simple random sample selection, for example use lucky draw to choose the 7 official households, the rest will be back-up households. Then choose 6 for income survey from the 7 official households using the same method. The selection of households into income survey and income-expenditure survey will be based on the same method.

4. Selection of households for consumer price index

–Household selection from areas in 2008 VHLSS

For each area in VHLSS 2008, choose 5 more households to investigate the consumer price index (3 official, 2 back-up households). The method is as below:

Choose 5 households from the household listing of each area, using the sample selection method: (i) cancel out the households having been chosen for 2008 VHLSS from the household listing used in 2006 and 2008 survey. (ii) Calculate the interval k = (the number of households in the area)/5. If k is a number with the decimal part different from 0, round up based on the rule that the decimal smaller than 0.5 will be cancelled out, other wise add 1; (iii) choose a random number with the value from 0 to k; (iv) the first household being chosen is the one with order equal to the random number; (v) The following household being chosen are those have order number equal to the order number of the previous.

Choose 3 official households from those 5 selected using simple random sample selection, for example using lucky draw to choose the 3 households, the remaining 2 will be back-up.

– Choose households from the additional areas to investigate the consumer price index:

In each area choose 20 households (15 official, 5 back-up households) from the household listing of each area in 2008 employment and labour survey. The method used for choosing official and back-up households are as stated above.

PART I: GENERAL PRINCIPLES

1. Quality control measures:

Due to the complexity of the survey, some technical measures are adopted to ensure the quality of the survey data. Specifics are:

- Questionnaires designed with the majority of codes ready typed so as to reduce time for recoding after collecting data and to reduce errors.
- 3 interviewers being closely watched by 1 team leader and supervisor.
- Re-interview of 10% of surveyed households after each surveying period.
- Questionnaires were detailed designed to avoid missed information. Questionnaires are designed so that there is enough space for interviewers to write down information right on the questionnaires without necessarily opening his/her own notebooks to note additional information. For household questionnaire, in information filling section, 3 bold lines are printed alternately for interviewers not to note down information on the wrong line.

2. Tasks and responsibilities of team leader:

2.1. Go to the survey sites

During the first days in the survey areas, the team leader had better request commune authorities to arrange interviewing schedule with the communes/ schools/health clinics and hold a meeting with selected households in the hamlets/ wards to disseminate information about the guidelines and purposes of the Vietnam living standard survey and to request households to cooperate with the survey team and; to introduce the survey team with the hamlet/ward leaders and households. In this meeting, interviewers meet with surveyed households to introduce themselves to each other and to make an exact appointment, date and hour for interviewers to go directly to the households for interview; to arrange interpreters for some ethnic minority areas (if necessary). If condition does not allow for organising such a meeting, team leader and local authorities make a plan for interviewing schedule.

2.2 Identifying addresses and households

Before interviewers visit households in the field, team leader works with local authorities to re-confirm surveyed households. Sometimes, interviewers will meet difficulties interviewing a certain household, for instance, he/she can not find where the selected household is; or he/she finds the household but nobody is at home or the household has removed to another place, the house is not yet sold to another person; or the named household has removed to another area and a new one has moved to the house. In these cases, interviewers must consult the team leader for suitable solutions.

The team leader or Statistics Departments of the Districts and Towns when contacting the authorities of the surveyed areas for interviewing should identify the following main points and conduct the following tasks:

- The purpose of the Survey: The Government devolves the responsibility of organising the sample survey on the household living standard in all provinces and cities at nationwide to the General Statistics Office.

- Survey objectives: Provide information on assessment of household living standard and socio-economic development status of the surveyed localities, and this information is used as an input for policy study for economic development and livelihood improvement.

- Survey team participants: how many people, their titles and tasks.

- Survey time: The team works in communes/ sub-districts from 7 to 10 days; how are their accommodation and food?.

- Survey process: 2-3 interviewers are in charge of interviewing 15 households on health care, education, employment and livelihood of their households over the last 12 months; the team leader in coordination with local authorities and social unions of the communes/ sub-districts organises the survey and collects information to be filled in the commune questionnaires. Local Statistics Departments and the General Statistics Office are likely to visit some localities to check the performance of the survey team and to re-check survey materials.

- Request authority people from the communes/ sub-districts to be involved in organising and directing the survey. The team leader, together with representatives from commune leaders compares, checks and completes the household list. He/she also guides on information preparation for commune interview as well as makes appointments and appoints personnel to be involved in information preparation and interview with the communes.

- Request commune/ sub-district leaders to meet and assign tasks to hamlet cadres, local guiders, and interpreters (if any).

- Make daily timetable for the survey and send hamlet cadres to the households to arrange time for the interview. Discuss measures to overcome difficulties; coordinate with local authorities and social unions to raise awareness of selected households and unselected households in the survey.

- Make open budget for commune/ sub-district survey and discuss the methods of delivery gifts to households.

2.3. Check information on the cover, especially the name and code of households in VHLSS 2008 and 2006. Write information for questions from 1 to 5 before interviewers go to interview the households.

2.4. Collect data on commune questionnaires, write codes of business and production trades and check household questionnaires, participate in interviews.

- Interview commune leaders for information and completion of commune questionnaires.

- Team leader is liable for operational and technical guidance and support to interviewers for them to solve difficulties during the survey.

- In order to accomplish the work assigned to the whole team, the team leader must complete the “Work assignment table” (as per form 3A-KSCL/KSMS08) for interviewers and check the following activities in the field:

- Check the details of all questionnaires after complete the data collection in household to see whether interviewers have collected sufficient and precise data and information. When occurring errors, team leader marks the questionnaires by pencil and discusses with interviewers how to correct the errors, and even the interviewers have to go back to households to collect missing and mistaken information and correct errors. Result of the check is written in form 3C-KSCL/KSMS08: “Checking Questionnaires Form”

- Attend in some interviews to assess interviewing methods of interviewers. Interviewers should not be informed in advance of this attendance. Write the result of interview attendance in form 3D-KSCL/KSMS08 “Interview Attending Form”

- Team leader should regularly discuss with interviewers and report performance to the higher level.

- When the survey in each area is completed, team leader must send monitoring report prepared as in form 3B-KSCL/KSMS08: “Monitoring report in the surveyed area” to Statistics Departments, including Checking Questionnaires Form and Interview Attending Form.

Team leader and interviewers should work closely during the survey time.

3. Tasks and responsibilities of interviewers:

Interviewers play a significant role in the survey. The efficiency and accuracy of data collected depend very much on the interviewers and their responsibility. To accomplish the tasks of the survey, each interviewer must obey the regulations in this operational handbook. Interviewers must coordinate closely with the team leader. Whenever there are difficulties emerged in contacting households and collecting data from households, interviewers should inform the team leader right away for proper solutions.

Therefore, interviewers need to be well trained to be data collectors with good skill on interviewing, obeying the regulation in the data collection, catching right information on survey respondents

When in household’s home, interviewers must give the Letter to households from GSO leaders and introduce about themselves and the household living standard survey:

“My name is………, I am a statistics staff. Today, after planning with local authority and social unions, the District/Town Statistics Department has assigned us the task to visit 15 households which selected randomly by GSO and kindly request each household to provide us some information on household’s health care, education, employment and livelihood. This information will be used as inputs for the State’s policy research to accelerate economic development, stabilise and improve people’s livelihood, and this of course not excluding our family.

Information provided by our family will be kept secret and not be used for any other purposes.

This interview will last for ….. hours*.

On this occasion, the State has a small gift to the family as a way of expressing the State’s thank to the family for coordinating and helping us to accomplish our tasks”.

(*) INTERVIEWERS STATE THE TIME NEEDED FOR THE INTERVIEW BASING ON HOUSEHOLD SIZE.

If information collected is not sufficient because there are children being at schools or household members working away from home at the time of the interview, interviewers must remind the household members “please give us another chance to come back to our family for further specific information”.

3.1. Interview the selected households:

The task of interviewers is to interview selected households to collect data and information to be filled in household questionnaires. In fact, there are cases where interviewers have to go to one household several times before they are able to meet the household head or relevant respondents for the interview. Thus, each interviewer should work out schedule for meetings with each household and should make use of any time possible to contact households to ensure the completion of data collection from households they are in charge of.

During the interview, interviewers have to follow the instructions in the sections of part 2 of this handbook.

3.2. Check questionnaires after completing data collection:

After completing each questionnaire, interviewers have to check all sections and information needed for each section to avoid errors and omissions. Interviewers have to do this work right after the interview and prior to the delivery of completed questionnaires to the team leader. It is important that interviewers check everything before leaving the survey site.

Interviewers can correct what he/she has written incorrectly or not clearly while interviewing households. They are not permitted to correct any figures in the completed questionnaires unless they re-interview the surveyed households. They are also not permitted to copy information from one questionnaire to another.

3.3. Relationship with the team leader:

Interviewers have to always obey the assignments of the team leader. The team leader represents Provincial Statistics Office in assigning the tasks to each interviewer.

3.4. The interview

Interviewers have to follow the instructions in this handbook prudently. Specific instructions are as follows:

(i). Ask questions as precisely as printed in the questionnaires.

Questions are carefully designed collect correct information needed for later analysis, moreover they are pre-tested many times in the survey areas. Interviewers have to read the exact questions as printed in the questionnaires. After reading the question once clearly, interviewers wait for the respondent's answer. If the respondents cannot deliver the answer in certain duration of time, they may: 1) not be hearing the question well; or 2) not understand the question; or 3) not know how to answer. In any cases, interviewers have to repeat the question. If yet the respondents cannot reply, interviewers have to ask whether the respondents understand the question or not. If the answer is not, interviewers have to rephrase the question but be loyal to the content of the question.

(ii). Find every possible way of interviewing to avoid "I don't know" answer by being able to help respondents to estimate or find the closest answer possible. In the questionnaire, there are many questions that respondents need discussion with interviewers, for example: questions about age, land area, income, products sold, etc.

(iii). In case interviewers have known basic and simple information such as this woman is the wife of that man, they don't have to ask questions concerning marital status of these two people, just fill the correct information in the correct box. If interviewers have not known clearly or they just guess, for example these two people may be one couple, they have to ask directly the interviewees.

(iv). Keep the interviewing speed

Interviewers must lead the interview, however they must listen attentively to the respondents so as to avoid causing offence. In so doing, they should avoid interminable discussion with the respondents; if respondents reply with inappropriate or complicated answers, interviewers should not abruptly interrupt them but appear to be attentively listening to them and diplomatically direct them to the original questions. Interviewers should avoid giving hints for answering to the respondents.

(v). Ask each person questions concerning themselves, avoid as much as possible the answers for questioned people by unquestioned people for individual-related questions.

In general, interviewers have to complete filling in the information for one section for all household members before moving to the next section. However, in case one household member has got to leave home for certain reasons, interviewers can ask this person all questions in all items right away before this person leaves home and then continue interviewing other household members. If one household member is not at home, interviewers interview those who are at home first and then go back at the right time to interview this absent member.

(vi). Keep a neutral attitude to the subject of the interview

Interviewers should not be surprised, agree or disagree with respondents' replies. If the respondents consult interviewers, they should not speak out what they think. They should explain that the purpose of this survey is to collect opinions of respondents on that issue. They should not discuss their viewpoint with the respondents until the interview ends. They should also avoid subjective hints.

(vii). If you do not understand a certain question or procedure, read this handbook first, then ask the team leader if necessary.

(viii). Privacy of the interview

All data collected are kept secret. Any data released or revealed to unrelated persons is regarded as infringing the principles of this survey. This principle is very important and a basis of all statistics work.

In principle, all questions are raised with the presence of only household members. The presence of alien people may cause embarrassment and affect the answers; moreover, information is not kept secret. Nevertheless, it is difficult to keep the presence of non-household members away from the interview for the fact that when interviewers go to the households, this often causes curiosity to their neighbour. In this case, interviewers ask respondents to persuade them to go away; or explain politely for everybody to understand that the information of this interview needs to be kept secret.

3.5. Behavioural manner of interviewers

Interviewers should keep in mind the following regulations:

- Be polite with everybody (respondents and their families, their friends, team leader, team members and other related people). The conduct of interviewers may influence public opinion where the survey is carried out as well as the result and performance of the survey.

- Be neatly dressed to create confidence in respondents that the interviewer is a responsible and reliable person.

- Be punctual and never keep the interviewees waiting.

- Do not criticise or comment responses or behaviour of the respondents to avoid unrealistic or subjective answers.

- Do not drink alcohol or beer while working.

4. Tasks and responsibilities of Supervisors

Supervisors at provincial level are the ones responsible to the leaders of Provincial Statistics Office in the following aspects:

4.1. Quality of data collected as well as the performance of the survey teams under their supervision.

4.2. Tackle technical problems emerged among the survey teams under supervision. Report to the on-site management technical problems they have just tackled by themselves and those they are not able to solve.

4.3. Check and reaffirm household sample, each replaced household must be re-checked against stated regulations.

4.4. Monitor and supervise the performance of the survey teams. Most importantly, check the completed questionnaires of the interviewers. Errors and contradiction are noted in form 3C-KSCL/KSMS08 “Questionnaires Checking form”. In fieldwork monitoring trips, supervisors check about 30% of completed questionnaires of each interviewer with a more focus on poorer performed interviewers; participate in commune/ sub-district interviews of team leaders, attend 2 to 3 household interviews and note comments in form 3D-KSCL/KSMS08 “Interview Attending Form”.

4.5. Exchange lessons and experience with the survey teams on data and information collection, make public comments on the check of questionnaires and on attending team leaders’ and interviewers’ interviews; discuss measures to overcome difficulties and shortcomings and take in proposals made by the survey teams.

After each on-site monitoring, supervisors send “Monitoring Report in the Surveyed Areas” (form 3B-KSCL/KSMS08) and Checking Questionnaires Form and Attending in Household Interview (form 3C-KSCL/KSMS; form 3D-KSCL/KSMS) to the leaders of Provincial Statistics Offices for local management direction and preparing reports sent to GSO.

4.6. Supervisors should arrange to meet each survey team at least one time in the first week to resolve quickly issues emerged and correct errors systematically. Build monitoring plan for the survey teams under supervision.

4.7. Join the provincial Review Council to approve completed questionnaires of the surveyed teams under supervision.

5. Report implementation plan and progress of the Household Living Standard survey

For better direction of GSO, provincial Statistics Departments are required to make report on implementation plan and progress of the VHLSS in the province as per forms 5A and 5B (see attached forms). In case of unforeseen issues arisen that need to be discussed straight away, other forms of communication can be used such as telephone, fax, and email (at address xahoimoitruong@gso.gov.vn).

PART II: HOUSEHOLD QUESTIONNAIRES

A. SUMMARY OF SECTIONS AND IDENTIFICATION OF RESPONDENTS.

Household questionnaires has a cover page and 10 sections, each of which has some parts. For some parts, interviewers have to interview each member of the household and for some others, interviewers have to interview the person who knows most about the information in the household.

Cover: Contain managerial information of the VHLSS 2008 and a part of the VHLSS 2006. This information includes address of the household; area (urban/rural); full name and ethnic group of the Household head; date/month/year of the interview, date/month/year the team leader checks the completed questionnaire; whether interpreter is employed in the interview; full name, code, and signature of the interviewer and the team leader.

Section 1. List of household members: This section includes 4 parts: part A list of household members and their demographical data; part B is a list of house workers/housemaids, house labors, lodgers, part C is the list of far away people. Questions are raised to the Household head or some other members.

Section 2. Education - training and vocational training: This section includes information on educational level and school types of all members. Tuition fees are questioned only for income and expenditure survey form. Respondents are household members and parents reply in place of their children.

Section 3. Health care: This section includes information on sickness/ diseases/and injuries status, health care insurance, the use of health care services by household members over the last 12 months. Health care, treatment, and health care equipment expenditures are questioned only for income and expenditure survey form. Each household members answer the questions for themselves and parents reply in place of their children.

Section 4. Income: This section contains information on household income from various sources:

- Information on working hours of members from the age of 6 and over;

- Information on salaries and wages of members from the age of 6 and over;

- Income from agriculture, forestry and fisheries production;

- Income from non-agriculture, non-forestry, and non-fisheries activities of the household (including non-agriculture, non-forestry, and non-fisheries services);

- Other income sources.

Respondents are those who earn income from the above sources and know most about self-employment economic activities.

Section 5. Expenditure (income-expenditure form): which is expenditure for food, including self-supplied food products (during Tet, holidays and daily consumption); expenditure on non-food items and other expenditures. Respondents are those who know most about this information in the household.

Section 6. Fixed assets and consumer durables: This section lists fixed assets for production and consumer durables. The most suitable respondents are Household heads and those who know most information about this kind of assets and household items.

Section 7. Housing: This section identifies houses of all households, housing cost, electricity and water and hygiene equipments expenditure. It also contains questions on income form land and house rents. Questions are raised to Household heads or those who know most about this information in the household.

Section 8. Participation in poverty reduction programmes: This section collects information on benefits households get from poverty reduction programmes as well as other policies for the poor. This section also include information on loans, debts of households in the last 12 months. Respondents are Household heads or those members who know most about this information in the household.

Sections 9. Governance module: This section include information on experiences and attitudes of household in working with agencies where supply public services as well as attitudes of people on the working approaches of local authorities

Sections 10. Risk management module: This section ask information on (i) frequency of facing with unexpected shocks and risks which have bad effects on household livelihood; (ii) impact of unexpected shocks/risks to household; and (iii) and the ways which households solve consequence, including supports from outside. Simultaneously, this section also consider the expecting of households to unexpected shocks/risks in the future.

B. GUIDELINES ON FILLING INFORMATION IN THE QUESTIONNAIRE

Guidelines for interviewers in filling information in the questionnaire:

1. Interviewers should record information collected right during the interview and not write information collected on a piece of paper and then record that information after the interview or memorise respondents' answers and then record that in the questionnaire after the interview.

2. Interviewers must not let the respondents see or listen to the contents of questions and codes of answers printed in **CAPITAL** letters. Interviewers should find the code or answer that are most relevant to the answers rendered by the respondents. If no relevant code is found, interviewers can use "other" code and write further notes in the space provided.

For the contents of questions and answer codes printed in normal letters, interviewers must read out clearly for the respondents to understand and answer.

Thus, interviewers need to be well trained to become skilled data collectors and interviewers, obey principles and procedure set for data collection process, and grasp correct information provided by respondents.

Example 1:

Section 1. Question 1:

"WRITE IN CAPITAL LETTERS AND IN ORDER OF CORE HOUSEHOLD"

This is printed in capital letters to guide interviewers and is not to be read to respondents.

Example 2:

Section 4A. Question 2:

"ARE YOU WORKING? (IS THERE CODE 1 IN QUESTION 1?)"

YES……………1

NO…………….2 (>>4)

This question is not necessarily read to the respondents. Interviewers base on question 1 of this section to decide whether the answer is yes (code 1) or no (code 2).

Example 3:

Section 4A, question 10:

"Which economic sector are you working in?"

SELF-EMPLOYED FOR PRIVATE BUSSINESS/LIMITTEDCOMPANY….1 (>>13)

SELT- EMPLOYED FOR FAMILY

(NOT PRIVATE BUSSINESS/LIMITTEDCOMPANY) ….. 2

WORK FOR OTHER HOUSEHOLDS……………………………………………3

STATE SECTOR……………………………...……………………………..4

COLLECTIVE SECTOR…………………………………………………5

PRIVATE SECTOR…………………………………………………….6

FOREIGN-INVESTED SECTOR……………………………………...7

Interviewers read the question to the respondents but do not read the capital letter printed answers. Then interviewers record the code most relevant to the reply of the respondents.

3. Most questions are already coded except some are coded later by the team leader. Interviewers have to fill the relevant answer code. If the answer is in figure then interviewers have to write that figure in the relevant box.

Example 4: Section "Housing":

Question: "Does your household own this house?"

YES, WE OWN THE ENTIRE HOUSE.........…....1

YES, WE OWN PART OF THE HOUSE……….2

NO …...3

$\boxed{1}$

Respondents say: "Yes".

Interviewers ask further: "Do you own all the house?"

Respondents reply: "Yes."

Interviewers write code 1 in the corresponding right box.

Example 5:

Question: "According to the current market price, how much is your house worth?"

500 000	Thousand dong

Respondents say: "500 thousand dong"

Interviewers write "500,000" in the next right box.

4. Signs for moving from one question to another is as follows:

a) If there is no jump step then move on to the next question

Example 6: Section 1, part A, question 2:

"Sex of …[NAME]…"

MALE………………1

FEMALE…………..2

After getting the response from the respondents, interviewers go on with question 3 because there is no jump signal.

The sign (>>) always stands next to a certain code or answer and indicates the next question, part, section or person to be interviewed.

Example 7: Section 2, question 4:

Question: "Are you …[NAME]… currently going to school?"

YES……………………………1 (>>6)

ON SUMMER VACATION…2 (>>6)

NO……………………………..3

If the answer is "yes" or "on summer vacation", interviewers record the relevant code and then move on to question 6. If the answer is "no", interviewers write code 3 and move on to the next question.

c) Signal >>

allow interviewers to move on to the next question, part, section or person to interview without necessarily referring to the code/answer of the question.

Example 8: Section 2, question2:

Question: "Do you …[NAME]… know how to write and read?"

YES…………….1

NO……………..2

In this example, regardless of whether the answer is coded 1 or 2, interviewers move to question 5.

5. Questions in this questionnaire often use words or phrases such as ong/ba or …[NAME]… to address the respondents (directly or indirectly via the person who answer in replacement). Under specific circumstance, interviewers should address and call the name of the respondent in a way that is suitable with the name, age and sex of that person.

6. If the content of the answer does not resemble any code in the listed codes, interviewers record in "**OTHER CODE**"**.** In this case, interviewers should ask further to make the answer be more specific and record in the space provided so that it is easier for the team leader and supervisor to check the completed questionnaire later.

Example 9: Section 4D1, question 2, code 109 "Other (note clearly_____________)".

Respondents reply: "Income from winning lotto 12 million dong".

12 000

Interviewers write: "Other (note clearly _winning lotto_)"

1. Data recorded in the questionnaire are integral numbers.

2. Unit for calculation is **THOUSAND DONG.**

3. Abbreviations:

Total income or expenditure printed in abbreviated form includes 3 parts X, Y, and Z in which:

X is the order of the section (for example 2, 3, 4A.)

Y is the abbreviation of indicators (CT: costs and expenditure; C: expenditure; TN: income; T: revenues)

Z is the order of the indicator in that section or part.

For example, 3CT1, and 3CT2 are health care expenditure 1 and health care expenditure 2 respectively; 3CT is total health care expenditure.

C. RECORDING FIGURES AND TEXT INFORMATION IN QUESTIONNAIRES

1. Write clearly in ball pen. If the information is incorrect, interviewers cross that incorrect information and write the correct information besides but on the right line to avoid confusion. Do not erase or use correction pen and overwrite on the incorrect information.

2. Write in capital letters if it is required and in Arabic numerals. For example, interviewers should write 1 but not I, write 4 but not IV. Write human name in capital letters, for example **NGUYEN THI DUNG.**

3. Never record information exceeding the space provided, even though there is abundant space below that.

4. In writing figures, there needs to have one space between three consecutive numerals. For example, one hundred thousand should be written as 100 000 but not 100000 or 100.000.

5. For questions concerning quantity and value, just write the quantity as is stipulated without attaching the unit (as units are printed already in the box next to the information). For example:

Reply: "twenty thousand dong"

Write: 20 but not 20 000 dong or 20 thousand dong.

Reply: “3 kg”

Write: 3 but not 3 kg.

6. For questions concerning quantity and value, interviewers are required to record as is instructed in the questionnaire:

- If the respondents reply “I don’t know” or “I do not remember clearly” then write “KB” (meaning ‘I don’t know’). If respondents only remember the total amount and some break-up figures, the interviewers record the total and the break-up figures in respective columns. Those column respondents are unable to remember, interviewers just write “KB”.

- If the answer of the respondents delivers no figures, interviewers write 0 but not “KC” (For provinces and cities participating in the training workshop organised in the North).

SECTION 0: INFORMATION ON THE COVER OF THE HOUSEHOLD QUESTIONNAIRE

<u>Section recording information of the VHLSS 2008:</u>

Interviewers write the code of the province/city, district/town, and commune/ward according to **The list of the enumeration areas in 2008** sent by GSO to provincial Statistics Departments.

Province/city, district/town, commune/ward codes in VHLSS 2008 is applied as in “list of Vietnam administrative units 2001”, these codes is also applied in 2006 VHLSS. Some provinces/cities have new splitted districts/towns, communes/wards which has no names and codes in “the list of Vietnam administrative units 2001” then: district/town codes write the next numerical order after last district/town code in the list of provincial administrative units for these new district/town (using the list of Vietnam administrative units 2001) and keep the same codes for commune/ward as VHLSS 2006. Reselected Enumeration areas, according to the (dis) aggregations, communes may become wards as rurals are become urban areas and vice versa then communes/wards may have new names, these enumeration areas are still be kept in the sample of the survey 2008, just change the name of communes/wards/ enumeration areas by their new names and keep the same codes of communes/wards, name of enumeration areas in VHLSS 2006 and recode the areas of urban or rural. In case selected enumeration areas are cleared away, Provincial Statistics Office will replace that area by new enumeration area in the same selected commune/ward, by base on the number of enumeration areas in commune/ward (according to 1999 Population Census Enumeration Areas) randomly select 1 enumeration area to listing and selecting households. Code of this enumeration area will be 8 (equivalent to 2008). This enumeration area can not be duplicated with any prior selected area. In case the whole commune/wards was cleared away, the select another commune which has similar geographic, economic conditions to replace and select 1 enumeration area by the same method as mentioned above and code of this enumeration area should also be 8 as above mentioned regulation.

Specifics are:

Province/city: Write the name of the province and city under central government administration selected for the survey and fill relevant codes in the boxes as follow: The first box is regional code; the last two boxes are the code of the province/city. For example, Hanoi is located in the Red river delta, which is code 1; code for Hanoi is 01 so the three boxes are:

1	0	1

District/ town: Write the name of the district, town and city selected for the survey and fill relevant codes in the two boxes (write cardinal number, do not write regional code or province code). For example, the code of Ba dinh district is 01, so it is:

1	0

Commune/ sub-district: Write the name of the commune/ sub-district selected for the survey and fill relevant codes in the two boxes (write cardinal number, do not write regional code, province code or district code). For example, the code of Kim Ma sub-district (Ba dinh district) is 11, so it is:

1	1

Enumeration area: these are selected from the localities in the Population and Housing Census in 1999, each enumeration area has a cardinal number, interviewers write the name of the enumeration area and its corresponding code in the column “Name of enumeration area” and “Code of enumeration area” of the **List of enumeration areas 2004.**

Areas: Write code 1 if the surveyed area belongs to a sub-district and code 2 if it belongs to a commune. For areas that were previously rural areas but at the time of the survey they are officially upgraded as sub-districts, then write code 1.

Full name of household head: Household heads are breadwinners, the ones who manage and administer the household, and make decisions for the major issues in the household. Write full name of the Household heads in capital letter with marks. With households participated in VHLSS 2006, if former household heads were replaced by new heads (household splitting, former household heads died or that household left the commune/sub district…), then write name of new household heads with relevant household codes.

Household numbers: Mark the number of the surveyed household in the list of selected households for the survey. Each enumeration area select 20 households (15 official households and 5 stand-by households), 15 official household mark the number from 1 to 15, of which 12 official households for income questionnaires are marked from 1 to 12, official households for income and expenditure questionnaires are marked from 13 to 15, 5 stand-by households are marked from 16 to 20 (3 stand-by households for income questionnaires are marked from 16 to 18 and 2 stand-by households for income and expenditure questionnaires are marked 19 and 20). In case official households are replaced by stand-by households, interviewers write the number of the stand-by households in the list of the surveyed households. For example, in one surveyed area, there are two households numbered 5 and 14 having to be replaced by two stand-by households numbered 16 and 19. As is stipulated, the household replacing household number 5 is marked 16 and household replacing household number 14 is marked 19.

In case enumeration areas of VHLSS 2006 which is reselected in VHLSS 2008 do not have enough 5 stand-by households, then it’s necessary to supplement enough 5 stand-by households, the code of the first stand-by household is marked 2, the second stand-by household is marked 22… For example, in an enumeration area of VHLSS 2006, 2 official households were replaced by 2 stand-by households (households number 16 and 19), in VHLSS 2008, this enumeration area need to be added 2 more stand-by households, following principle of selection, the first added stand-by households will be marked 21 and the second will be 22. In case, this enumeration area, all 5 stand-by households were used up, 5 new stand-by households need too be selected and marked from 21-25 (3 households marked 21-23 is for income questionnaires, 2 households marked 24-25 is for income and expenditure questionnaires). All stand-by households need to be selected by Provincial Statistics Offices which ensured to follow the methodology of systematic sample selection in list of households in each enumeration area (see the guideline on sampling selection).

Households in enumeration areas of VHLSS 2006 which reselected in VHLSS 2008 need to be coded the same as in VHLSS 2006. 1-15 for official households (1-12 is for income questionnaires, 13-15 is for income and expenditure questionnaires). Replaced households are coded as stand-by households. Enumeration areas which had replaced households in 2006, if provincial Statistics Offices had already recode all households from 1 to 15 then it’s not necessary to recode again.

Each enumeration area of VHLSS 2008 need to select 5 more households to interview weight for consume index, mark number from 101, 102, 103 for 3 official households and 104, 105 for 2 stand-by households.

In new enumeration areas which is selected for the survey on weight for consume index, households will also be marked from 1-15 for official households and 16-20 for stand-by households. If an official household is replaced by a stand-by household, the code will be the code of stand-by household.

Ethnic group of the Household heads: Write the name of the Household head’s ethnic group and its code as per the ethnic group code table in the correct space.

Address: Write clearly the name of the hamlet or village for rural areas and street and address for urban areas.

Number of the questionnaire: Write the number of the questionnaire of a specific household out of the total number of questionnaires. In Household Questionnaire, Section 1 can record at most 15 members. If the household has 15 members or less than that, one questionnaire form is used for the interview and in the box “Questionnaire number” the interviewer writes 1/1. If the household has more than 15 members, one additional questionnaire form is used for the interview. Each additional questionnaire form can record information for another 15 people. Interviewers should record information of all household members needed for all questions in both two questionnaire forms.

In case the additional questionnaire form is used, in the box “Questionnaire number” of the main questionnaire interviewers write “1/2” (meaning “the first questionnaire of the two questionnaires used to interview one household”), and “2/2” in that box of the additional questionnaire (meaning “the second questionnaire of the two questionnaires used to interview one household”). Member code in the additional questionnaire form starts from 16 running to 30.

IS INTERPRETER NEEDED?: For ethnic minority households that members cannot communicate properly in Kinh language and interpreters are needed during the interview, interviewers write code 1 for the interview conducted at the households. Otherwise, interviewers write code 2.

<u>Section recording the code of VHLSS 2006:</u>

For households that were selected for the VHLSS 2006, team leaders have to record all provincial/city code, district/town code, commune/sub-district code, surveyed locality, area, household number and quarter in that household's completed questionnaire in VHLSS 2006 before turning it to the interviewers.

In case the household selected for the survey has removed to other commune/sub-district, the stand-by household is interviewed.

In case the household selected for the survey has split into two or more than two households, interviewers interview the household whose owner is the owner of the household in VHLSS 2002. If the Household head in VHLSS 2006 has died, interviewers choose household which has the most number of members in VHLSS 2006.

For households that were not interviewed in the VHLSS 2006, interviewers skip this section.

Section for the confirmation of team leaders and interviewers:

Team leaders and interviewers have to write fully the Household head's name, household code, date/month/year of the interview and date/month/year when the questionnaire is checked, and then both sign on the questionnaire.

SECTION 1. PART A. LIST OF HOUSEHOLD MEMBERS

Objectives

Identify the members of households and collect basic demographic information on household members such as gender, relation with household head, age, marital status, and permanent address. The list of household members is an important input for the calculation of indicators like income per capita, expenditure, etc. and a basis for comparing living standards among regions and areas, the result of which is to suggest policies for stabilising and improving people's livelihood.

Respondents

It would be best if household head answers the questions in this section. If the household head is not at home, another respected member replies in stead. The respondent should know information about other members in the family. Interviewers should ask to identify the right respondent among the household members. Other members supplement information on themselves.

Concept/ Definition/ Scope

Household:

Is a person or group of people sharing accommodation and foods for at least 6 months over the last 12 months calculating from the time the survey is conducted. These people also share a collective fund.

Household members:

People considered as household members must meet the following two requirements:

1. Eat and live with other members in the house for at least 6 months over the last 12 months.

2. Share a collective fund with others; meaning that all income of the member must be contributed to the fund and all expenditure of the member is paid from that fund.

However, bellows are 7 exceptions when identifying whether a person is a household member or not:

1- Person identified as household head is always regarded as a household member even though this person has not eaten and lived with other members in the house for more than 6 months.

   Household head is the one who manages and administers the family, plays a leading role and decides in the household. Normally, (but not necessarily) household head is the highest income earner in the household and control economic activities as well as employment of other household members. The majority of household heads in this concept coincide with household heads registered in the Residential Book, but there may be cases where household heads in the survey are not household heads registered in the Residential Book.

2- Children of less than 6 months old are regarded as household members.

3- People who are going to stay for long in the household, regardless of whether they have certifications (certificate of marriage, certificate of demobilisation, etc.). These people include: brides moving to live in the husbands' home, grooms moving to live in the brides' home, people working and learning abroad or working in domestic enterprises and organisations returning to live with the household, people demobilised from the arm forces, or retired, etc. returning home but have not been living with the household for as long as 6 months are still regarded as household members.

4- Pupils and students learning and studying in other localities of the country but still being supported by the family are regarded as household members.

5- Visiting guests and relatives living with the household for at least 6 months, and household cover all living expensive for them are regarded as household members.

6- Tenants, employees, servants, and relatives having their own families living far away but living and sharing foods and other expenses with the household are not regarded as household members (because these people have their own budget).

7- People removing to live away from the household for a very long time and those who have died in the last 12 months are not household members, though they have lived in the house for more than 6 months.

There are many types of households:

- Households of two generations: parents and their children.

- Households of many generations: household heads, their spouse and children; parents, nephews and nieces of household heads, and others regardless of whether they are relatives of household heads but share foods and accommodation with the households for at least 6 months in the last 12 months upon the date of the survey.

- Household consisting of two or three married couples having no children.

- Households of single person.

Accommodation:

Is a set of structure (room, flat, and house) detached or semi-detached where live members of the household. There are many types of accommodation:

- A cottage, hut or a detached house.

- A part of a cottage, hut or house.

- A group of cottages, huts or house, with or without fence or wall surrounding.

- An apartment with a private toilet or shared toilet.

- A part of an apartment with a private toilet or shared toilet.

Tenants:

Are people who pay rents for their accommodation and share/not share foods with the surveyed households. They are not regarded as members of the surveyed households but of others.

Contents and recording method

This section consists of 10 questions. Interviewers should complete questions from 1 to 3 for all household members before moving on to questions from 4 to 10 for individual members.

Question 1: Only raise this question to people identified as household members according to the above criteria. In order to identify correctly household members before writing down in the questionnaire, and to avoid errors and correction (as interviewers may write down non-members), interviewers should ask some general questions to warm up the atmosphere and bridge the gap between interviewers and household members on the one hand and identify correctly household members on the other hand. The content of general questions is to search for such information as the number of household members; who they are; who plays the leading role in the family, manages and decides the major issues of the family; relation between household members and the owner; who often eat and live in the household; who are temporarily away, who are away from home for more than 6 months in the last 12 months; which servant eats with the household; who are visiting guests and relatives living with the household for no less than 6 months, etc.

Once household members have been identified correctly, interviewers write in capital letters the names of all household members in order:

- The first person to be written down in the questionnaire is the household head although this person may not be the respondent or even when this person is not present at home. Household head is always coded number 1.

- Then followed by household head's spouse and children who are not yet married from the oldest one to the youngest. If the household head has many wives, then interviewers write the names of the first wife and her children, then the second wife and her children and go on in this way.

- Then followed by household head's children who are married, their spouse and children (if any).

- Then come father, mother, adopted brothers and sisters, maternal and paternal grandparents, maternal and paternal grandchildren (whose parents are both not living in the surveyed household) and other relatives of the household head and his/her spouse.

- Finally, non-relatives.

In fact, there are cases where parents eat and live together with their children's own family, food expenses are shared by both sides, but other expenses are paid separately by the two sides from their own budgets. The most feasible solution in this case is that this is still considered as a household though it does not satisfies the criterion of sharing a collective fund. Interviewers should ask parents and their children's family about their other non-food expenses to be recorded in the questionnaire.

There are also cases where the household does not wish to declare a certain member, for example the third child or the member who is not registered in the Residential Book. Under this circumstance, interviewers should explain clearly to the household that they will not be fined and that the interviewers will not provide the information to the local authority and the information will be kept secret, it is used merely for analysis, and the analysts will not know the names of members as well as the address of the household.

If the household has more than 15 members, interviewers have to record information of the 16th member on the second questionnaire form.

Question2: For direct respondents, interviewers can easily identify whether they are male or female. However, for children and those who are not present at home at the time of the interview, interviewers should not rely on their middle names to guest male or female but ask the main respondents to record code 1 or code 2.

<u>Question3</u>**:** The first member to be recorded in the first row is household head, even this member is not current respondent or they may absent from their hose. Household head is also coded as number 1

Household head is the one who manages and administers the family, plays a leading role and decides in the household. Interviewers are requested to warn respondents on the question on who is the household head. It's nonsense in looking at the household head in the household resident book.

Record the code of the relation with household head for each member. Interviewers should write correctly this code as it is instructed in the questionnaire.

<u>Question 4</u>**:** Record the month and year of birth of each member in solar calendar. Interviewers have to identify actual month and year of birth of each household member. If household members have, for example, birth certificate, residential book, and passport, interviewers base the month and year of birth of household members on that. If there are no such certificates or papers or such certificates do not provide sufficient or necessary information, interviewers base on declaration of the surveyed people. In reality, to collect exact information on month and year of birth of many people in solar calendar is not easy at all. Some people do not remember, or if they can they just remember their month and year of birth in lunar calendar. Solutions for this problem may be:

- In case the respondent only remembers the lunar year of birth such as Red Dragon or Gui Ox, interviewers have to refer to the *table converting lunar year to solar year* printed in the questionnaire to convert from lunar year to solar year before recording it down in the questionnaire.

- In case the respondent just remember the "Zhi" such as Rat, Ox, Tiger, etc. of the lunar year, and do not remember the "Gan" such as Jia, Yi, Bing, interviewers should ask the age of that person in lunar calendar and refer to the *table converting lunar year to solar year* to identify the solar year of birth of that person.

- In case the respondent just remembers the age based on lunar calendar, interviewers estimate the solar year of birth of that person basing on the following formula:

  The year of survey – Age in lunar calendar + 1 = The solar year of birth

  Example: The year of survey is 2008, a respondent says he/she is 59 in lunar calendar, he or she was born in 2008 – 57 + 1 = 1950.

- In case the respondent does not remember the year of birth, interviewers may ask questions such as: How old were you when you gave birth to the first/ or the last child? Or how old were you when you got married?. Interviewers may relate the year of birth with historical events or the events occurred in the locality to identify the year of birth in solar calendar. After all these questions raised to the respondent but the interviewers are unable to identify the year of birth of the respondent they have to estimate the respondent's age basing on that person's appearance, the age of the first child or that person's brothers and sisters, etc. The interviewers must not leave this question unfilled.

- In case the respondent does not remember the solar month of birth, interviewers need to ask suggestive questions to identify the solar month of birth of that person such as: How long (how many months) were you born before or after Tet?; Were you born in the spring, summer, autumn or winter? In which season were you born: dry or rainy?.

Interviewers can also ask questions related to the memorable days of the nation as well as of the localities such as the National Day (2 September), the International Labour Day (1 May), Dien Bien Phu Victory Day (7 May 1954), Liberation Day (30 April 1975), and other local festival days, etc. After raising all these questions to the respondent but the interviewer is still unable to identify the date and month of birth of the respondent, the interviewer just notes KB (meaning do not know) to the corresponding line of that household member.

***<u>Question 5</u>*:** Age is important information in this survey. This question seeks information on the year of birth to calculate the exact age of the respondents. Age is rounded at the time of survey. The method is as follow: If the month of interview coincides with or after the month of birth, the age is calculated as the year of interview minus the year of birth. If the month of interview is before the month of birth, the age is calculated as the year of interview minus the year of birth minus 1.

Figure 1: The month of interview is after the month of birth

Rounded age = The year of interview – The year of birth

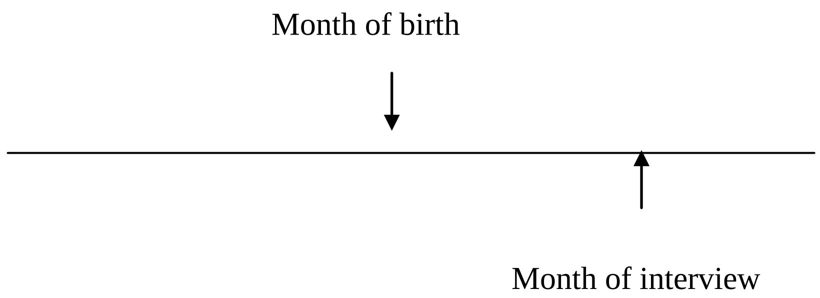


Figure 2: The month of interview coincides with the month of birth

Rounded age = The year of interview – The year of birth

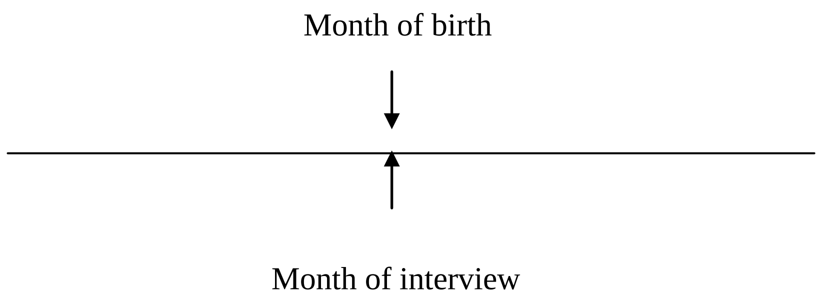
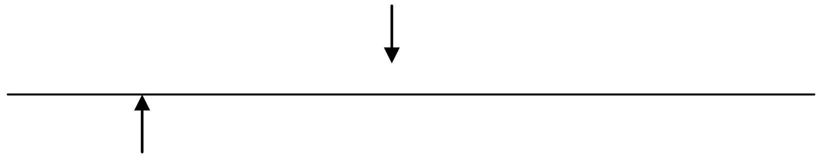


Figure 3: The month of interview is before the month of birth

Rounded age = The year of interview – The year of birth - 1

Month of birth



Month of interview

Example: The month of interview is May 2008, a household member was born in June 1968, the rounded age of this person is: 2008 – 1968 - 1 = 39; the month of interview is June 2008, a household member was born in February 1960, the rounded age of this person is 2008 – 1960 = 48.

***<u>Question 6</u>*: This question is asked only to household members who are at least 13**

- *Not yet married: P*eople who have never been married or lived with another as husband and wife.

- *Married:* People who are legally acknowledged as being married or as living with another as husband and wife or are acknowledged as being so by tradition and custom.

- *Widower/widow:* People whose wife or husband died and have not been remarried. If a man has two wives or more than that and one of them is died, this man is not called a "widower" but he is married.

- *Divorced:* People who had been married before but have been divorced legally and not yet remarried.

- *Separated:* People who are married but currently not living with their husbands or wives as husband to wife.

It is necessary to distinguish separated people and people who are living far away from their husbands and wives for a long time because of business reasons. These people belong to the group of married people. Interviewers should be careful and artistic in identifying marital status of a household member since a divorced or separated person may reply he/she is unmarried.

***<u>Question 7</u>*:** Record the total number of months the respondent has lived with the household over the last 12 months. If a member lives with the household for 1 day in a month, it is considered as one month.

The duration of the last 12 months:

The duration of the last 12 months is calculated from the date of interview backwards. In the interview, interviewers should indicate this duration clearly. For example, if the interview is conducted in 10 May 2008, the first day of the duration of the last 12 months is 10 May 2007.

Example: an interviewer interviews a household in May 2008, the household has one student member learning far away from home but all expenses are taken into the household's account. This student has a four-day holiday at home in April 2007, two-month summer vacation at home (June and July 2007), a two-day stay at home in October 2007, and a one-week Tet holiday in February 2008, then the total number of months staying at home is 4.

Question 7a: This question is asked for persons who is not in the household at least 6 months in the last 12 months but they are still be considered as household members (exceptional cases). This question is to identify the exceptional cases.

Question 8**:** It's noted that with households in new splited communes/sub-districts, and these households is not moving or left their original living places and registering their residences in their original place can be coded as 1.

Question 9**:** Compare name and code of province in the list of provincial code, write name and code of province which household members registering their residence.

Question 10**:** Record the number of months and years the respondent has lived in the current city or province. This number is calculated on the continuous duration of time up to the time of the interview that person has lived in the current city or province. For example, the interview is conducted in May 2008 to a person living in province A from February 1982 to October 1990, in province B from November 1990 to January 2001, from February 2001 this person returned to live in province A. The duration of time recorded in question 9 is from February 2001 up to now, that is 5 years and 3 months.

1B. LIST OF MAID, HIRED LABORS, TENANTS IN HOUSEHOLD

Maids, hired labors, tenants in household have their own households, which separately with original (surveyed) households, even these people live with original households and share their money on food with households but they can not be considered as household members (as they have their own budgets) and their names should not be put in section 1A but in section 1B and their information will not be asked in next sections of household questionnaires.

Question 1: It is noted that with lodgers, who are not sharing their meals but sharing their accommodation with households and they are not sharing their budgets with original households, then these persons can be considered as another household, and should not be interviewed in this section.

Information filling in questions of this section is the same as corresponding questions in section 1A. (particularly, question 7 can be filled as question 8 section 2- Education)

1C. LIST OF AWAY- FROM-HOME PERSONS

Objectives

This section I to collect information on persons who are not living in the surveyed households at the current time but can come back to the households in the future and they have many impacts on the household economies as they are the persons who responsible for income earners far from home or labors working abroad. They are the persons who usually send their income to support for surveyed households. This section will provide important information on remittances, assistants of households

This section is asked for both households in, or not in VHLSS 2006. Away from home persons include person who leave households in the last 12 months or in many years ago.

Information on these persons are not collected in section 1A- list of household members. Their information will not be collected in next section.

It's should be noted that pupils, students who study far from home but surveyed households still support form these members then they still should be considered as household members and their information will be collected in section 1 A and should not be filled in this section. With persons who work as maids in other households, their information will be collected in this section of their original household.

<u>Question 1:</u> This question is to get information on the persons who are working far from home at current time but in the future, they can come back to live in the household. If there is one person at least, who are working and living far from home, interviewer will ask next questions from 2-10, if not, mark code 2 and skip to next section.

<u>Questions 2- 6</u>: The same as section 1 A

<u>Question 7</u>: Write information on the current living place of this person

<u>Question 8:</u> Write information on the primary work which this person spend most of his/her time on in the last 12 months. Using occupation codes in section 4

<u>Question 9:</u> write total expenses which household has spent for this person (in kind and money) in covering his/her living expense, getting his/her job, including expenses for intermediates, travel fee, presents…

<u>Question 10:</u> Write total amount of money and in kind value which his person sent to households in the last 12 months.

1D. HOUSEHOLD MEMBERS IN VHLSS 2006

Objectives

This part is to identify the status of household members in VHLSS 2006 who remain household members and are in VHLSS 2008 or who have removed from the household. Those who are involved in both the two surveys will be analysed to evaluate the changes in living standard and other related factors of the individuals and household over a 2-year period. Therefore, information in this section is required to be absolutely precise.

Respondents

It would be best if household owner answers the questions in this section. If the household owner is not at home, another respected member replies in stead. The respondent should know information about other members in the family in the VHLSS 2006. Interviewers should ask to identify the right respondent among the household members.

Contents and recording method

<u>Questions 1 to 5</u>**:** Team leaders base on the sample list of VHLSS 2008 and the list of household members of VHLSS 2006 to record information in these questions.

In question 1, if household was not involved in VHLSS 2006 interviewers write code 2 and move on to Section 2.

Questions from 2 to 5 copy exactly household member full names, codes, gender, and age from the list of household members in VHLSS 2006.

<u>Questions 6 and 7</u>**:** Interviewers base on Section 1 part A to judge whether these people, in the year of 2008, are household members or not.

If they are household members, interviewers write code 1 in question 6 and copy member codes from section 1 part A to question 7. Interviewers should note that the member codes of the same person in VHLSS 2006 (question 3) and in VHLSS 2008 (question 7) might be different.

For those people who are no longer household members in 2008, interviewers write code 2 in question 6 and ask household owners or the most concerned people the reason why they are not in the household now.

Questions 8 and 9**:** Interviewers ask household owners or the person who knows most why some members are not household members in 2008 and write the correct code in the questions.

If the code in question 8 is 2 (i.e. this person is dead), interviewers move on to ask the next person.

Question 10, 11: Interviewers ask the address and occupation of this moving person, write the name, provincial code, occupation description and occupation code

SECTION 2. EDUCATION, TRAINING AND VOCATIONAL TRAINING

Objectives

This section is to seek information on educational and technical level of household members and education expenses in the last 12 months. This information is to help analyse the relation between living standard and education, training, and vocational training to suggest policies and plans for the development of education, training and vocational training.

Respondents

Interviewers have to ask each and every member of the household who are from the age of 3 up. Parents answer in place of too little children.

Concept/ Definition/ Scope

➢ The national education system consists of:[1]

- Pre-school education consisting of kindergartens and nursery schools.
- Comprehensive education having two tiers: primary and secondary education. Secondary education has two tiers: lower secondary and upper secondary education.
- Vocational training school system.
- Higher education consisting of college and university education, post-graduate education educating masters and doctors.

Education patterns are formal education and non-formal education.

➢ People who are regarded as pupils and students must meet one of the following requirements:

- People who are enrolling in any formal education form or grade of the national educational system at state-owned, collective, domestic private and international schools, bases and centres.
- People who are participating in the non-formal education form of the national education system.
- Exceptions are: people who graduate from a specialised faculty in a medical college and then go on to learn as trainee doctors at hospitals; people learning in preparation courses for universities; people learning politics at the communist schools or religious schools.

Thus, people who are participating in courses not belonging to the system of the state's education, training, and vocational training and are not awarded degrees or certificates such as preparation courses for taking exams into universities; courses training tailors, motorbike repairers; courses training people how to set flowers, cook, type, and take shorthand; and courses training traditional work skills in both traditional and modern ways, courses organised by enterprises to train their staff and workers all are not regarded as people learning or studying at schools but all the expenses involved in following such courses are recorded in question 16.

[1] According to Section 6 of Education Law

Knowing how to read and to write:

A person regarded as knowing how to read and to write if he/she can read, write and understand fully simple sentences in Vietnamese language, ethnic minority language or foreign language.

Contents and recording method

***<u>Question 1</u>*: ** Write in the highest grade of comprehensive education a person has completed (including regular (non-formal) education). In case the household members are learning at schools, interviewers write the highest grade of comprehensive education by subtracting the grade being at by 1. For example, if a person is learning at grade 10, the highest grade of comprehensive education is grade 9. Another person dropped out of school when being at grade 9 is recorded 8 for the highest comprehensive education.

Interviewers have to convert grades of different education systems to the standard education system for synthesizing data and information.

***<u>Question 2</u>*: ** This question is only asked to people learning from nursery school level to the grade 4. Interviewers write code 1 if a person both knows how to read and write. If a person only knows how to read but not to write, interviewers write code 2 (excluding people who are unable to read and write under abnormal circumstances or those who are, for example, short-sighted and thus unable to read because he/she does not have supporting devices – glasses, to say)

***<u>Question 3</u>*: ** Write the code of the highest degree among the degrees and certificates listed by a certain household member under the two categories: education-training and vocational training. If a person possesses many degrees, interviewers write the highest degree in education in the column "**COMPREHENSIVE EDUCATION AND HIGHER EDUCATION"** and the highest degree in vocational training in the column **"VOCATIONAL TRAINING"**. For example, if a respondent possesses an upper secondary education degree and a technical worker training degree, interviewer writes code 3 in column **"COMPREHENSIVE EDUCATION AND HIGHER EDUCATION"** and code 4 in the column **"VOCATIONAL TRAINING"**.

Interviewers should note recording the degrees in codes from 0 to 11 as identified in the questionnaire. Politics and religious degrees are coded 11.

The column **"VOCATIONAL TRAINING"** includes codes from 4 to 6, and thus column **"COMPREHENSIVE EDUCATION AND HIGHER EDUCATION"** includes the rest codes. For those attending vocational training courses for less than one year at vocational training centres or business and production units and being awarded certificates, interviewers write code 4 "short-term vocational training". For those attending vocational training courses for 1 to 3 years at vocational training schools, colleges and universities and being awarded certificates, interviewers write code 5 "long-term vocational training". If household members graduate vocational college, interviewer mark code 7 in the vocational training.

***<u>Question 4</u>*: ** Interviewers write the code for the type of school a person learns or has learned at as recorded in question 3. For example, Member A graduated from Phuong Dong people-founded University, code of the high education obtained of this member is 8 in question 3 and information of the type of school of this person is people- founded (code 3).

- Public schools: schools organised, managed, invested by the State and the State pays the staff and regular expenditure of the schools.

- Public-private schools: schools established by the State on the basis of partnership between the State and non-state organisations of all economic sectors or between the State and individuals to co-invest in infrastructure under either of the two following forms: establish new schools, or transfer all or part of existing infrastructure and facilities of the public schools to public-private schools.
- People-founded schools: schools established by social, professional, and economic organisations. These organisations apply for investment licences, invest in the establishment using non-state capital and mobilise resource contribution (both financial and human resource) of teachers, scientists, and investors in the building of schools.
- Private schools: Schools organised and invested by an individual or a group of individuals.
- Other schools: Schools which do not belong to the 4 above-mentioned types of schools. These include foreign schools, schools organised on the basis of partnership between foreign partners and domestic individuals or organisations.

Question 5**:** Interviewers write code 1 this member is currently schools, and code 2 if s/he is in summer vacation (in schools as mentioned above). If s/he is not in school currently, record code 3.

Question 6**:** Write code 1 if this member has been going to schools in the last 12 month (in schools as mentioned above) and code 2 if s/he has not.

Question 7**:** This question is only asked for household members under 15 years old. Household members, who are from 15 and over skip to question 16. Interviewers clarify the main proper reason for drop out of school of under -15 year- old household members to fill the information.

Reasons for drop out of school are:

- Sickness /disability which do not healthy enough to go to school, write code 1
- Do not have resident registers in current living places: code 2
- Can not pay tuition fees and other contributions for schools: code 3
- Have to work: code 4
- Others: other reason which not belonging to 4 above reasons

Question 8: Interviewers write educational hierarchy/level of household members according to contents of codes 0-10 as printed in the household questionnaires. Particularly code 11 is used for other courses (belonging to in school definition as mentioned above) as studying in primary/ intermediate/ advance level of religious schools, on probation in ethnic universities. Studying as psychiatrist level 1 and 2, and resident physicians can be considered as students in Universities… If 1 person involve in more than 1 course, interviewers should ask for the course which s/he is considering as the main one.

Question 9: Write code of school type and school point where household members have been studying in (which mentioned in question 8).

Question 10**:** This question is about exemption or reduction of not just tuition fee but also other education expenses. Other education expenses are compulsory contribution required by the schools or the education sector such as contribution to build infrastructure of the schools, parent’s fund, etc.

Question 11**:** Record one justified reason for exemption and reduction of tuition fee and other education expenses. If there many reasons, choose the one that is most justified.

Example: it is not much to say if one pupil of grade 3 is exempted from tuition fee, but because this pupil is the child of a poor household, he/she is exempted from other education expenses. Interviewer writes in code 1.

Question 12**:** Record the percentage of exemption and reduction of tuition fees and other education expenses. Items not reduced or exempted are coded 0, fully exempted are coded 100.

Question 13**:** Collect all education expenses as required by the schools of each pupil and student in the household in the last 12 months. Other expenses not required by the formal schools such as money paid for learning foreign languages, computer, literature, mathematics, music, painting, cooking, etc. for self-improvement are not included in the education expenses of question 13.

If the respondent remembers the total expenses and some detailed amounts, interviewer records the total expenses and the known detailed amounts and writes KB for unremembered detailed amounts (in this case, the total expenses must be greater than the sum of all known detailed amounts). If the respondent only remembers the total expenses but not any of the detailed amounts, interviewer writes down the total expenses and KB in other columns for detailed amounts.

For staff and cadres sent and paid totally or partially for tuition fees by their organisations and agencies to non-formal training courses for further improvement, interviewers write the total tuition fee in question 13. The aided money is considered as scholarship and is noted down in question 15 of this section.

Sometimes, it is hard for respondents to remember expenditure items over the last 12 months. In this case, interviewers need to remind and recall respondents of the time that they spend money on a certain item, how much they have spent, etc. For example, money paid for books and notebooks at the beginning of academic school year is normally the biggest sum and thus, easiest to remember; monthly tuition fee, and fee paid for extra education are also easy to remember. Interviewers should explain clearly that education expenses are all expenses related to education over the last 12 months, not just expenses paid at the beginning of the school year.

Other expenses paid for the purchase of bicycle, tyre and bicycle spare parts for the pupils are not listed here. If bicycle and motorbike parking fees are paid for the pupils for learning purposes, they should be noted in the item other expenses in this section, otherwise they should be noted in part 5B2, item 321.

Injuries insurance premium for pupils is noted in column g. Health insurance premium for pupils is noted in section 3. In case the households buy both injuries and health insurance for their children but they do not remember the exact amounts of each, health care insurance premium is supposedly 50 thousand dong.

Question 14**:** Record the total amount this person is supported by authoritative agencies or other organisations for educational purposes such as food and accommodation at school, travelling cost, textbooks, and uniform, etc. in the last 12 months. Some poor households or ethnic households in difficult regions can be supported by the Government for money or in kind for pupil. This money or in kind will recorded in question 14.

Question 15**:** Identify whether there are any receipts related to education in the last 12 months. Receipts include scholarship, remuneration for success in learning and studying or tuition fees paid by employers. These receipts may be in cash or in kind. Count only those supported by schools, state agencies and other organisations and exclude those supported by relatives or friends.

Question 16**: E**xpenses for other training courses not included in question 13. Examples are preparation courses for university entrance exam, courses training tailors, motorbike repairers; courses training people how to set flowers, cook, type, and take shorthand; courses training traditional work skills in both traditional and modern ways, and courses organised by enterprises to train their staff and workers which are in short time and learners or trainees are not awarded degrees or certificates standardised in the national education system.

Note: interviewers should ask questions 14, 15, and 16. If the answer is 0, write in 0 and do not leave these uncompleted.

After completing section 2, interviewers add up the amounts in questions 13k and 16; 14 and 15 and write the results in corresponding boxes 2CT and 2TN. Later, these boxes will be added up in total income or total expenditure.

Note: Number “2” in 2CT means section 2 and “CT” is abbreviation of expenditure, so the figure in the box 2CT is expenditure of section 2 and is added to total expenditure. “TN” is abbreviation of income, so the figure in the box 2TN is income of section 2 and is added to total income.

WEIGHT AND CONSUME INDEX QUESTIONAIRE

This section is to collect information on education and training expenses for household members who are in school in the last 12 months and members who had/ have been participated in other training courses (occurring expenses in question 16). How ever, information is required more detail than VHLSS

SECTION 3. HEALTH CARE

Objectives

To collect information on health status, the use of health insurance card, health care services, expenses related to disease diagnosis, treatment and health care of all household members and use this as a basis to assess living standard.

Respondents

Interviewers have to ask every person using health care services in the last 12 months. If children are not at home or cannot answer the questions by themselves, other household members who know the information can reply in stead. If adults of over 15 are not present at home, interviewers ask all those who are present, then make a date to come back to the household to ask those who are not present.

Concepts/ Definitions/ Scope

- Sick/ diseased/ injured: health status regardless of being diagnosed by the health care centre or not, indicative symptoms are cough, fever, diarrhoea, pain and sore, swollen, vomiting, cold, other pregnancy accidents, poisoned; traffic accidents, work accidents, falling, bitten/hooked/and kicked by animals.

Note: light toothache, light hand/leg cut and bleeding, and acne that do not influence health are not considered as being sick or diseased.

- *The duration of the past 4 weeks* is 4 weeks prior to the day of interview, not 4 weeks prior to the week of interview. Example: the day of interview is Monday, 10 May 2004; interviewers have to tell respondents that the last 4 weeks starts from Monday, 12 April 2004.

- *In-patients* are people who have access to health care services and are treated in these health care centres.

- *Outpatients* are people who have access to health care services but are not treated in the health care centres.

- *Village health care staff:* are mobile health care staff servicing villagers and receiving monthly allowance from the State.

- *Commune/sub-district health care centres:* are state health care units located in communes or sub-districts.

- *Regional clinics:* are state health care units serving people living in communes and function as small-size district hospitals.

- *State hospitals:* hospitals under the management of the Ministry of Health, hospitals at district and provincial levels, Central hospitals including both polyclinic and speciality hospitals; hospitals under the management of other ministries and central agencies.

- *Other state hospital*s: include hospitals of ministries/agencies (which are belonging to military, post offices, train offices, polices…) or provincial epidemic centres…

- *Private hospitals:* Hospitals which is owned by private, not government. Note: it's necessary to distinguish between private hospitals with private surgeries as only some provinces in the whole country have private hospitals.

- *Other hospitals:* international hospitals, hospitals which are joint venture between foreigners and Vietnamese.

- *Private surgeries*: Private surgeries is owned by private individuals, not by state, including both polyclinic and speciality surgeries, having licence. Some private surgeries have inpatient beds for patients but not those surgeries are still not hospitals.

- *Traditional herb doctors:* Doctors who are now treating diseases for people but do not possess any official degrees of the health sector. Their treatment and curing methods are based on traditional herbs and experiences.

- *Private health care services (western medicine):* is the health care service form of independent health care professionals but not owning private surgeries. For example, retired health care staff who provide health care services at his/her home or even at patient's houses as examination, treatment, injection…; doctors working for state health care centres but working part-time outside official office hours.

- *Other health care bases:* include sector health care centres, health care centres of organisations and enterprises, maternity home; health care centres of charity organisations, red cross, and NGOs, international hospitals or other equivalents.

Acute diseases: diseases which last for not longer than 3 months and top. Acute diseases usually lasting in 1- 2 weeks and stop (with or without treatment). In case, occurring some slight symptoms like nose running, headache, no clear disease named, interviewers need to consider if that's another acute disease. Following cases should be include:

- Fever, long lasting
- Combining many symptoms

Confinement catastrophes is catastrophes happening during pregnant time and after giving birth as miscarriage, pregnant contamination, matrix breaking, bleeding, metrorrhagia, infection, puerperal eclampsia, tetanus,.ect..

- Accident/ injury: traffic accident, industrial accident, accident at fieldwork, fall, fighting, dog/cat biting, ect…
- Poisoning: There are some kinds of poisoning which depend on the reasons to classify: insecticide poisoning, food/water poisoning, medicine poisoning… the symptoms of poisoning are high fever, serious bellyache, vomiting, defecation, asphyxia, swoon…
- Burn: injured skin in large/small extent which are caused from temperature, physics, chemical…

Some special cases should be noted:

Including	**Excluding**
Accident/infure/ poisoning/ burn happening in the last 4 weeks which effect to the health of household	Small cutting in fingers/ legs and have no effection to the health

members.	
Accident/infure/ poisoning/ burn happening prior to the last 4 weeks and need to be treated in the last 4 weeks.	Accident/infure/ poisoning/ burn happening prior to the last 4 weeks which lead to permanent disability and no treatment in the last 4 weeks.

Contents and recording methods

Interviewers should ask every household member questions from 1 to 5 before moving to others. For question 6 and questions from 16 to 19, interviewers ask the main respondent in the household. For questions from 7 to 15, interviewers ask all household members who have used health care services in the last 12 months.

<u>Questions 1</u>**:** If this respondent has been sick/diseased/or injured in the past 4 weeks (according to the above concepts), interviewer writes code 1 and moves to question 3. If not, interviewer writes code 2 and move on to the next question.

<u>Question 2</u>**:** If this respondent has been sick/diseased/or injured in the last 12 months (according to the above concepts), interviewer writes code 1 and move to the next question. If not, interviewer writes code 2 and moves on to question 4.

<u>Question 3</u>**:** Interviewers write the total number of days the respondent has been sick/diseased/or injured over the last 12 months as follows:

Total number of days being seriously sick in column a: this is the total number of days this person has had to lie on bed and someone taken care of.

Total number of days being sick in column b: this is the total number of days this person has had to stop learning or working or been unable to participate in normal activities but hasn't had to lie on bed and someone taken care of.

<u>Question 4</u>**:** Interviewers ask and write the corresponding code. If the respondents say yes, interviewers had better ask them to show the free health insurance or health card. Interviewers should note that, if the code is 2 they should move on to ask the next household member.

Note: this question is to ask for health insurance cards/certificates/ books at the interviewing time, not in the last 12 months.

<u>Question 5</u>**:** Interviewers ask and write the corresponding code. Code 7 is for cases where the insured pays a part of health insurance premium and the rest is paid by organisations or other people.

<u>Question 6</u>**:** This is a general question to identify if there are any members in the household using health care services in the last 12 months. Reasons for accessing health care services may be being sick, diseased, injured or not being so but to check health status, pregnancy, etc.

If the answer is yes, interviewers write code 1 and continue to ask the next questions, interview first those who are sick, diseased or injured in question 3 then move on to household members who access other health care services; if the answer is no, interviewers write code 2 and move to question 16.

<u>Question 7</u>**:** Interviewers write the codes and names of household members who have access to health care services and the type of health care service providers in the last 12 months.

- Note: each line is to record information for one person going to the same health care unit for the same reason (may be one or more than one times)

Example: + Household member 01 having been to provincial hospital 6 times (in which two times this person is admitted to hospital) in the last 12 months with the same reason to cure disease is recorded in one line.

+ Household member 03 having been to provincial hospital 6 times in the last 12 months but with three reasons: 2 times for immunisation, 1 time for delivering a child, and 3 times for curing diseases is recorded in 3 lines.

+ Household member 04 having been to district hospital once, provincial hospital once, and private health care unit three times for the same reason of curing diseases in the last 12 months is still recorded in three lines.

Question 8**:** Interviewers write cardinal numbers for the times visiting hospitals and health care centres by different groups of reasons for each member, i.e. all members have starting number of 1.

In the example of question 7, household member 01 is recorded on one line with corresponding number in question 8 of 01 and the code of health care unit of 5; household member 03 is recorded in three lines with respective numbers of 1, 2, and 3 for each line and the code of health care unit of 5; household member 04 is recorded in three lines with respective numbers of 1, 2, and 3 for each and the codes of health care units being 4, 5, and 8 respectively.

Note: for each line interviewers have to write all information concerning member code, name, ordinal number, code of health care unit, reasons, etc.

Question 9**:** Interviewers write the code for different groups of reasons having to go to hospitals or health care centres; recording method is as in questions 7 and 8.

Question 10**:** Interviewers write the number of times visiting and total payments made to the health care units for using out-patient services such as diagnosis, testing, medicine, micro-surgery, immunisation, tips for health care staff, travelling expenses, motorbike and bicycle parking, nutritional food outside normal meal intake, buying plastic utensils, etc. If the person is admitted to hospital as an in-patient, the number of times visiting hospitals and the expenses involved are written down as 0 in expense column.

Question 11**:** Write the number of times using out-patient services of which this member using health insurance cards/ certificates/books and WRITE ONLY EXPENSES PAID BY HEALTH INSURANCE. Only ask for members who have code 1 in question 4.

Question 12**:** Interviewers write the number of times visiting and total payment made to the health care units for using in-patient services such as treatment fee, hospital bed, testing, medicine, immunisation, tips for health care staff, travelling expenses, motorbike and bicycle parking, accommodation for relatives accompanied taking care of the patient, nutritional food outside normal meal intake, buying plastic utensils, etc. If expenses in question 10 and 12 is 0, skip to next members.

Note: In case all the expenses involved are paid by non-household members and/or an organisation:

Example: A household member has an accident and is taken to hospital but all expenses involved are paid by the other party to the accident; these expenses are recorded in question 12 and compensation in question 19.

If the person has health insurance or health card and does not have to pay for the expenses involved or children are exempted from state hospital fee, interviewers record the information in the same way.

Note: Interviewers only ask the number of times visiting hospitals or health care units but not the total expenses involved in the income survey questionnaire.

__Question 13__**:** Write the number of times using in-patient services of which this member using health insurance cards/ certificates/books and WRITE ONLY EXPENSES PAID BY HEALTH INSURANCE. Only ask for members who have code 1 in question 4.

__Question 14__**:** Interviewers ask whether the household affords to pay treatment fees for their household member or not. If the answer is yes, interviewers move on to interview the next person. If the answer is no, interviewers move to the next question.

__Question 15__**:** Interviewers ask and record the essential point how the household or that household member tackled the problem of being unable to pay treatment fees or if there are any sources of support to help them pay these fees.

__Question 16__**:** Interviewers write the total amount that all household members have spent whenever they have health problems they buy medicine without doctors' prescription or refer to prescriptions doctors had made for them before. This amount also includes buying common medicine for reserve to be used by all household members such as cold tablets, fever relief tablets, diarrhoea tablets, etc. in the last 12 months.

__Question 17__**:** Interviewers write the total amount the household has spent on buying medical equipments such as stethoscope, hearing aid equipment, wheel chair, cotton and bandage, etc. in addition to those equipments bought when visiting hospitals or health care units recorded in questions 10 and 12 of this section.

__Question 18__**:** Interviewers ask and write the total amount the household has spent on buying voluntary health insurance, pupil health insurance or money pooled with other organisation/individual(s) to buy health insurance for members in the household.

__Question 19__**:** Interviewers ask and write down the total amount outside individual/organisation(s) support(s) sick/diseased/or injured household members in the last 12 months, including all expense paid by health insurances and all compensations for accidents (refer to question 12 of this section).

For questions from 16 to 19, interviewers write 0 in the corresponding box if there is no information provided for.

After completing section 3, interviewers add up the figures in questions 10 and 12 and write the result in respective boxes 3TC1, 3TC2 then add up the figures in these two boxes with questions 16, 17 and 18, the result of which is filled in box 3CT.

SECTION 4. INCOME

Objectives

To collect information related to calculating income sources of all household members who are from the age of 6 up from working for others, agro-forestry and fisheries production; business, services, and processing activities.

Respondents

Interviewers have to ask every household member who are at the age of 6 and up. If children are not at home or cannot answer the questions by themselves, other household members who know the information can reply in stead. If adults of over 15 are not present at home, interviewers ask all those who are present, then make a date to come back to the household to ask those who are not present.

For some parts in this section, for example the part on agro-forestry and fisheries production or other business and production trades, interviewers ask only those who know most information about that.

Concepts/ Definitions/ Scope

Employment of household members is defined as one of the three types recognised by the law of the Socialist Republic of Vietnam. It includes:

Type 1: Working to receive salary or wage paid in cash or in kind. People in this category are those who exchange their manual or mental labour for wage and salary, cannot independently decide things related to their work such as salary, working hours, leaves, etc.

Type 2: Working to gain profits for themselves. People in this category carry out agro-forestry and fisheries production activities on the land they own, manage or have use right; or non agro-forestry and fisheries production activities in organisations wholly or partly run or owned by them; they pay all the costs involved and enjoy all profits.

Type 3: Working for the household but receiving no remuneration in terms of salary or wage. People in this category carry out agro-forestry and fisheries production activities on the land the household owner or a member owns, manages or has use right; or non agro-forestry and fisheries production activities run or owned by the household owner or a member.

In reality, interviewers may omit some members who are involved in business or production activities of the household and not count it as a job for these members. If they are involved in, this is counted as a job and must be recorded.

Self-employment is defined for household members and the household.

Self-employment of household members is defined as one of the two following types:

Working to gain profits for themselves. People in this category carry out agro-forestry and fisheries production activities on the land they own, manage or have use right; or non agro-forestry and fisheries production activities wholly or partly run or owned by them; they pay all the costs involved and enjoy all profits.

Working for the household but receiving no remuneration in terms of salary, wage or profits. People in this category carry out agro-forestry and fisheries production activities on the land the household owner or a member owns, manages or has use right; or non agro-forestry and fisheries production activities run or owned by the household owner or a member.

Self-employment of a household is defined as agro-forestry and fisheries production activities or non agro-forestry and fisheries production activities wholly or partly run or owned by the household owner or a member. These (professional) activities may be executed by household members or in combination with hired labourers; or household owner runs and hire all employees.

Working to receive salary or wage paid is work which hired by other organization/individual for household member according to agreement (labour contract/ recruitment decision…) to implement a work or a set of works to meet the purpose of that organization/individual and this work is paid by that organization/individual in terms of or wage/salary or in kind.

Self-employment is varied and probably confused with employment receiving wage or salary. A doctor working during the day for a hospital and receiving salary is a salary earner. This same person having his/her own clinic and working in this clinic in the evening is self-employed. A bricklayer in the last 12 months having worked for a construction contractor for 4 months is a wage earner. This same person in the rest 8 months of the year signed a contract to build a house for someone, then he employed other bricklayers, organised and managed the construction work and received payment from the house owner. In this case, the construction of the house is self-employment and the work that occupied most of his working time in the last 12 months. The work done for the construction contractor for 4 months is the work that occupied the second most of his time and is for wage. Self-employer need to have given professional skills and necessary production instruments which is mainly used for self-employment activities.

Some basic criteria to identify self- employment:

- Manage/operate and be responsible for all successes or fails of the business activities
- Having many customers at the same time.
- Having full right in making decisions in running/ implementing that activity (how/ when and where)
- Having full right in choosing and hiring labors for that work
- Having decision in using their own money/ property in investing in that activity.

Some basic criteria to identify hired labor/paid work

- Directly implement a given work/ a set of works.
- Implement a work or a set of works as the requirement and purpose of organization/individual who assign the work but hired labor or paid worker is not be responsible for the risk of business/ or business activity which s/he participated in.
- Be directed/assigned in work (how, when and where) by organization/individual
- Timing or duration of the work is set by other organization/individual. Hired labor or paid worker can be hired again or not at the end of duration and s/he can not decide by his/her self.
- Be paid a compensation terms of or wage/salary or in kind as stimulated duration (hour/week/month/year), can be paid more if have extra working hours.

In practice, some cases can be identified as self-employment or paid work, for example:

Self employment include:

- Household/household members carry out agro-forestry and fisheries production activities independently by them selves
- Household/household members independently manage/operate non agricultural business activity of household

Working to receive salary or wage paid include:

- Work as hire labor in non agricultural business/enterprise which is owned by other organization/individual.
- Work as civil servant, officer and having wage/salary

However, there are some difficult cases when clarify between self employment and working to receive salary or wage paid, For example:

1. Simple labour, no professional skill, no production tools, freelance worker
2. Bricklayer, having only some simple tools as a measurer… and work as a freelance worker
3. Lottery seller, who daily take a given amount of lottery tickets from an authorized agent to sell, at the ending day, give back all money and remaining lottery tickets to authorized agent and receive only compensation and reward.
4. A person who launch an authorized agent of lottery ticket
5. Bricklayer, who has low technical skill and work independently as a individual, and can only repaired woodwork with some simple tools.
6. Bricklayer, who has high technical skill and work independently as a individual, and can build furniture as bed, wardrobe,… and come to households to receive work on building furniture.
7. Motorbike taxi driver, Pedi cab driver
8. Car/motorbike/cycle keeper
9. Small businessman/woman, huckster
10. Private doctor, who do their work independently
11. Independent Consultant

In those cases, it is stipulated that case 1, 2, 3, 5 can be considered as working to receive salary/wage; case 7 and 8 need to be more clearly in clarification, if s/he is driver or car keeper for other organization/individual (who mange/operate that activity) then can be considered as working to receive salary/wage, if s/he manage and operate by his or her self, that work can be considered as self- employment; remaining cases are self employment.

Interviewers write code 1 for employment for wage and salary earning in Section 4A question 1a; code 1 for self-employment in agro-forestry and fisheries production and related services in Section 4A question 1b; code 1 for self-employment in non agro-forestry and fisheries production and related services in Section 4A question 1c.

Guidelines on profession classification:

Profession is a kind of job an individual shows in his/her work.

Followings are essential points that interviewers should keep in mind in using the List of Professions for coding.

Basis of classification:

Professions are classified basing on two main concepts: concept of the job done before and concept of workmanship.

Job is tasks and responsibilities executed or the means employed to fulfil these tasks and responsibilities by a person that statistics agencies use for classification of professions

Workmanship is the ability to carry out tasks and responsibilities required by a profession. Workmanship is proven in two aspects:

a. *Skill:* is combination of complicatedness and scope of tasks and responsibilities.

b. *Specialisation:* includes technical aspects required by the profession, machineries manipulated, materials used in production, the type of products and services produced.

For making comparison with international standards, the system of profession classification is divided into 4 general workmanship levels:

a. First workmanship level: no technical qualification is required.

b. Second workmanship level: equivalent to primary technical level or technical worker.

c. Third workmanship level: equivalent to vocational training of secondary level or higher.

d. Fourth workmanship: equivalent to university level or higher.

The use of groupings of educational levels for profession classification does not necessarily mean that the tasks and responsibilities required by a profession can only be executed if a person has been formally educated or trained but that workmanship of a person can be accumulated through experience or non-formal education and training. Moreover, it should be emphasised that profession classification reflects the skill level needed to execute the tasks and responsibilities required by a profession. This classification of profession is not completely based on educational level nor is it concerned with the explanation of why some labourers have higher quality of workmanship than others who work in the same profession.

Groups of professions include:

Profession group: Leaders and managers in different sectors, at different levels and in different agencies and units

This group consists of leaders, directors, and managers working in different sectors, agencies and units from the central to local level.

Since a person may hold different leadership positions, however he/she is put in only one category of profession in this survey, profession classification must be based on the highest leadership positions in Party agencies, Youth unions and Associations held simultaneously by one person. For those who simultaneously hold authoritative power and directly involve in production and business activities, profession classification is based on leadership positions which they are most responsible for and occupy most of their working time.

Team leaders can refer to the “List of professions” (used in Population and Housing census 1999) issued by GSO for more details.

Profession group: Senior technical professionals in different sectors

This group consists of professions that require high level of technical and professional knowledge and experience (at least university degree) in natural science, humanity and social science.

The tasks of senior technical professionals are: research and development, inventing and applying new and advanced technology, teaching and/or supervising the work of supporting staff in various fields of science, state governance, socio-economic and financial management.

People belonging to this group, if paid from state budget, are civil servants. They are experts, main experts and senior experts or higher level. Examples are: researchers, main researchers, senior researchers; notaries public, main notaries public, senior notaries public; architects, main architects, senior architects; engineers, main engineers, senior engineers; professors, associate professors; lecturers and senior lecturers of universities and colleges; doctors and senior doctors; senior experts of levels 1, 2, and 3, etc.

Most of professions in this group require workmanship level 4.

Profession group: technical professionals in different sectors

This group includes professions that require technical knowledge and experience in one or various fields of natural and biological science or humanity and social science under university level. Major tasks consist of performing technical work associated with the application of concepts and methodology in science and technology field and technically assisting professionals in the above-mentioned sectors. People belonging to this group, if paid from state budget, are civil servants. They are technicians or equivalents.

Most of professions in this group require workmanship level 3

For example: A student having act as a tutor for pupils at lower & lower secondary schools can be coded in group 33 “education and training”

Profession group: Staff (primary level technical staff, technical workers working in offices in different sectors)

This group includes professions that require necessary knowledge and experience to organise, record, calculate and search information. Major tasks consist of performing secretarial work, processing documents, manipulating machineries and office equipments, recording and calculating figures, and fulfilling customised office duties such as correspondent services, money remittance, travel arrangement, commercial information, and other transactions. People belonging to this group, if paid from state budget, are civil servants. They are office clerks or equivalents such as typists, accountants of primary level, statistics staff of primary level, bank cashiers, cashiers, technical workers doing office work. The tasks of these people consist of taking shorthand, typing, processing documents, manipulating machines, doing office work, recording and note taking, data processing, checking inventory for production, conducting logistics work, doing the work of librarians, doing the work to serve customers such as debt collection, cash receipt, collecting charity money, exchanging currencies, receiving guests, satisfying information requirement, making appointment and being the switchboard operators.

Most of professions in this group require workmanship level 2.

The signal to distinguish this profession group and the profession group: *Individual service providers, security guards, and salespeople* is that technical staff in the former group do office work while in the latter group people directly work in units providing services, sell tickets directly in transportation vehicles, and check tickets in these transportation vehicles. People who sell travelling tickets in the ticket office (fixed) are placed in the group *(primary level technical staff, technical workers working in offices indifferent sectors)* or people receiving guests in offices are also placed in this group but those receiving clients in transportation vehicles such as air planes, ships, etc. are placed in group *Individual service providers, security guards, and salespeople.*

Profession group: Individual service providers, security guards and technical salespeople.

This group consists of professions that require necessary knowledge and experience in providing private services, keeping security and selling goods and services at shops and markets. Major tasks of people in this group include providing services relating to tourism, house keeping, foods supplying, entertainment, hotel management, individual care taking, body and property guard, law and regulation compliance supervising, or selling goods at shops and supermarkets.

This group includes technical workers of the same level with technical workers in the group *(primary level technical staff, technical workers working in offices in different sectors)* but they work in sectors serving individuals, keeping security and selling goods. People belonging to this group, if paid from state budget, are civil servants or equivalent titles. Examples are: servants in transportation vehicles such as planes and ships; security guards; hairdressers, room servants; salespeople of all kinds, room servants in hotels, guest houses; waiters and waitresses, cooks working for restaurants and food catering units; etc.

Most of professions in this group require workmanship level 2.

Some professions bear characteristics of both technical staff and individual service providers but characteristics of the latter one is more outstanding and the work itself is not much like an office work or clerical work such as hospital orderly and assistant at health care units, these people are placed in this group but not in *primary level technical staff, technical workers working in offices in different sectors.* Belonging to this group are also sightseeing guides and tourist guides.

Profession group: Technical labourers working in agro-forestry and fisheries sectors

This group includes professions that require necessary knowledge and experience in agro-forestry and fisheries production. Major tasks include cultivating, raising and hunting animals, cultivating and catching fish, protecting and exploiting forest resources. For labourers working in market-oriented agro-forestry and fisheries sectors, they are also responsible for selling and marketing products to customers.

Workers manipulating agro-forestry and fisheries machineries are placed in the group of Technical workers assembling and manipulating machineries and equipments.

Farmers who are experienced people in agro-forestry and fisheries production and can operate independently in these sectors are placed in this group. Farmers who are not experienced and dependent on other experienced ones are placed in the group of simple labourers.

Most of professions in this group require workmanship level 2.

Profession group: Skilled craftsman and other related technical workers.

This group consists of profession that require necessary knowledge and experience of technical workers or skilled craftsmen. They have to be knowledgeable about production materials and tools as well as processes of a production line, characteristics and features of final products produced. Major tasks include processing raw materials, manufacturing and repairing goods and machineries; building, maintaining and upgrading roads, houses and other construction works; making different handicraft products and items.

Most of professions in this group require technical level of the above-mentioned fields or equivalent practical experience and skill.

Of the same professions but some people are placed in the group of *Technical workers assembling and manipulating machineries and equipments* if they are mainly manipulating automatic or semi-automatic machines and need to possess experience and knowledge about the specialised machines; or they are placed in the group of *simple labourers* if the job requires simple labour, consumes much muscle labour, and does not require much experience.

Most of professions in this group require workmanship level 2.

Profession group: Technical workers assembling and manipulating machineries and equipments

This group consists of professions that require necessary knowledge and experience in operating and supervising industrial machineries and equipments and full knowledge about machines and equipments used at work. Major tasks include operating and supervising machines and equipments in mining, industry and construction, processing products; driving transportation means; driving and operating mobile machines and equipments; and assembling components into finished products.

Most of professions in this group deal with automatic and semi-automatic machineries and require technical level of the above-mentioned fields or equivalent practical experience and skill.

Most of professions in this group require workmanship level 2.

Profession group: Simple labourers

This group consists of professions that require necessary knowledge and experience in executing simple and monotonous work such as work using hand tools, or muscle power in many cases, and limited individual creativity is used in some exceptional cases. Major tasks include street vendors, guarding at institution gates, keeping property, cleaning, washing, ironing and popular jobs in mining industry, agro-forestry and fisheries, construction and industry.

Most of the jobs in this group are simple ones, mainly using hand tools and muscle power and does not require complicated experience and skill.

Most of professions in this group require workmanship level 1.

Profession group: Military force

This group consists of all people serving in the military force, including logistics people regardless of voluntary or compulsory work, and are under the management of the Ministry of National Defence.

People not included in the military force are those fulfilling civil labour obligation relating to national defence, public security force (excluding military police), customs, people not in the army but are armed (e.g. people appointed by a certain residential region and police to patrol around residential areas during the night for security keeping), and all those who were in the army before but are now demobilised.

Workmanship is not counted for this group.

Guidelines on sector classification:

Sector is a concept indicating the nature of economic activities conducted in an agency or production and business unit where a certain individual works; or the nature of economic activities that person is related to in the last 12 months.

Note: Sector code is applied secondary sector code in "system of Vietnamese economic sectors" issued by Prime Minister in decision no 10/2007/QD-TTg date 23rd January 2007.

Basing on the type of products or socio-economic function an individual plays in his/her agency or production and business unit, that individual is placed in relevant sector. Example: a person working as a driver for GSO belongs to the state management and national security sector, code 75. Another person working as a driver for Thong Nat passenger transportation company belongs to road, rail, and pipeline transportation, code 60.

As there are special characteristics in labour management and division, when classifying sectors it is needed to remember some specific cases:

If an institution or enterprise, in addition to the main business functions, carries out other subsidiary business and production activities that bring about relatively stable income and are self-financing; these subsidiary activities are parted and placed in relevant sector. In contrast, those supporting activities for the main activities of the institution like internal transportation, computer station, warehouse, security guard, fire extinction, etc. are grouped in the main activities of the institution.

Example: Ministry A belongs to the state management sector. In Ministry A, there is one self-financing furniture enterprise. In this case, this enterprise is not grouped in the state management sector but in sector 20: Processing wood, bamboo and rattan and products from wood, bamboo and rattan.

For questions 4, 5 and 14, 15, interviewers should request respondents to describe in detail the work these people do and if these people work for institutions or business and production units, interviewers should ask some information about those institutions such as names, functions and responsibilities or product range, etc. in order to identify correctly professions of respondents and sectors involved. If interviewers cannot identify profession and sector, they should describe concisely the work these people deal with, their working institutions and then discuss with team leaders to decide the correct codes for professions and sectors. Team leaders are responsible for coding professions and sectors according to the list of professions and sectors printed in household questionnaire.

In summary:

- Profession classification is based on the nature and content of work of the labourers.

- Sector classification is based on functions and tasks of the working institution, whether it is financially independent or not; or the nature of economic activities a person is related to.

Interviewers should be careful in coding professions and sectors. Sector and profession can be different. For example, in construction sector, professions may be accountant, machine operator, construction worker, or many others. In transportation sector, professions may be drivers, machine and equipment operator, or others.

Guidelines on classification of economic sectors[2]:

State economic sector:

State economic sector consists of:

a. Enterprises: state-owned enterprise, state limited liability company, and state joint-stock company

- State-owned enterprises are enterprises that are established and operate under SOE Law. They consist of Sues organised under the form of independent enterprises, General corporations, member enterprises of 100% state-owned General corporations, joint-ventures of which the two sides are both Sues.

- State limited liability companies are limited companies transformed from Sues, enterprises of political and socio-political organisations.

- State joint-stock companies are joint-stock companies in which the state holds the lion's share (the state holds more than 50% of the total shares and at least twice as much as the shares of another biggest shareholder in the enterprise) or preferential share (the state does not hold lion's share but has decision making power in some other important issues of the enterprise as agreed in Articles of Association).

b. Administrative and causal units, Party and youth unions, associations, state agencies, public causal units, units of political/socio-political organisations, agencies of state social and professional organisations, agencies of mass organisations and other state units.

- State agencies consist of legislative, judicial and executive branches.

- Public causal units are units in such sectors as health care, education –training, culture and information, radio and television broadcasting, and sports established, managed and financed by the state.

- Semi-public causal units are units in such sectors as health care, education –training, culture and information, radio and television broadcasting, and sports established on the basis of partnership between state agencies and non-state agencies or individuals under such forms as: newly established units; or transfer all or part of existing infrastructure and facilities of public units to the new one for the two sides to co-invest in physical infrastructure and to manage its operation under the law.

- Units of political organisations consist of those belonging to the agencies of Vietnam Communist Party.

- Units of socio-political organisations consist of units of socio-political organisations where their operation is mainly financed by the state. They are: National Front, Labour Union, Women Union, Youth Union, Veteran Association, and Farmer Association.

- Units of state social and professional organisations consist of Literature and Art Union, Writer Association, Actor and Actress Association, Art Performer Association, Lawyer Association, etc. whose operation is mainly financed by the State.

- Units of mass organisations and other state units consist of units of associations not included in the above-mentioned. They are: The old association, handicapped and orphan assistance

[2] *According to document No23/TCTK/PPCD dated 17 April 2002 of GSO on the list of economic, administrative and causal units in statistics surveys and reports.*

association, the Blind Association, Buddhism Association, religious bases such as churches, pagodas and temples, etc. whose operation is mainly financed by the State.

Collective economic sector:

Collective economic sector consists of economic organisations established under Cooperative Law; on the basis of voluntary capital contribution of producers, business traders and consumers; capital ownership belongs to the collective people contributing capital.

Collective economic sector can be based on either collective ownership (both legal ownership and actual possession such as common fund in the cooperative) or members holding legal ownership but actual possession and use right belonging to the collectives.

Specifically, collective economic sector consists of:

a. Collective economic units: cooperatives such as agricultural cooperatives, handicraft production cooperatives, construction cooperatives, marketing cooperatives, services cooperatives, credit cooperatives (also called people credit funds), etc. registered and established under the new Cooperative Law.

b. Administrative and causal units, Party and youth unions, associations: people-founded causal units, units of non-state social and professional organisations, units of mass organisations and other non-state units. Their budgets for operation are all contributed by their members.

Individual economic sector:

This sector consists of production and trading households in such sectors as agro-forestry and fisheries, industry and construction, and services that do not join in cooperatives established under Cooperative Law and have not yet registered for enterprise establishment.

Private economic sector:

This sector consists of private units that are established and operate under Enterprise Law. Specifically, they are:

Enterprises: private limited companies, non-state joint-stock companies, partnerships and private enterprises.

- Private limited companies are limited companies whose owner(s) is/are individual(s) (100% private capital).

- Joint-stock companies whose shareholders are non-state organisations or individuals; domestic joint-stock companies where one of their shareholders is the state but the state do not hold lion's share or special shares.

- Private enterprises are enterprises owned by one individual and this individual is wholly responsible for all activities of the enterprise with all his/her personal property.

- Partnerships.

Foreign-invested economic sector:

Enterprises in this sector are established and operate under Foreign Investment Law. They are:

100% foreign-invested capital; joint-ventures between foreign partners and Sues; joint-ventures between foreign partners and other domestic enterprises.

Foreign-invested economic sector also consists of international organisations, foreign government organisations and NGOs that are operating in the territory of Vietnam.

PART 4A: EMPLOYMENT STATUS

Contents and recording method

Interviewers complete question 1 for all household members before moving on to interview each member the next questions.

***Question 1a*:** Interviewers ask to identify whether household members who are at the age of 6 and up have worked outside the household (in state or private organisations) in the last 12 months to receive wage and salary. Wage and salary can be paid in cash or in kind.

***Question 1b*:** Interviewers ask to identify whether in the last 12 months these household members have been involved in agricultural (farming and animal raising), forestry and fisheries farming activities and other related services activities of the household or not.

***Question 1c*:** Interviewers ask to identify whether in the last 12 months these household members have been involved in production and business activities or services activities not related to agro-forestry and fisheries sectors of the household or not.

After completing question 1, interviewers should know about employment status of all household members who are at the age of 6 and up, that means interviewers should be able to grasp information about each household member on:

- whether they are working according to the above definition on employment?

- if they are working, what types of jobs they are doing?

This requirement is extremely important because:

Firstly, knowing all information about employment status of every household member helps interviewers to identify which job occupies most of the working time of a certain household member and to categorise information about employment to be recorded in the next questions and sections.

Secondly, having known about employment of every member in the household helps interviewers to find out income a certain household member gets from each job and not omit any single income sources.

***Question 2*:** Interviewers write code 1 if at least one question in questions from 1a to 1c is coded 1 and move to question 4. This means a certain person has been working in the last 12 months. This person may have done 1 type of jobs, may be 2 or all of three types mentioned above.

Interviewers write code 2 if no question in questions from 1a to 1c is coded 1, that means a certain person has not been doing any types of jobs in the three types mentioned above in the last 12 months.

***Question 3*:** For those who have not worked during the last 12 months, interviewers ask and record the most relevant reason coded from 1 to 6 in the questionnaire. If a person has more than one reason, interviewers note down the most essential one.

For those members who are asked question 3, right after noting down the answer for this question, interviewers move to question 26.

Questions from 4 to 12 are questions asked for information about which kind of jobs occupies most of a person's working time in the last 12 months.

Question 4**:** Interviewers ask and identify which type of jobs occupies most of working time of the respondent. If a person simultaneously does two jobs that occupy the same amount of a person's working hours, interviewers note the job that brings higher income. If both working hours and income brought about are equal, interviewers note the job the respondent chooses to answer. In this case, if the respondent does not deliver the final answer, interviewers note the job that the respondent has worked on longer. Then, interviewers note down in detail the description of the main job for the team leader to decide later.

Question 5**:** Interviewers write the name of the institution/agency where the respondent is actually working (the main job) and the direct governing body (if any) of that institution/agency.

The main tasks/ products the institution/agency are assigned to do by the governing body or relevant authoritative agency.

Question 6**:** Interviewers ask and note down the number of months the respondent has worked in the last 12 months (the work and jobs noted down in questions 4 and 5). If in a month, a person works for only 1 day, he/she is still considered to work for one month.

Question 7**:** Interviewers ask and note down the average number of days in the month the respondent has worked (the work and jobs noted down in questions 4 and 5).

Question 8**:** Interviewers ask and note down the average number of hours in the day the respondent has worked (the work and jobs noted down in questions 4 and 5).

Question 9**:** Interviewers ask and note down the number of years the respondent has been working on that job(mentioned in question 4 and 5). The number of years is calendar year and accumulated over time(1 working day in year can be considered as 1 year)

Question 10a**:** Ask about the type of economic sector of the job occupying most of the working time of the respondent over the last 12 months. Interviewers ask and base on the answer of the respondent, write down the correct code of the economic sector (classification of economic sector as mentioned above). If the code is 1 or 2, interviewers move to question 13. If it is 3 or from 4 to 7, interviewers go on with questions 11 and 12 to collect information about salary and wage earned from the job occupying most of working time of the respondent in the last 12 months.

Question 10b**:** For salary and wage earners working in state economic sector, interviewers ask to see whether these people are civil servants or not.

According to Article 1 of "Ordinance on cadres and civil servants" (revised in 2003) of the Standing Committee of National Assembly, cadres and civil servants must be:

- Vietnamese citizens and permanent staff of the institution they are working for, including:

a. People elected and posted to positions for a term in state agencies, central political organisations, socio-political organisations at central level, provincial level and in cities under central government administration (hereinafter referred to as provincial level); at district level and in towns, cities belonging to provinces (hereinafter referred to as district level);

b. People recruited, appointed and assigned regular tasks in political organisations, socio-political organisations at central, provincial and district levels.

c. People recruited, appointed and assigned regular tasks in state agencies at central, provincial and district levels.

d. People recruited, appointed as officials and/or assigned regular tasks in state causal units, political organisations, and socio-political organisations.

e. Judges of People's Court, procurators of People's Procurancy.

f. People recruited, appointed and/or assigned regular tasks in agencies and units belonging to the Army force but are not officers, professional soldiers, national defence workers; or they are working in agencies and units belonging to public security force but not officers, professional non-commissioned officers;

g. People elected and posted to positions for a term in People's Council Standing Committee, People Committee; to Party Secretary and Deputy Secretary; to leaders of mass organisations in communes, sub-districts and towns (hereinafter called as commune level);

h. People recruited and appointed to professional titles in People Committees at commune level.

- Cadres and civil servants in a, b, c, e, f, g and h are paid from state budget; those in d are paid from state budget and budget of their own institutions (these institutions have legal income sources)

Question 11**:** Write total income from salary, wage and other similar sources (including in kind) of the job that occupies most of the working time of the respondent in the last 12 months. Other similar sources are: extra allowance for working overtime, allowance for apprentice, accountability allowance, seniority allowance, allowance for business trips, for talented people working in science and technology sector, for people working in remote and special areas, etc.

Question 12**:** Write total income from sources other than salary and wage of the job that occupies most of the working time of the respondent in the last 12 months. Sources other than salary and wage are: Tet and national holidays benefits; remuneration for invention, technical innovation, etc.; overalls, uniform, allowance for annual civil labour work; meal and trip allowance while being away on business trip, leave allowance, allowance for technical training, and others. Here, interviewers should be very artful in reminding the respondents of sources from foreign business trips, attending seminars and workshops. Or interviewers may observe household utensils and consumer durables, occupations of household owners and other members to remind them of such sources. It is very important to collect information about other income sources.

Interviewers should try to interview respondents so as to separate income sources listed from 12a to 12d. In reality, in some cases respondents may not be able to separate these items even though interviewers have tried their best to help them separate things out. In this case, interviewers record all income sources other than salary and wage in 12e.

Question 13**:** Ask to identify if the respondent has done any other jobs in the last 12 months. If yes, interviewers go on; if no, interviewers move to question 26.

Questions 14 to 22**:** Questions from 14 to 22 are questions to seek information about sector, profession, working hours, salary and wage of the job that occupies the second most of the working time of a person. The methods of interviewing and recording information are as in questions from 4 to 12.

If a person, in addition to the job that occupies most of his/her working time, does many other jobs that occupy the same amount of a person's working hours, interviewers note the job that brings the highest income. If both working hours and income brought about are equal, interviewers note the job the respondent chooses to answer. In this case, if the respondent does not deliver the final answer, interviewers note the job that the respondent has worked on the longest.

***Question 23*:** Ask to identify whether the respondent, during the last 12 months, has worked on any other jobs other than the two jobs mentioned above. If the answer is yes, interviewers go on with questions 24 and 25 on salary and wage; if the answer is no, interviewers move to question 26.

***Question 24*:** If the respondent, in addition to the two above-mentioned jobs, has done some others to receive salary and wage, interviewers write code 1 and go on with question 25. Otherwise, interviewers write code 2 and move to question 26.

***Question 25*:** Interviewers ask the respondent and write total amount from salary and wage (including in kind) in the last 12 months of the jobs other than the two above-mentioned ones.

***Question 26*:** If the respondent has been involved in housework, interviewers write code 1 and go on with question 27. If not, interviewers write code 2 and turn to the next household member.

***Question 27*:** Note average number of hours in a day doing housework in the last 12 months.

After interviewing for all information in this part, interviewers go on to:

Add up all lines in question 11 and write the result in box 4ATN1.

Add up all lines in question 12e and write the result in box 4ATN2.

Add up all lines in question 21 and write the result in box 4ATN3.

Add up all lines in question 22e and write the result in box 4ATN4.

Add up all lines in question 25 and write the result in box 4ATN5

Add up boxes 4ATN1, 4ATN2, 4ATN3, 4ATN4 and 4ATN5 and write the result in box 4ATN.

PART 4B. AGRO-FORESTRY AND FISHERIES PRODUCTION ACTIVITIES

Objectives

To collect information on cultivated area, productivity and output of plants as well as the consumption of these products by households to assess precisely household income from cultivation and planting.

Respondents

Respondent in this part must be the one who know most information about agricultural production of the household.

4B0. LAND FOR AGRICULTURE, FORESTRY, WATER SURFACE FOR AQUACULTURE AND GARDENS, PONDS ADJACENT TO RESIDENTIAL LANDS.

Purpose:

Collect information on agriculture, forestry and aquaculture land, gardens and ponds adjacent to residential land under the management and usage of the hosuehold to know the scale of the land for agriculture, forestry and aquaculture of the household. This is part of the important information to observe and evaluate the potential for income from agriculture, forestry and aquaculture for the household.

Respondents:

The respondent for this section has to be a person with the most knowledge nad understanding on the managing and using of the household's land resource.

Concepts/ definition/ calculation range

Agriculture lands: Lands for argiculture prodroduction, doing research and experiment on agriculture, forestry and aquaculture, producing salt, protect and develop forests, *including agriculture land, forestry land, aquaculture land, land for production of salt, and other agriculture land.*

- *Land for agriculture production: agriculture land used for the purspose of producing agriculture products, including land for annual plants and land for perennial plants*

+ <u>Land for annual plants</u>: land used specifically for growing of plants that have the time period from cultivating to harvesting not exceed one (01) year, inculding land not used under a continuous cycle of cultivation, *including lands for rice production, grass land for growing cattle, land for growing of other annual plants.*

Land for rice cultivation: Fields, milpa that used for growing rice for at least 1 crop in combination with other legal uses but mainly for the growing of rice, nucluding land specifically for wet rice cultivation, other land for wet rice cultivation (not mainly for wet rice), dry-field rice.

Grassland for growing cattle: Land used for grass growing, or grass fields, natural grass hills that have been improved for the growing of cattle; including land used for cultivation of grass and natural grass field being improved (that have been improved, subdivided into smaller pieces).

Lands for cultivation of other annual plants: Land used for growing of annual plants except for rice field and grassland used for growing cattle, maily vegetable, flowers, annual plants used for medicine, soya bean, peanuts, sesame, sugercane, jute, ramie, hemp, lemongrass, mulberries, grass not for livestock production; including land for growing of other annual plants (flat fields in delta area, valley, plateau used for other annual plants) and fields for growing of other annual plants.

+ Land for perennial plants: lands used for cultivation of plants with growing cycle more than 1 year from planting to harvesting; including plants with growing cycle similar to annual plants, but give annual harvest in many years such as: dragon fruits, bananas, pineapples, grapes, etc. Land for perennial plants including *perennial industrial plants, land for fruit trees and land for other types of perennial plants.*

Land for growing of perennial industrial plants: Land used for cultivation of plants not with the purpose of wood, but to be materials for industrial production or can be used only after being processed, mainly tea, coffee, rubber, pepper, cashew nuts, cocoa, coconut, etc.

Land for growing of perennial fruit plants: Land used for cultivation of perennial plants whose products are fruits, both for fresh consumption and for processing.

Land for the growing of other perennial plants: Land used for cultivation of perennial plants except for industrial plants and perennial fruit plants, including mainly trees for wood production, trees for shadow and landscape not under forestry land, garden land with perennial plants, or perennial plants in combination with annual plants.

- *Forestry land:* Land with natural forests or planted forests that have reached forest standard, land separated for forests recovery (land that used to have forest, but no longer so because of exploitation, devastation, fire, currently under invesment for forest recovery), land used for newly planted forests (land with newly planted forest trees, but have not reached the forest standard yet), uncluding *manufacturing forestry land, protective forestry land, specialty forestry land.*

+ Manufacturing forestry land: Land used for the purpose of forestry production, under regulations for forest protecting and developing; including land with natural manufacturing forest, land with planted manufacturing forest, land for manufacturing forest recovery, land for growing of manufacturing forest.

Land with natural manufacturing forest: Forestry land with natural forest which has reache the forest standard as in regulations on forest protecting and developing.

Land with planted manufacturing forest: Land with forest planted by human which has reached the regulations on forest protecting and developing.

Land used for recovery of manufacturing forest: Land used to have manufacturing forest but no longer so because of exploitation, devastation, fire, and currently under investment for forest recovery.

Land for growing of manufacturing forest: Land for manufacturing forest currently have newly planted forest trees but has not reached forest standard.

+ Protective forest land: Land used for the pupose of protecting the headwater, land protection, water protection, eco-environment protection, wind prevention, sand prevention, seawave prevention as in regulations on forest protection and development; including land with natural protective forest, land with planted protective forest, land used for protective forest recovery, land used for planting of protective recovery.

+ Specialty forest land: Land used for the purpose of implementing scientific research, experiment, nature and biodiversity preservation, national forest, historical and cultural protection, tourism spot, eco-environment protection as in regulations on forest protection and development; including land with natural specialty forest, land with planted specialty forest, land for recovery of specialty forest, land for growing of specialty forest.

– *Land for aquaculture:* Land used for the purpose of growing aquaculture products; *including land for brackish water aquaculture, seawater aquaculture and freshwater aquaculture.*

– *Land for salt production*: salt field used specifically for the purpose of salt production.

– *Other agricultural land:* Land in rural areas used to build glasshouse and other kinds of development for the purpose of cultivation including non-land agriculture; farmhouse for growing cattle, poultry and other kinds of animal allowed by the law; research and experiment center for agriculture, forestry, ..., aquaculture, plant breeding center, warehouse for the storage of agriculture products, pesticide, fertilizer, tools and machinery for agriculture production.

Long term use land: Government delegates state land to the household. The term of land delegation is long and stable so that land can be used for growing of annual plants, aquaculture, which is 20 years. After this period, if the user wants to continue, and during the previous period he had always acted in accordance with regulations on land usage, he may be delegated to use the land again. Households who are delegated can use the land in exchange, transfer, will, present, lease, sublease the right of land use; mortgage, guarantee, raise fund by using the right to the land.

Households delegated to use the land only have to pay tax to the State. Service payment as in contract with cooperative. Other contributions are as negotiation between the household and the co-operative (contributions via cooperatives or head of the village in Southern provinces).

Contribution to Cooperatives are usually irrigation fee, land improved fee, plant protection fee. Besides, Cooperative can collect contributions in order to maintain the management team (if applicable)

Land distributed for the use of agriculture, forestry and aquaculture production: Includes land of farms, state-owned forestry farms; companies, factories, centers which provide land to households, individuals who work for the above units, households which have worked for enterprises but retired now or gave up working with pension and households' members who are willing to have land for production; households, individuals legally reside in the area notified by commune/ward peoples' committees; households of other areas with investment capital into that area. This land can be used for long time without provision of certification and without 5 rights like the long-term used land above. Persons who receive this kind of land are responsible for paying tax to the State and service fees to farms and organizations providing land.

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Auctioned land: Include reserved land (account for 5% of the cooperative's landbank) and land that can not be granted for long term right to use to individual household such as pond, canal for fish cultivation, deserted hills. These types of land can only for contract based use, for a certain period of time and based on that people participating in the auction pay the cooperative and other organization as negotiation between the two parties.

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Land as present/inheritance: Include land received from present/inheritance of right to land use from relatives, organizations or individuals as regulated by the law.

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Shifting cultivation land: is the area/milpa made by moutainous households by clearing trees or firing forestry for cultivation for some crops (in less than 3 years) and than households move to other areas.

Pond adjacent to residential land: The area of pond lying the residential land area of the household, excluding other pond/ lake outside the residential land area of the household.

-

Garden adjacent to residential land: Area of the garden surrounding the house and in the residential area of the household, excluding garden outside the residential area of the household.

As regulated in the State's documents, residential land for a household in mountainous area is 400 m², Northern flat areas is 200 m², South East areas is 400 m², Highland 400 m², Mekong delta area 400 m². In the case that the household has a very large residential, pond and garden area, those can be calculated in residential land, but not more than twice the average amount of the area. The rest of the area is not calculated in residential land, but based on the type of trees planted on the land to count toward land for that type of cultivattion, if not in use, record as deserted land. For example: land for growing of tea can be counted as land for perennial industrial plant cultivation. However, the calculation should not be done mechanically; for residential area that is more than twice the common average, but the remaining area is too small, it can still be counted as residential land. In the case that the household has changed agriculture land into residence, warehouse, storage spaces, those cannot be counted as agriculture land.

Deserted land: Including land areas under the charge of the household but in reality has not been used in the last 12 months, or the land area has not satisfied conditions or has not been considered for the purpose of agriculture, aquaculture, forestry production.

Reclaimed land: Include deserted land area recently under improvement by the household to grow some kind of tree in a period not more than 3 years (has not become **improved??** land).

Question 2: The surveyor interviews in order to record pieces of land under the management of the household for cultivation, including leased, borrowed land, and land for rent, borrowing, exchange in the last 12 months..

Surveyor should note: In the case that a houeshold has more than 15 pieces of alnd, the 16^{th} piece onward should be counted together with a piece of the same type. Name of the result piece followed the name of biggest piece among all the joined pieces. The number of land joined will be recorded in question 3, column for ”NUMBER OF PIECES” respective to the joined land's line.

Each piece of land (include the joined land – if the household has more than 15 pieces) need to be named, in the case that it has no name or there are many pieces of land in the same field, use the name of the field in place of the land's name. If the field or the piece has no name, as regulated it will be recorded in order of the first piece, second piece, etc. and recoded in name of ricefield/area**.** In the case that all the lands of the household located in the same field, the largest piece will be recorded in the first line and coded 1, followed by the second largest, third largest piece, etc. and lastly is the smallest piece. On the other hand, if the pieces of land of the household located in a number of fields, record all the pieces in the first field in accordance with the above rule, after finishing all the pieces from the first field, move on to pieces on the next field, and also use the same rule.

If the household has pond, garden area adjacent to residential land, each piece of land will be recorded in the same line as other pieces

Question 3:

+ **3a:** For the number of land, record 1 for unjoined pieces, record the respective number of pieces that have joined into the stated land, for example record 3 means that 3 pieces of land has been joined as 1 piece in the form.

+ **3b**: Record the area (total area – if it is a joined piece of land) for each piece in square meter. In the case that the respondent quotes the area in local parameter, the surveyor has to convert it to square meter, specifically:

- 1 Northen hectare = 10 perches = 3600 m^2.
- 1 Northen perch = 15 thước = 360 m^2.
- 1 thước (Bắc bộ) = 24 m^2
- 1 miếng (Bắc bộ) = 36 m^2
- 1 thước (Trung bộ) = 33,33 m^2
- 1 miếng (Trung bộ) = 24 m^2
- 1 sào Trung bộ = 500m^2
- 1 công nhà nước = 1000 m^2
- 1 công tầm lớn = 1200 m^2 (công tầm cấy)

For the area of garden and pond adjacent to the land, there are differences among localities. Area of the land are calculated as follow: for garden, pond adjacent to residential land of the household with the red book, record the area of each type in accordance with those in the red book. For household without the red book, record the area for each type based on invoices or other documents that stated how much if the area under tax rate for agriculture, forestry or aquaculture land, meaning based on actual conditions in each region to record the area of garden, pond adjacent to residential land accordingly.

Question 4: Based on the actual state of how the household is using the land, record the type of land inaccordance with the definiton as as mentioned above. In the case that the land was used for growing of perennial trees before, but now the land has been improved and changed into annual plants growing, record as annual plant cultivation land. Similarly, for other type of land if there is a change in use, record the type of land after change. In the case that the household has mixed garden, record as other.

Grassland (grassland used for cattle growing) is the area of land that that household use to grow grass for cattle growing, as for land that the household has not been using, grass grows naturally and cattle is feed there, it is considered deserted land and will be recorded in number 8 for question 4 (other land).

Question 5: Record clearly the method used to water the land during the last 12 months for the 2 types of land: annual plants growing land and perennial plants growing land such as watering and draining actively in the form of self drainage or by pump (electric or petrol pumping system), or watering by manpower in order to prevent drought or flood during the crop or in certain period of time when the land is not served by the canal system. In the case that many pieces of land were joined in accordance with regulation, record the drainage method used for majority of the area. A piece of land, if watered and drained both by pumping system and manpower, based on the amount of time or based on the evaluation of the household to determine the main method and record accordingly.

Question 6: Record the reason for that the household has right to use land for each piece of land based on the code in the survey form. In the case that long term right to land use was granted to the parents and now used by the child, if the child is chosen for the survey, the land will be recorded as under long term right to land use, not recorded as inheritance. In the case that many pieces of land were joined in accordance with regulation, record the reason for the whole joined piece of land based on that applicable for the majority of the land.

Land as present/ inheritance: The year of giving the present/ inheritance is determined as the time the receiver acquires the right to use or management over the land. The land for present/inheritance can be with or without accredited documents from authorised agency.

Question 7: Include all amount of cash, value of goods paid for the auction and rental of other people's land during the last 12 months. In the case that the household paid rental in goods, convert into monetary value by multipling the amount of goods paid by the market price of the goods in the surveyed area at the time of the payment. If the household paid in labor work, calculate the monetary amount by multipling the number of days of work by average price of labor in the surveyed area to come up with the payable amount.

Note: Here we only calculate the amount that the household paid for rental in the past 12 months, not total amount that the household have to pay in the whole leasing period. In the case that household has to pay in advance for a number of years or the whole lease period, the surveyor has to distribute the amount of money and goods based on the number of year. The amount delegated for the last 12 months will be recorded in column 7, the amount delegated for the period after the last 12 months will be recorded as code 508, other payment, but not in the household's expenditure. The amount delegated for the period prior to the last 12 months will be recorded as collection from the previous year, and will not be calculated here.

For example: Mr Nguyen Xuan Bac household, in May 2007 rented a piece of land of 560 m^2 for the period of 5 years (60 months). In june 2007 the household had paid VND 6 million to the landlord, and the amount if for 3 years rental. Method to calculate the amount paid for the last 12 months (from 5/2007 to 5/2008) is: take the 6 million, devided it by 36 months and multiple by 12 months = VND2 million. The amount that the household paid for the last 12 months was VND2 million (record in question 7), 4 million will be delegated for the time period after that 12 months and will be recorded in code 508, not calculated in the household's expenditure.

Question 8: Record the first year (first time) that the household had the right to use the land. In the case that the household borrowed or rented the land for the second time or more, record the year of the first time. For example, Mr. Nguyen Xuan Bac household, in 1999, rented a piece of land of 560 m^2 to cultivate until 2001 when they returned the land. In June 2007 the household rented the land again to cultivate in the period of 5 years. So the first time that Mr. Bac used this land was in 1999.

Question 9: During the last 12 months, regardless that the land was used for cultivation for long or short period, it is still considered cultivation land. In the case that on the same piece of land, the household both cultivated and leased out, e.g: for each 1 or 2 crops of cultivation, the household lease out the land for 1 crop (or vise versa), the land will be considered for lease. In the case that the land has existing plants such as industrial trees or fruit trees, and the household only took care and harvested on the land, it will still be considered cultivation land during the last 12 months.

Question 10: In the case that, during the last 12 months, the piece of land was not used in agriculture or aquaculture, ask the household what they have done with the land, and record number 1, if during the last 12 months, the household both leased and lent out the land, then, as in regulation, the land will be considered leased land, and the amount collected as rental will be recorded in the next column.

Question 11: Include all amount of money, value of goods that the household has collected as rental from the tenant in the last 12 months. In the case that rental was in the form of goods, convert to monetary value by multiple the amount of goods by average price of the goods in the surveyed area at the time of the payment. If the household was paid in labor work, calculate the monetary amount by multiple the number of days of work by average price of labor in the surveyed area to come up with the payable amount.

Note: Here we only calculate the real amount that the household has received in the last 12 months but not the total amount of money and goods that the household has received during the whole term of the lease. In the case that the tenant has paid the in advance for a number of years or the whole lease period, the surveyor has to distribute the amount of money and goods based on the number of year. The amount delegated for the last 12 months will be recorded in column 11, the amount delegated for the period after the last 12 months will be recorded as code 205, other collection, but not in the household's income. The amount delegated for the period prior to the last 12 months will be recorded as collection from the previous year, and will not be calculated here.

Question 12: The surveyor has to ask, for each piece of land that have been granted right to long term land use (red book) by the State's land management authority (or authorizied agency). If the hosuehold has finished all procedures and is waiting for the redbook and know who of the household members will be entitled, record as there is a certificate for land use right. This question is applicable for all land with right to long term land use, entitled either by a member from the household or member from another household.

Question 13: If certificate for long term usage of the land has been granted to a family member, record clearly code of the household member for each piece of land. In the case that only one person is entitled, record the code into the first column. In the case that both husband a nd wife are entitled, record the husband's name into the first column and wife's name into the second column.

Question 14: Record clearly the year that long-term land use right was granted, in the case that, if the household has finished all procedures and know who is the one in charge, but if the application is still on hold, record KB.

Question 15: The piece of land has been reallocated/ re-entitled the long term usage right only with approval from the related government agency to re-entitle.

Question 16: Right to long term land use for each piece of land can be transfered many time, record the most recent.

Question 17: Resord clearly the reason for transfer of right to long term land use, specifiaclly:

- *Present/inheritance*: The whole piece of land received as present/inheritance from relatives, organisation or individuals as regulated by the law.
- *Household divide*: Land inherited by many people or used by many people/households at the same time, so it has to be divided, the piece of land is only a part of the origial piece of land that was granted right to long term use.

Transfer: Right to long term land use is tranfered from one person to another but not between members from the same households.

Return: The State return the right to use land which was borrowed if the land has not been granted to other people to use.

Spouse's name in accordance wiht state regulation: When the piece of land is under joint ownership between husband and wife, the land use certification has to be recorded with full names of both husband and wife.

Other: Reasons other than the 5 reasons stated above, such as fund contribution or transfer of the right to use land.

4B1. CULTIVATION

The main method used to determine products of cultivation is that the surveyor directly visits head of the household or the person with most understanding about cultivation area, real output collected from each kind of plant, from each crop to calculate the value of product harvested and record in the survey form.

Product forms of plant production are regulated as follow:

- Rice, corn, millet, wheat, oat: dried seed, sweet potato, cassava, other potato: fresh roots.

- Green been, black been, soya been: dried seeds

- Peanuts: dried skin peanuts; Sugarcane: fresh tree, Tobacco: dried leaves; Cotton: dried whole seeds; Hemp: dried …, Sesame: Dried seeds, Mulberries: fresch leaves; Jute: dried leaves.

- Tea: Fresh buds; Coffee: seeds; Pepper: dried seeds; Coconut: fresh fruit; Cashew nuts: Dried seeds.

- Fruit trees have many types and products are in the form of fresh fruit, include: orange, lime, mandarin orange, pineapple, banana, longan, lychee, mango, jackfruit, guava, rambutan.

- Plant breed: Record the number collected from selling of plant breed int he last 12 months.

- Decorating plants: record the total sum of money colleted from selling decorating plants in the last 12 months.

Note: Flower plants are not under decorating plants but have to be separated between annual plant (gladiolous, gerbera, tuberose, etc...), recorded in the annual plant line and perennial plan, such as rose, recorded under the perennial plant line.

Câu 1a**:** This is a general question to help the household determine if they have harvested from agricultural plants in the last 12 months. Note that forestry plants are not applicable. If the house hold answer yes, record number 1 and move onto question 2, otherwise record number 2 and move on to question 1b.

Câu 1b: If the household say yes, record number 1 and move on to part 4B1.6, otherwise record number 2 and move on to part 4B2.

4B1.1. RICE

This part collects information about rice cultivated area, actual rice output and value of products harvested in each season and in the whole year; the use of rice for agricultural production (as seedlings and animal feeds); rice sold, exchanged for other goods, consumed in the household, used to pay others for labour work provided, and the rest reserved for future consumption.

In Vietnam, rice is a main food tree. Thus, in this survey, there is a separate table set for the study on things related to rice. Information for this table is collected seasonally. Method of writing information on square, production as following:

- Row 5 is the total of annual ordinary rice which include: winter-spring crop (row 1), summer-autumn crop(row 2), autumn- winter crop (row 3) and ordinary rice in milpa land (row 4). Interviewer write all information in rows by seasons of local provinces in the last 12 months.

- In case household does not remember or is unable to separate information related to rice, interviewers note information on the line of the whole year rice production. For households that have three rice crops but remember the detail information for only one or two crops, interviewers also note the information on the line of the whole year rice production without noting the information in detail for each crop.

Interviewers should search for information about rice crops in the surveyed area before going for interview to avoid omitting information. In Northern provinces, rice is cultivated in two seasons but in Southern provinces, there are three main rice crops: winter- spring crop, summer- autumn crop and main crop is autumn winter crop.

Following is cultivating and harvest time of each rice crop:

Winter-spring crop	*Cultivating time*	*Harvest time*
- Red river Delta	February, March	May, June

- Mekong river Delta	December, January	March, April
- Mountainous area	March, April	June, July
- Central coastal area	January, February	April, May
- Central highland, Eastern Southern provinces	February, March	May, June

Summer-autumn crop

- Red river Delta	-	-
- Mekong river Delta	April, May	July, August
- Mountainous area	-	-
- Central coastal area	May, June	July, August
- Central highland, Eastern Southern provinces	June, July	September, October

Autumn-winter crop

- Red river Delta	July, August	October, November
- Mekong river Delta	August	December, January
- Mountainous area	August, September	December, January
- Central coastal area	August, September	November, December
- Central highland, Eastern Southern provinces	August, September	October, November

With households are in harvesting in the middle at interviewing time, the interviewer records the harvested amount, not the ongoing harvested amount. Interviewer do not records the forth coming season, in principle, write the harvested amount in the last 12 months.

***Question 2*:** Interviewers mark 'X' to the rice crop harvested in the last 12 months before moving to question 3 and others. With special rices are better quality with higher economic value than other races ect. Nang Huong, Tam Thom…

***Question 3*:** Calculate cultivated are of each rice crop. In case in some areas, people do not distinguish rice crop, interviewers note cultivated area for the whole year. It is noted that it is cultivated area not arable area that this question is concerned with. For example, in a period of one year, on a land lot of 360m^2 people grow two rice crops, so total rice cultivated area is twice the arable area, that is 720m^2.

***Question 4*:** Write total unhusked rice output harvested (actual harvested output) for each rice crop in the last 12 months by dried output and refined output.

***Question 5*:** Write total output lost post-harvest due to mice, rotten, rain, storm or fire, etc. at the same time, this lost amount will be mentioned in 508 item (other spending not regarded as expenditure) in section 5B4.

Question 6**:** If in the last 12 months, the household has sold its unhusked rice or exchanged it for other goods, interviewers write code 1; otherwise interviewers write code 2. Unhusked rice exchanged for other goods is considered as rice being sold, the price of which is calculated basing on the value of the exchanged goods.

Question 7**:** Calculate total amount of unhusked rice of each crop sold or exchanged for goods, materials and fertilizers, etc. in the last 12 months, excluding the amount of unhusked rice sold or exchanged for other goods of the previous year carried on to this year and the amount bought in to be resold. In case households do not sell unhusked rice but process it before selling to he market, interviewers have to ask about the exact amount of rice sold by the households and then convert this amount to unhusked rice on the basis of 1 kg of unhusked rice = 0.7 g of rice. For example, if in the last 12 months, the household of Mr. Nguyen Van An sold 100 kg of rice, according to the above formula the actual amount of unhusked rice his household sold is 142 kg (= 100 * 1/0.7)

Question 8**:** Write the total amount of money households get from selling unhusked rice. In case households exchange unhusked rice for goods, materials and fertilizers, it is considered as unhusked rice sold. The money received is calculated on the market value of goods, materials, and fertilizers exchanged at the time of exchange.

Question 9**:** This question is to identify who the household has sold most of its unhusked rice to in the last 12 months. The household may sell its rice to different customers such as state-owned enterprises, non-state enterprises, traders, to the market and some others not mentioned above. Interviewers should ask to identify the major customers so as to write it down in one suitable code.

- Sold to Sues: unhusked rice sold to enterprises registered and operate under Enterprise Law. They are: Sues belonging to ministries, ministerial- level agencies, government agencies, central agencies, political organisations, socio-political organisations, General Corporation 91; local Sues under the administration of local People's Committees.

- Sold to non-state enterprises: unhusked rice sold to private limited companies, joint-stock companies, partnerships, private enterprises and foreign-invested enterprises.

- Sold to private traders: unhusked rice sold to or exchanged for goods.

- Retail on market: unhusked rice sold to consumers and households who are not trading households or private traders.

- Sold to others: unhusked rice sold to individuals and organisations not mentioned above such as military unit, forest farm, construction unit, institution, enterprise and cooperative that are not trading units.

Question 10**:** Calculate the amount of rice produced in the last 12 months kept/reserved for seed purposes. For households producing rice seeds to sell on the market, the amount of rice seed sold is recorded in one column in question 7.

Question 11**:** Unhusked rice taken from rice production in the last 12 months for household consumption includes rice consumed in everyday meals and in making rice noodle and sauce for household consumption.

Question 14**:** Calculate the amount of unhusked rice out of the total rice production in the last 12 months left for future consumption excluding accumulated amounts left from previous years prior to the first month of the 12 months in question.

***Question 15*:** Interviewers calculate by themselves the value of unhusked rice harvested in each crop over the last 12 months or for the whole year in the following ways:

- If the household has not sold any unhusked rice produced in the last 12 months, the total value of rice production is calculated by multiplying the total output with market price.

- If the household has sold all unhusked rice produced in the last 12 months, the total value is the actual amount the household has received from that.

- If the household has sold a part of rice produced, the following method can be applied in calculation:

$$\text{Total value of unhusked rice in the last 12 months} = \text{Value of unhusked rice sold/ exchanged in the last 12 months} + \left(\text{Total production} - \text{Sold/ exchanged}\right) \times \text{Annual price of unhusked rice in local market}$$

Or,

Question 15= Question 8+(question 4- question 7) x Annual price of unhusked rice in local market

After completing part 4B1.1, interviewers add up the figures in question 15 and write the result in box 4B1.1T to be later added up to total amount received.

Note: The letter “T” in 4B1.1T means revenue, thus the figure in this box will be added up to total revenue.

4B1.2. CROPS FOR FOOD, FOOD STUFFS AND OTHER CROPS

Interviewers need to learn about crop time for each crop for food and vegetable of various kinds so as to evaluate income from crops and vegetables grown in he last 12 months. Specifically, crop time of crops for food and vegetables is as follows:

	<u>Cultivating time</u>	<u>Harvest time</u>
Winter-spring crop and Winter crop	Dec., Jan., Feb., Mar.	Feb., Mar., Apr., May
Summer-autumn crop	May, June, July	Sep., Oct., November

***Question 2*:** Interview the respondent every kind of crop listed in the questionnaire. Interviewers mark X in the corresponding columns for those crops the household has planted before moving on to the next questions. Interviewers need to ask each and every crop, do not mark any crop if having not asked the respondent.

Other crops for food (code 11) consist of millet, wheat, malt, cereals, kaoliang, water-taro, and edible cannas.

Other vegetables and tubers (code 20) consist of vegetables and tubers of various kinds used as vegetables not included in the above list such as calabash, pumpkin, wax gourd, loopah, chayote, bitter melon, pot-herbs, amaranth, salad greens, etc.

Other crops (code 21) include also annual flowers of various kinds.

***Question 2*: Write total cultivated area for each crop in the last 12 months. Cultivated area for food crops and other annual crops includes the area cultivating only one kind of crop, the area cultivating crops alternately, and the area cultivating overlapping crops. Concepts and method to calculate cultivating area are as follows:

- Cultivating only one kind of crop in one crop time with the cultivation density subject to local practice. In one crop time, people can plant once for such crops as maize and cassava; or plant several times for crops such as vegetables. For example, Mr. An's household in the last 12 months growing two sweet potato crops of which the first one was grown on an area of $100m^2$ and the second on an area of $120\ m^2$; so total area growing sweet potato in he last 12 months is $220m^2$ ($100m^2 + 120m^2$).

- Cultivating alternately: on one area people grow two to three crops alternately. The main crop has normal cultivation density; the alternate crop is grown to save cultivated area so its density is lower than the main one. People can grow annual crops alternately or annual crops alternated with perennial trees. The area growing the main crop is calculated as in the case of cultivating only one kind of crop on one area, the area for alternate crop is calculated basing on cultivation density or the amount of seeds or seedlings grown. For example, Mr. A's household has a land lot of $360\ m^2$ cultivating maize and peanut (main crop). When maize is grown alone on the area of $360\ m^2$, people have to use 1.5 kg of seeds but when it is cultivated on this area where peanut is the main crop, people have to use only 0.5 kg of seeds. Thus, calculating method for cultivation area of each crop is:

+ Peanut: the area of cultivation is $360\ m^2$ and is recorded in part 4B1.3 "annual and perennial industrial trees"

+ Maize: cultivation area is $360\ m^2 : 3 = 120\ m^2$

- Cultivating overlapping crops: on one area, when the crop is going to be harvested, people grow the next crop to save the time. The area of both the two crops is calculated as Cultivating only one kind of crop in one crop time.

With food, food stuffs and other crops, method of calculating harvested value in the last 12 months in question 8 as following:

- If the household has sold/exchanged some production in the last 12 months, the total value is calculated by: question 8= question 6 + (question 4-question 5) multiplying the total output with market price.

- If the household has not sold any production in the last 12 months, the total production value (question 4) multiplying the total output with market price.

Question 8 in section 4B1.3, 4B1.4 is calculated with the same method.

With code 21 (flower) in question 2 section 4B1.1 and decorative plant (code 55) in section 4B1.3, interviewers write data on land square of only concentrative cultivation. On the other hand, with decorative plant in flowerpot should not be exchanged to land square.

Crop code: green bean, black bean and red bean, interviewer write code21 in "other annual crops"

Calculating and recording methods for questions from 4 to 8 are similar to corresponding questions in part 4B1.1.

4B1.3. ANNNUAL AND PERENNIAL INDUSTRIAL TREES

This part is to list the kinds of annual and perennial trees popular nationwide and important to household income. Those that are not so important or local are recorded in the group of other annual and perennial industrial trees.

***Question 2*:** Coconut (code 35) calculate by unit and is based on this ratio: 1 coconut = 1 kg.

***Question 3*:** For focused cultivated trees, interviewers calculate by area and write code 1. In principle, the area for focused cultivation must be at lest 100 m^2 with normal cultivation density. Area of less than 100 m^2 is not considered as focused cultivation area. For scattered trees, interviewers record the number of trees at the time of interview and write code 2 (including the trees planted on area of less than 100 m^2)

- Calculate planting area for focused trees

- Calculate number of trees for those planted scattering around the garden, house, the banks of canals or along the roads, which is difficult to measure the total area.

- The area for industrial perennial trees is calculated by adding up the area of previous years still yielding products at the time of interview and the new cultivated area.

Calculating and recording methods for questions from 4 to 8 are similar to corresponding questions in part 4B1.2.

4B1.4. FRUIT TREES

Other perennial trees are coded 53.

Calculating and recording methods for questions in this part is similar to part 4B1.3.

4B1.5. HARVEST OF SUBSIDIARY CROP PRODUCTS

In agricultural production, in addition to main agricultural crops, it is not trivial to calculate subsidiary crop products households get from cultivating the main crops for which they may keep for home use or sell on the market. Examples of such products are: straw, left-over of sweet potato, cane leaves, the top of sugar cane trees, coconut fibre, etc.

In this survey, subsidiary crop products that households harvest to sell on the market or exchange for other goods to improve their income or process as animal feeds for animal raising or for daily household consumption (e.g. straw or firewood are sold or used for cooking, left-over of sweet potato and straw for animal feeds, etc.) are included in income.

***Question 1*:** Interviewers ask the respondents about all subsidiary crop products listed in the questionnaire before moving on to questions from 2 to 5. For each of those subsidiary crop products the households have harvested, interviewers mark a cross (X) in the respective box.

***Questions 2 to 4*:** Interviewers write the value of each subsidiary crop product the households have consumed and sold to the market in the last 12 months.

***Questions 5*:** Interviewers calculate by themselves the market value (local price) of subsidiary crop products the households have used for animal feeds or for other purposes.

4B1.5T. Interviewers add up the figures in question 5 to fill in this box

4B1T. Total revenue from cultivation: Interviewers add up the figures in boxes from 4B1.1T to 4B1.5T, the result of which is filled in this box.

4B1.6. CULTIVATION COSTS

Cultivation costs consist of physical costs, services costs, and other costs involved in the production process including the purchase of inputs and self sufficient inputs households. It should be noted that:

- In calculating production costs of households, interviewers should calculate those costs households have to pay or receive from others but are included in total revenue (income) of the households. For example, unhusked rice is included in total harvested output and now the households use it as rice seeds. Interviewers do not calculate those costs involved in production the households do not have to pay or purchase but are not included as sources of income (revenue) anywhere else in this household questionnaire. For example, interviewers do not include in cultivation costs the value of small tools used in production that the households make it themselves.

- Interviewers calculate only costs involved in cultivating crops already harvested during the last 12 months; do not include costs involved in cultivating crops not yet harvested.

- In case production costs relate to income (revenue) spreading over the years, for example land rent, costs in one particular year must be the total costs divided by a proportional rate. Those costs relating to many sectors are allocated by dividing these costs by proportional rates of income (revenue) or expenditure of each sector over the total income (revenue) or expenditure.

- For other materials used in production, if the households buy in the market interviewers record the actual purchase price; if the households do not have to buy, interviewers record the value according to average price in the local market.

- In case of having one bad/lean harvest in the last 12 months, all production costs involved in that crop is included in total production costs.

- In case of floods causing poor crop and damaging investments in production, for example the households have to re-plant coffee or pepper, production costs during the last 12 months are calculated as follows:

i. Regular expenses (seeds, fertilizers, pesticides, pays to hired labour, etc.) are all included in production costs in the last 12 months.

ii. Basic investments (one-time investment that is spread over the years) such as costs involved in planting coffee and rubber in the first year are included in production costs in the last 12 months by dividing total losses of basic investments by the number of years, the result of which is recorded in the section recording production costs in the last 12 months. The rest is recorded in code 508 "other costs not included in expenditure".

iii. Loss/damage on basic investment in building/setting new investment (not the completed one) can be written the total of losing value in code 508 "other costs not included in expenditure".

For example, the household of Mr. An has an area of 2 ha planting coffee. Mr. An has invested 10 million dong in seedlings, hired labourers planting and tending coffee trees at the cost of 2 million dong, and spent 1 million dong for fertilizers. In the late of 2007, because of drought, two thirds of coffee trees died. The loss is estimated to amount to 8 million dong of which died coffee trees are valued at 7 million dong, labour work and fertilizers 1 million dong. The household says harvest time will be in 20 years. According to the above principle, losses included in production costs for 2007 is calculated as follows:

- Regular expenditure of 1 million dong is included in production costs.
- Basic investments allocated for 20 years is VND 35,000 (= 7,000,000 : 20 years), the rest amount of VND 6,965,000 is recorded in code 508 "other costs not included in expenditure"

In case this coffee plants have not been harvested any time, it have been invested the total loss is 9.000.000 VND=((7.000.000VND + 2/3 x 3.000.000 VND) will be written in code 508 "other costs not included in expenditure".

***Question 1*:** Interviewers ask about each type of expenses listed in the questionnaire and mark "X" on the respective lines before moving on to question 2.

1.2. Seeds and seedlings: Interviewers note the value of seeds and seedlings the households have actually bought for production in the last 12 months and the amount they haven't had to buy that has already been recorded in income (revenue). For example, unhusked rice is included in total harvested output and now the households use it as rice seeds. Seedlings consist of rice seedlings, vegetable seedlings, sweet potato seedlings, bean seedlings, annual industrial tree seedlings, etc. that are recorded in part 4b1 "Cultivation" and included in income (revenue). In case the households buy seedlings at subsidized price, when calculating production cost, interviewers base on purchase price and do not include the subsidy in income of households.

3. Fertilizers: Interviewers write the total value of fertilizers the households use for production in the last 12 months. Fertilizers include many kinds such as nitrogenous fertilizer, phosphate fertilizer, NPK, potassium fertilizer, etc. Interviewers ask about each kind of fertilizers actually sprayed for each kind of crops. Chemical fertilizers are calculated basing on actual price the households buy on the market. In reality, many households probably do not remember exactly how much fertilizers is used for each kind of crops but how much nitrogenous fertilizer, potassium fertilizer, etc. they have bought in the last 12 months. In this case, interviewer has to calculate the amount of fertilizers sprayed for each kind of crops by basing on the cultivated area of each crop. For example, the household of Mr. An has bought 75 kg of nitrogenous fertilizer to spray on 60 m^2 of rice, 100m^2 of potato (crops for foods), and 50 m^2 of tea (industrial tree) out of the total sprayed area of 750 m^2, of which rice area accounts for 80%, potato area accounts for 13% and tea 7%. Calculation for the amount of nitrogenous fertilizer sprayed on each kind of crops is as follows:

- The amount of nitrogenous fertilizer sprayed on rice: = 60 kg (75 kg x 0.8)

- The amount of nitrogenous fertilizer sprayed on potato: = 9.8 kg (75 kg x 0.13)

- The amount of nitrogenous fertilizer sprayed on tea: = 5.2 kg (75 kg x 0.07)

In case such a calculation is not feasible, interviewers can record the total sum of fertilizers consumed and their value in columns 2d and 2e.

Similar calculating method is used for organic fertilizer and pesticides sprayed on each kind of crops of the households.

4.5. Organic fertilizer: Interviewers write the amount of organic fertilizer the households are self-sufficient and have to purchase in the last 12 months including the amount granted by others.

6.7. Pesticides: Interviewers write the actual amount of pesticides used for crops. Pesticides consist of powder and water types. Interviewers base on the number of times spraying each kind of pesticides to calculate the amount of money spent.

8. Small tools and cheap but easily worn and torn tools: Interviewers write down the amount of money spent on buying small and cheap but easily worn and torn tools such as spade, rake, reaping hook, hanger, bamboo lattice basket, etc. Small tools that are cheap and easily worn and torn bought in the last 12 months (rope, bamboo baskets, hanger, etc.) are considered to be fully depreciated in 12 months. Some other production tools that are not placed in the group of fixed assets such as tractor and rake are depreciated over the years of use (2 or 3 years depending on each type). Some small tools which households make themselves like bamboo baskets and hangers and not included in households' income are not recorded here.

9. Energy and fuels: Interviewers write down the total amount of money households have spent in the last 12 months to buy petroleum, oil, gas, coal and other types of energy and fuels for production excluding those energy and fuels households do not have to buy and are not included in households' income, for example: firewood collected by household members; fuels and energy consumed in daily life, animal raising, and other non agro-forestry and fisheries production activities.

10. Maintenance and repairing: Interviewers write the amount of money households have spent on regular maintenance and repairing of fixed assets (machineries and premises, etc.) and hand tools used in agricultural production.

11. Depreciation of fixed assets: Depreciation of all fixed assets used in production process must be calculated. Fixed assets consist of machineries, tools, buffaloes, perennial trees yielding products, etc. calculation of fixed asset depreciation is based on actual purchase price. The method of calculation is as follows:

Basing on the purchase price of fixed assets and use time to calculate depreciation:

$$\text{Depreciation in one year} = \frac{\text{Purchase price of fixed asset}}{\text{Use time (years)}}$$

The use time of fixed assets is based on Decision No.166-1999/QD-BTC dated 30 December 1999 of the Ministry of Finance on Management, use and depreciation of fixed assets.

Note: For perennial orchard, depreciation is not counted for land.

12. Renting land and bidding for land use right: Interviewers write the actual amount households have paid in the last 12 months for land rent or bidding for land use right for agricultural production. If land use right is rented or bid for as long as several years, the amount to be included in production costs in the last 12 months is calculated by dividing the total amount paid by the number of years using the land; the rest amount (after deducting for the amount included in production costs in the last 12 months) is recorded in part 5B4, line 508 "other expenses not included in households' expenditure".

13. Hiring property, machineries and labour to transport goods: Interviewers write the actual amount households have paid in the last 12 months for hiring property, transportation vehicles and machineries for agricultural production. If such property and facilities are hired for as long as several years, the amount to be included in production costs in the last 12 months is calculated by dividing the total amount paid by the number of years using such machineries and facilities; the rest amount (after deducting for the amount included in production costs in the last 12 months) is recorded in part 5B4, line 508 “other expenses not included in households’ expenditure”.

14. Hiring ploughing cattle: Interviewers write the actual amount households have paid in the last 12 months for hiring cattle to plough and transport materials and products for production.

15. Paying outside labour: Interviewers write the actual amount (including those in kind converted into money term) households have paid to labourers outside the households for doing such work as sowing, tending, reaping, and marketing products.

16. Irrigation fees: Interviewers write the actual amount households have paid for irrigation services in the last 12 months.

17. Agricultural tax (if arise): Government had issued policy in agricultural exemption but in some local level, this policy may be applied late, at the interviewing time, if this tax is still raise in household, interviewer should write this cost into cultivation cost

18. Paying interest on loan borrowed for cultivation purposes: Interviewers write the actual amount households have paid in the last 12 months on loan borrowed for cultivation purposes. If such interest is paid monthly in the last 12 months, interviewers add the total interest paid to production costs; otherwise if such interest is paid for as long as several years, the amount to be included in production costs in the last 12 months is calculated by dividing the total amount paid by the number of years in question; the rest amount (after deducting for the amount included in production costs in the last 12 months) is recorded in part 5B4, line 508 “other expenses not included in household’s expenditure”.

19. Other expenses: Interviewers write the amount of money households have spent on items other than items mentioned above. Examples are: costs involved in transforming crop structure (investment needed to transfer from growing annual trees to perennial trees, etc.), transportation fees, post and telecommunication fee, advertising fee, training fee, marketing fee, production fee, plant protection fund, land reclamation fund, administration fund, and buying animal feeds for cattle, etc.

***Question 2*:** Interviewers write down cultivation cost. To exploit all necessary information and avoid omission, interviewers should ask about cultivation cost by crop/tree and group of crops/trees listed in the questionnaire. However, if households cannot remember the detailed cost by crop/tree but only the total cost, interviewers write the total amount in column 2e and mark KB for those columns households do not remember the detail or have no idea. This question does not aim at calculating cultivation cost for each crop/tree or group of crop/tree but estimating all cultivation costs involved.

***Question 3*:** Interviewers write down the processing method of insecticide wrappings which was used by the households.

Note:

- Throw casually in pool, lake, streamline (code 1): the places of water sources lie pool, lake, streamline, river… that insecticide wrappings (wrapping, cover bag, box, bottle…) were put, irrespective of living place nearby.

- Throw casually in other places (code 2): including throw right in the field, nearby home but not include in code 1.

- Other (code 7): Write other method of processing but not mentioned above

4B1C: Interviewers add up figures in question 2e and write the result in this box. This is total cultivation cost.

PART 4B2. ANIMAL RAISING, CATCHING AND DOMESTICATION

Question 1a**:** If households say yes, interviewers write code 1; otherwise, interviewers write code 2

Question 1b**:** If households say yes, interviewers write code 1; otherwise, interviewers write code 2 and move to Section 4b3.

4B2.1 INCOME FROM ANIMAL RAISING, CATCHING AND DOMESTICATION

Question 2**:** Interviewers raise this question for each and every kind of animals that have been sold or stopped the raising process in the last 12 months. If household say yes, interviewers mark "X" in the respective lines. Animals produced/sold in the last 12 months (excluding fisheries products) include also slaughtered buffaloes, pigs, and poultry; others like goat, sheep, rabbit, pigeon, dog, cat, reptile, insect, frog, snail, silkworm; others not slaughtered such as egg, milk, breeding animals, honey, cocoons, sheep hair; ..) other incomes from animal raising are receipts from compensation from government for destructions of domestic fowls.

Subsidiary products such as cattle faeces, pig and poultry faeces, fur, hair, bone, horn of slaughtered cattle and poultry. Households have raised castles and have harvested subsidiary products in the last 12 months, this amount should be put in row 18 "subsidiary products"

In this survey, interviewers calculate only subsidiary animal products that households harvest to sell on the market, use as inputs in production process or exchange for other goods to improve their income, or for daily household consumption (e.g. cattle and poultry faeces are processed into bio-gas for cooking).

If cattle faeces are used for making gas, it is included in income from subsidiary animal products, gas is calculated as the households' self-sufficient fuel. In this case, interviewers ask households how much they would have spent if they have had to buy this gas on the market in the last 12 months to estimate this source of income.

Question 3**:**

3a: Interviewers record the quantity of animal products households have sold, exchanged for other goods, given as presents to relatives, and paid in kind to hired labourers in the last 12 months.

3b: Interviewers record the value of animal products households have sold, exchanged for other goods, given as presents to relatives, and paid in kind to hired labourers in the last 12 months. Products sold are calculated on actual selling price; products exchanged for other goods are valued on the value of the goods exchanged, and products paid to hired labourers are valued in money term basing on local market price at the time of making payment.

Question 4**:**

4a, 4b: Interviewers record the quantity and value of animal products households have raised for daily life consumption and for Tet and holidays. Price of animal products reserved for household consumption is based on local market price.

***Question 5*:**

5a, 5b: Interviewers record the quantity and value of animal products households have used for other purposes such as processing and making materials for production and keeping as breeding animals for domestic animal husbandry. Breeding animals kept for domestic animal husbandry are valued basing on local average market price.

***Question 6*:**

6A, 6B: Interviewers calculate by themselves and record the quantity and value of animal products in the last 12 months, including subsidiary animal products households have used in the last 12 months. The figure in question 6 is the sum of those in questions 3, 4, and 5. For some subsidiary animal products (code 18) such as cattle and pig faeces which are mixed with straw and grass, to exclude these straw and grass, we should base on experience that 1 buffalo yields about 2.5 tons of faeces a year, 1 pig yields about 0.9 ton of faeces a year, and a cow yields 1.5 tons of faeces a year.

4B21T: Interviewers add up the figures in question 6B and write the result in this box. This is total income from animal husbandry.

Note:

- Income from animal raising: in households occurred avian flu and had destroyed poultry in the last 12 months, breeding animal and food.. should be put in animal raising expenses in the last 12 months, compensation received is considered as household income and put in code 18 question 5b and 6b section 4B2.1 “other income of animal raising”
- Households have income from animal raising in sharing with other households, write amount and value of products which belong to selected households. For example, household own ½ buffalo and ½ remaining belong to other household then interviewer write 0.5 buffalo or 1/3 buffalo write 0.33… animal raising expenses paid by household should be written in section 4B2.2…

4B22T: interviewer write value of question 6B from row 19 into this row. This is total income of animal raising, catching, domestication.

4B2.2. COSTS OF ANIMAL RAISING

Interviewers have to ask all costs involved in raising cattle and poultry listed such as pig, buffalo, cow, horse, goat, sheep, chicken, dug, other poultry, bee, silkworm, etc.

It should be noted that:

- In calculating costs of animal husbandry of households, interviewers should calculate those costs households do not have to pay or receive from others but are included in total revenue (income) of the households. For example, unhusked rice is included in total harvested output and now the households use it as animal feeds. Interviewers do not calculate those costs involved households do not have to pay or purchase but are not included as sources of income (revenue) anywhere else in this household questionnaire. For example, interviewers do not include in animal husbandry costs the value of vegetables or crabs or snails households collect and catch for animal feeds, which are not included in income of households.

- Interviewers calculate only costs involved in raising animals which production process already finished and to be sold during the last 12 months; do not include costs involved in raising animals in uncompleted production process and not yet to be sold/used. The same method of calculation for poultry.

- In case fixed assets added to animal raising costs relate to income (revenue) spreading over the years, costs in one particular year must be the total costs divided by a proportional rate. Those costs relating to many sectors are allocated by dividing these costs by proportional rates of income or expenditure of each sector over the total income or expenditure of animal husbandry.

- In case animals died or poultry be incinerated due to avian flu during the last 12 months, expenses such as breeding animals, animal feeds and animal medicine are all included in animal raising costs in the last 12 months. Households, which have big-size animal husbandry, face losses not only in terms of animals but also of basic investments. The way to calculate costs involved in animal raising in the last 12 months is as follows: Regular expenditure such as breeding animals, animal feeds, animal medicine, etc. is all added up to animal raising costs. Basic investment (one-time investment that is spread over the years) such as costs involved in building shed or fence in the first year are included in animal raising costs in the last 12 months by dividing total losses of basic investment by the number of years, the result of which is recorded in animal raising costs in the last 12 months. The rest is recorded in other costs not included in household expenditure

- For sows, interviewers should note that if they are immature, all costs of animal feeds and breeding animals (including breeding animals households do not have to buy from outside) are not recorded in costs of animal raising but in investments for production coded 507 in "other expenses not included in expenditure".

- In case livestock used as fixed assets in production such as cattle, horse, breeding pig, sow, poultry laying eggs, etc., are no longer used as fixed assets and are raised to be sold or slaughtered for sale, this is considered as liquidation of fixed assets and is added to value of fixed assets liquidated in "Other revenues not included in household income". If in the last 12 months, households have to incur expenses concerning animal feeds, these expenses are recorded in line 508 "other expenses not included in expenditure" and the value of animals liquidated is recorded in line 201 "other revenues not included in income".

<u>Question 7</u>**:** Interviewers write down the value breeding pig, buffalo, cow, breeding poultry, and others used for production in the last 12 months. The value of purchased breeding cattle and poultry is based on actual purchasing price; for those households are self-sufficient or granted by others, interviewers base on local average market price. Breeding cattle and poultry used as fixed assets such as breeding sow, buffalo used for ploughing are not included in costs of breeding animals but investments for production in part 5B4, line 507 "other expenses not included in household expenditure" 9note: including animal feeds and medicine for cattle and poultry used as fixed assets).

<u>Question 8</u>**:** Include all kinds of animal feeds actually used for animal husbandry over the last 12 months including those feeds households collect by themselves and they do not have to buy on the market but are included in household income. Animals feeds like rice, cassava, maize, sweet potato, tubers and other powder feeds that households produce themselves are valued by local market price at which household can sell these products on the market; if households buy these feeds in the market, costs are purchasing price multiplying by the amount purchased. Interviewers do not include vegetables or subsidiary crop products or animal products collected by household members but are not included in household income. When calculating expenses for animal feeds, interviewers need to calculate that expense for each kind of animals listed in previous page. Note: expenses of regular feeds for cattle regarded as fixed assets such as breeding cattle and sow are included in costs of animal raising.

Question 9**:** Interviewers write the amount of money (including those in kind converted into money term) spent on animal medicine in the last 12 months.

Question 10**:** Interviewers write the actual amount of money (including those in kind converted into money term) spent on petroleum, oil, coal, and firewood for animal husbandry in the last 12 months. Interviewers do not include either energy and fuels households do not have to buy and not added in household income (e.g. firewood collected by household members) or energy and fuels consumed in daily life or for cultivation, non agro-forestry and fisheries production purposes.

Question 11**:** See explanation in question 11 part 4B1.6 (depreciation of fixed assets in costs of cultivation)

Question 12**:** Interviewers write the actual amount households have paid in the last 12 months for land rent or bidding for land use right for animal raising. If in the last 12 months, households have paid rent or bid for land use right for as long as several years, the amount to be included in animal raising costs in the last 12 months is calculated by dividing the total amount paid by the number of years using the land; the rest amount (after deducting for the amount included in animal raising costs in the last 12 months) is recorded in part 5B4, line 508 “other expenses not included in households’ expenditure”.

Question 13**:** Interviewers write the actual amount (including those in kind converted into money term) households have paid in the last 12 months for hiring transportation vehicles and machineries for animal raising. If such facilities are hired for as long as several years, the amount to be included in production costs in the last 12 months is calculated by dividing the total amount paid by the number of years using the facilities; the rest of which (after deducting for the amount included in production costs in the last 12 months) is recorded in part 5B4, line 508 “other expenses not included in households’ expenditure”.

Question 14: Interviewers write the actual amount (including those in kind converted into money term) households have paid to labourers outside the households for doing such work as caring and protecting cattle and livestock.

Question 15**:** Interviewers write the actual interest households have paid in the last 12 months on loan borrowed for animal husbandry.

Question 16**:** Interviewers write the amount of sales tax households have paid in the last 12 months.

Question 17**:** Interviewers write down the amount of money spent on items other than items mentioned above such as buying small and cheap but easily worn and torn tools such as hanger and bamboo lattice basket for animal husbandry. Small tools, which are cheap and easily worn and torn bought in the last 12 months (plastic basins, bamboo baskets, hanger, etc.), are considered to be fully depreciated in 12 months. Some other production tools that are not placed in the group of fixed assets are depreciated over the years of use (2 or 3 years depending on each type). Some small tools which households make themselves like bamboo baskets and hangers and not included in households’ income are not recorded here. Interviewers also note the amount of money households have spent on regular maintenance and repairing of fixed assets (machineries and shed, etc.); hand tools, transportation, post and telecommunication, advertising, training, and insurance for animal husbandry.

Question 18**:** Interviewers calculate by themselves the value of each kind of animals raised:

- For animals sold to the market, interviewers base on actual amount households receive

- For animals kept for household consumption or giving as present to others, interviewers base on local market price.

***<u>Question 19</u>*: **how is your household process wastes of animal husbandry?

- Discharge to sewerages: Waste is discharged directly to public sewerages and this system flow to trench, sink..(with cap), in these places, waste is accumulated and clearer water/waste í discharged (preliminary process).
- Discharge to pool, lake, river or stream nearby household. Waste without process and directly discharge to field, pool, lake, river or stream nearby household. In case waste is discharged directly to sewerages (with or without cap) but the sewerage system flow directly to pool, lake, river or stream .. still be put in this code.
- Biogas tunnel: wastes of animal husbandry is discharged in biogas tunnel to produce gas using for fuel, electricity energy..

4B21C: Interviewers add up the figures in question 18 from row 1 to 10 of part 4B2.2 and write the result in this box. This is total cost of animal husbandry.

4B22C: Interviewers add up the figures in question 18 from row 11 of part 4B2.2 and write the result in this box. This is total cost of animal catching, domestication.

PART 4B3. AGRICULTURAL SERVICE ACTIVITIES

***<u>Question 1a</u>*: **Interviewers interview to identify households doing agricultural service activities including both specialised and not specialised agriculture households. Households doing agricultural services must have machineries, equipments and tools to conduct agricultural services in the last 12 months. If households say yes, interviewers write code 1; if not, interviewers write code 2.

***<u>Question 1b</u>*: **If household answer yes, write code 1 and skip to part 4B3.2; if no, write code 2 and skip to part 4B4

4B3.1 INCOME FROM AGRICULTURAL SERVICES

***<u>Question 2</u>*: **Interviewers ask about each activity related to agricultural services households have carried out and mark “X” in respective lines if households say yes.

***<u>Question 3</u>*: **The number of months during the last 12 months households have done agricultural services. The number of months can be a decimal number. For example, 15 days is written as 0.5 month; 10 days is written as 0.3 month.

***<u>Question 4</u>*: **Monthly revenue is the amount of money received from agricultural services of households supplying and doing agricultural services of different types and sizes. It includes revenue from soil and land preparation, irrigation, plant protection, and product processing, etc. If households receive payment for such services in kind, interviewers convert it into cash basing on local market price.

***<u>Question 5</u>*: **Interviewers calculate by themselves revenue households get from each and every activity of agricultural services and write the results in respective lines.

4B3T: Interviewers add up the figures in question 5 and write the result in this box. This is total revenue from agricultural services.

4B3.2. COSTS OF AGRICULTURAL SERVICE ACTIVITIES

Question 6**:** Interviewers ask whether households have spent anything on each activity related to agricultural services households have carried out and mark "X" in respective lines if households say yes.

Question 7**:** Material cost: Interviewers write the actual amount spent for input materials in the last 12 months.

Question 8**:** Interviewers write down the amount of money spent on buying small and cheap but easily worn and torn tools used for agricultural services supply. Small tools that are cheap and easily worn and torn bought in the last 12 months are considered to be fully depreciated in 12 months. Some other production tools that are not placed in the group of fixed assets are depreciated over the years of use. Some small tools, which households make themselves and not included in households' income, are not recorded here.

Question 9**:** Interviewers write the actual amount of money spent on petroleum, oil, coal, firewood, and electricity for agricultural services supply in the last 12 months. Interviewers do not include energy and fuels consumed in daily household life, in agro-forestry and fisheries production, and for non agro-forestry and fisheries production purposes.

Question 10**:** Interviewers write the amount of money households have spent on regular maintenance and repairing of fixed assets (machineries and premises, etc.) and hand tools.

Question 11**:** See explanation in Costs of cultivation and animal raising.

Question 12**:** Interviewers write the actual amount households have paid in the last 12 months for hiring property, transportation vehicles and machineries for production. If such property and facilities are hired for as long as several years, the amount to be included in production costs in the last 12 months is calculated by dividing the total amount paid by the number of years using such machineries and facilities; the rest amount (after deducting for the amount included in production costs in the last 12 months) is recorded in part 5B4, line 508 "other expenses not included in household expenditure"

Question13**:** Interviewers write the actual amount households have paid to labourers outside the households for supplying such agricultural services as irrigation, water drainage, and plant protection.

Question 14**:** Interviewers write actual interest households have paid in the last 12 months on loan borrowed for investment in agricultural services.

Question 15**:** Interviewers write the actual amount of tax households have paid in the last 12 months.

Question 16**:** Interviewers write down the amount of money spent on items other than items mentioned above such as transportation, advertising, post and telecommunication, commission, brokerage, etc.

Question 17**:** Interviewers add up the figures from questions 7 to 16 for each service.

PART 4B4. FORESTRY

Objectives

To collect data on revenue and expenditure of forestry activities (including forestry services).

Respondents

This section relate to respondents of code 1 in question 1b section 4A. Interviewers have to ask each of these people or the one who know most information about this.

Scope:

Calculate only revenue in the last 12 months from forestry activities; exclude work-in-progress or activities that have not yet brought about any sources of revenue. Value of each product is based on actual selling price, others are based on annual price prevailing in the nearest local market.

Therefore, it also consider only expenses spent for completed products in the last 12 months.

Content and recording method

Question 1a: Forestry activities include forestation, protection, look after, cutting timber, cultivating seedlings, harvesting and gathering forestry trees, gathering, prevent fire in forest… If the answer is yes, write code 1 and ask question 2, if no, write code 2.

Question 1b: If the answer is yes, write code 1 and skip to part 4B4.2, if no, write code 2 and skip to part 4B5.

4B4.1: REVENUE FROM FORESTRY

Question 2: Interviewer ask household if there is any receipt of product or activity as mentioned in questionnaire (code from 1 to 14) in the last 12 month?. If yes, write X in corresponding row. Ask all products/activities and then move to question 3. It should be noted some following content in revenue from forestry.

- Revenue from forestation, look after, forestry mend & improvement: include all receipts for these activities in the last 12 months. For example receipts in kinds or cash from forestation, forestry mend & improvement follow some projects.

- Other forestry services: write actual revenue from forestry services as: forestry protection, preventing fire, evaluate tree reserves, timber transporting, preliminary treatment of timber…

Question 3: Write the revenue received from products/ activities in the last 12 months according to listed item, by each type of forestland.

- Question 3a, 3b: Write all revenue from productive forestland which permanently delivered or have not yet delivered to household. Productive forestland is the area of cultivated forestland with the main purpose is to exploit timber, firewood, material of paper production and other forestry products used in production and life.

- Question 3c, 3d: Write all revenue from protective forestland which permanently delivered or have not yet delivered to household. Protective forestland is the area of cultivated forestland in riverheads, coastal areas to prevent water, flood, erosion, make the climate equable, protect irrigational works, hydroelectric plants, stop winds and sands… protect production and life.

- Question 3e: Write all revenue from other forestlands include special forest (forestland used for science); cultivated forest which localized to regeneration (natural forest), land of under 0.5 ha with dispersity trees as trees in the traffic way, canal, trees surround the garden…

Question 4: Write the amount of money received from sell/exchange listed products/activities, excluding using in domestic household and give outside as presents.

Add up question 3 of all revenues which have code from 1 to 14 and write in column 4B4T;

4B4.2. COSTS OF FORESTRY

Interviewer group the expenses by 3 groups

1. Costs for forestry activities (activities create forestry products)
2. Costs for forestry service (such as forest protection, evaluate & estimate tree reserves, tree output of fire prevention and forestry management including forestry cultivation and regeneration).

Interviewers calculate only costs involved in activities which have revenues in the last 12 months (mentioned in part 4B4.1). Exclude any cost for uncompleted products or cost for non forestry production, services.

- To calculate household income accurately, all costs spent for completed products which harvested in the last 12 months need to be colleted in fill in the questionnaires, it include: all purchased/exchanged/ received/ self supplied. Purchased materials used in production will be calculated by actual purchased prices; self sufficient/received parts is calculated by average annual price in the nearest local market.

- In case the cost of production related to several years, the cost should be allocated for current year. If that cost is related to many sector, then allocate the cost for each sector by corresponding proportions.

The cost should be filled by each item (if arise) as following:

1. Seeds and seedlings: Interviewers note the value of seeds and seedlings the households have actually bought for production in the last 12 months. Seedlings consist of seeds, tree seedlings, used in forestation of household… mentioned in 4B4.1.

Exclude any self sufficient/received seedlings (not purchased) which are not mentioned in the revenue section, exclude seedlings produced for sale (include seedlings, seeds remain after use).

2. Fertilizers: including organic and chemical fertilizers. Interviewers write the total value of fertilizers the households used for production of completed products in the last 12 months. Chemical fertilizers as phosphate fertilizer, NPK, potassium fertilizer, etc.. Interviewer ask for each type of chemical fertilizers which household used for each type of tree to calculate the value. The price of chemical is the actual price the households buy on the market.

3 Small tools and cheap but easily worn and torn tools: Interviewers write down the amount of money spent in the last 12 months on buying small and cheap but easily worn and torn tools such as spade, rake, reaping hook, hanger, bamboo lattice basket, etc.

4. Energy and fuels(electricity, petrol, oil, fuel): Interviewers write down the total amount of money households have spent in the last 12 months for fuel used for forestry production activities.

5. *Maintenance and repairing:* Interviewers write the amount of money households have spent on regular maintenance and repairing of fixed assets (machineries and premises, etc.) and hand tools used in agricultural production

6. *Depreciation of fixed assets:* Depreciation of all fixed assets used in production process must be calculated. Fixed assets consist of machineries, tools, buffaloes, perennial trees yielding products, etc. calculation of fixed asset depreciation is based on actual purchase price. The method of calculation is as follows:

Basing on the purchase price of fixed assets and use time to calculate depreciation:

$$\text{Depreciation in one year} = \frac{\text{Purchase price of fixed asset}}{\text{Use time (years)}}$$

The use time of fixed assets is based on Decision No.166-1999/QD-BTC dated 30 December 1999 of the Ministry of Finance on Management, use and depreciation of fixed assets.

7. *Renting land and bidding for land use right*: Interviewers write the actual amount households have paid in the last 12 months for land rent or bidding for land use right for agricultural production. If land use right is rented or bid for as long as several years, the amount to be included in production costs in the last 12 months is calculated by dividing the total amount paid by the number of years using the land; the rest amount (after deducting for the amount included in production costs in the last 12 months) is recorded in part 5B4, line 508 “other expenses not included in households’ expenditure”.

8. *Hiring property, machineries and labour to transport goods:* Interviewers write the actual amount households have paid in the last 12 months for hiring property, transportation vehicles and machineries for agricultural production. If such property and facilities are hired for as long as several years, the amount to be included in production costs in the last 12 months is calculated by dividing the total amount paid by the number of years using such machineries and facilities; the rest amount (after deducting for the amount included in production costs in the last 12 months) is recorded in part 5B4, line 508 “other expenses not included in households’ expenditure”.

9. *Hiring ploughing cattle:* Interviewers write the actual amount households have paid in the last 12 months for hiring cattle to plough and transport materials and products for production of theses activities.

10. *Paying outside labour:* Interviewers write the actual amount (including those in kind converted into money term) households have paid to labourers outside the households for doing such work as sowing, tending, reaping, and marketing products.

11. Paying interest on loan borrowed for forestry activities & services: Interviewers write the actual amount households have paid in the last 12 months on loan borrowed for forestry activities and services in 3 group of activities.

12. *Business tax: :* Interviewers write the actual amount households have paid for business tax in the last 12 months.

13. Other expenses: Interviewers write the amount of money households have spent on items other than items mentioned above. Examples are transportation fees, post and telecommunication fee, advertising fee, training fee, marketing fee technical training fee…

After finish this section, interviewer calculate all cost and income for this section as following:

+ Add up all items from 1 to 13 by row and fill in column 14

+ Add up all items in column 14 of both 2 activity groups in forestry and fill in cell 4B4C.

+ Take the number of cell 4B4T minus cell 4B4C and have the result in cell 4B4TN, this is the household income on forestry activities.

4B5. FISHERIES

Fisheries activities include growing and harvesting (nurturing seeds, growing and harvesting) and revenues from provision of fisheries-related services such as protecting the growing ponds and lakes and preliminary processing activities (salting, refrigerating, drying the products), classifying, or cleaning the products…

Respondent

This objective relates to the respondents code 1 in 1b in 4A1. The interviewer need to interview each of them or the person who knows the most information.

Scope of revenues and costs calculation:

Only completed products collected over the last 12 months are calculated; exclude all uncompleted products. The value of each product type is calculated according to the market price, the rest is calculated based on the average annual price in the nearest local market.

Similarly, costs are all the money spent to get the products collected over the last 12 months. All purchased costs are calculated according to the market price, and the in-kind investment is calculated according to the average price in the nearest local market.

Content and recording method

Question 1a: If the respondent says yes, then code 1 and skip to question 2; if no, code is 2

Question 1b: If the respondent says yes, then code 1 and skip to part 4B5.2; if no, code is 2 and skip to part 4C.

The interviewer asks about all completed products for questions from 2 to 6 before asking about costs for questions 7 to 19.

4B5.1. REVENUE FROM FISHERIES

Question 2: The interviewer asks the respondent about all kinds of products collected over the last 12 months before moving to question 3. If the answer is yes, then the interviewer marks x on the corresponding line.

Questions 3a, 3b: Record the quantity and the value of the product sold, exchanged, or given to friends or relatives, or the products given as payment for hired labor over the last 12 months. The sold products are calculated according to the actual market price. The products exchanged are calculated according to the equivalent value of the exchanged good. The products given as payment for hired labor is calculated according to the annual average price of the nearest local market.

<u>Questions 4a, 4b:</u> Record the quantity and value of products that the household produces for their own domestic consumption or on holidays. The value of fisheries products retained for self consumption is calculated according to the annual average price in the nearest local market.

<u>Questions 5a, 5b:</u> Record the quantity and value of products that the household uses for other purposes, such as for preliminary processing, or as materials for production. This is calculated according to the annual average price in the nearest local market.

<u>Questions 6A, 6B</u>: Interviewer calculates and record the quantity and value of the products collected over the last 12 months. Questions 6 is the total of questions 3,4 and 5.

4B5T: The interviewer add up the results in 6B and write the total in this box. This is the total revenue from fisheries products.

4B5.2. COSTS OF FISHERIES PRODUCTS

It should be noticed the calculation of costs when there is some unexpected risks and loss is similar to 4B1.6. "Costs of plantation."

<u>Question 7:</u> Record the value of fisheries seeds (fish, shrimps, crabs…) used in production during the last 12 months. The cost of buying seeds is the actual price of the seeds. The seeds that the household has themselves or receives from some relatives or friends is calculated according to the average annual price in the nearest local market.

<u>Question 8:</u> Record the total costs of processed or raw feeds or other types of feeds actually used in the last 12 months (including the feeds that the household has themselves). The feeds that household has is calculated according to the annual price. If the household has to buy the feeds, the costs is the actual buying price. The value of feeds collected is not calculated.

<u>Question 9:</u> Record the costs of buying small, indurable tools used for fisheries growing and harvesting. The small indurable tools bought over the last 12 months (water buckets, baskets…) used up over the last 12 months do not have depreciation costs. Some tools that are not considered fixed assets can be depreciated over the period of 2 or 3 years depending on the durability of the tools. Some small tools that the household make themselves are not recorded as costs.

<u>Question 10</u>: Record the costs of buying gasoline, oil, grease, electricity, coal, firewood, salt, ice water… used for fisheries production (to pump water, to stir the water in the ponds, dry the product, process the feeds…). The energy that is not bought is not considered as costs, for example the firewood that the household collects. The energy and fuel used for daily life and for non-agricultural production is not calculated.

<u>Question 11:</u> Record the money spent for small repair, regular maintenance of fixed assets (machines, ponds, warehouses… for production).

<u>Question 12:</u> The calculation method is explained in number 6 of Forestry Costs. The interviewer can apply these methods for the fixed assets of fisheries production.

<u>Question 13:</u> Record the actual amount spent in the last 12 months to rent or bid for the water surface for fisheries production. If the household rents for many years, this money is divided by the number of years used to arrive at the costs of renting for the last 12 months. The rest after depreciation is recorded in 5B4, line 508: other costs.

<u>Question 14:</u> Record the money actually spent over the last 12 months to rent machines and tools for production. If the rent is for many years, this money is divided by the number of years to arrive at the amount for the last 12 months; the remaining amount after depreciation is recorded in 5B4, line 508: other costs.

Question 15: Record the money spent to hire outside labor to do such work as caring, protecting, cleaning the production area.

Question 16: Record the interests paid for any loan to invest in fisheries production.

Question 17: Record the tax amount paid for growing and harvesting fisheries products that the household has paid out in the last 12 months.

Question 18: Record the amount spent for other purposes, such as chemicals or medicines to prevent or cure fisheries diseases, transportation fees, post services, advertisement, training, production insurance…

Question 19: The interviewer adds up the total costs for fisheries production of the household (adding up score of questions 7 through 18) in each line of growing and harvesting fisheries products.

4B5C: The interviewer adds up the score in question 19 and record the result in this box. This is the total costs of growing and harvesting fisheries products.

4B5TN: The interviewer subtracts 4B5C from 4B5T and records the resulting revenue from growing and harvesting fisheries products in this box.

PART 4C. NON-AGRICULTURE PRODUCTION, BUSINESS AND SERVICE ACTIVITIES; PROCESSING AGRICULTRE PRODUCTS

Objective

To collect data on revenues and costs of non-agriculture activities, business, and non farm services and food, forestry & fishery processing activities, including activities which produced products for self consumption rather than for sale, exchange or provide services that create the income and consumption for household production and life.

Respondent

The interviewer interviews those people who have most information about each activity, who usually coordinate or manage these activities.

Concepts/definition/scope

Include those households which have or have not registered their business activities in non-agriculture production and business activities and processing agriculture products. For trading activities, revenues do not include the costs of buying the goods. If many households join in production activities, the revenues of the surveyed household is calculated based on the percentage of revenues that the concerned household receives.

Contents and recording method

Question 1: Ask about non-agriculture production and business activities and processing agriculture products of the household, including production for self consumption rather than for sale, exchange or provision of service. If some activities occurred in the last 12 months but at the current time do not occur, the information about these activities still need to be collected.

PART 4C1. REVENUES FROM NON-AGRICULTURE PRODUCTION AND BUSINESS ACTIVITIES; PROCESSING AGRICULTURE PRODUCTS

Question 2: The interviewer needs to clearly describe the activities, such as grinding rice or corn, making interior furniture, making rice noodles, hair dressing… He also needs to write the code of activity (see the list of industries and economic activities). Record at most 4 activities. If there are more than 4 activities, then the fifth, sixth… activities will be combined with the fourth activity.

Question 3: Collect the information on the manger/director or the person who has a thorough grasp of information about the activity. The code of that person is taken from the household roster (section 1, part A)

In case the activities is hold by several households then write the code of household member who has a thorough grasp of information about the activity.

If the manager/director of the activities has moved of left and no more belong to household member:

- Interviewer select 1 household member who is the best in household know about the activity to interviewed and write his/her code.
- If no one in household participated in the activity (stop running), interviewer can choose 1 household member, who can provide information on the activity to interview and write code 99.
- If interviewer can find the manager/director of the activity but s/he no longer is household member then write code 99.

Question 4: The number of months of activity in the last 12 months is the total number of months that had actual activity, even if the activity only occurs in one day.

Question 5: Record the average days of activity in one month of the months that have activity.

Questions 6 through 8: Ask about the ownership of activity. If the activity is owned by the interviewed household, then the interviewer writes code 1 for question 6 and writes code 100 for question 8 without asking the household. If the activity is owned by many households, the interviewer writes code 2 for question 6 and writes the number of households that own the activity including the interviewed household for question 7, and percentage of revenue that the household receives from the activity for question 8. The interviewer can base on the percentage of capital contribution to the activity of the household to arrive at the percentage of revenue they receive.

Question 9: Ask the location of the activity, base on the answer, interviewer choose maximum 3 locations (if the activity are implemented in many places) by order of priority which base on scale (material facilities, labors..), nature of the work need to be implemented in one place. A permanent place is the place that activity occurred in at least 6 months in the last 12 month. If a new activity started not more than 6 month then interviewer need to clarify with respondent about the future, nature, license and nature of business place of that activity.

Question 10: Regular labor is the person who participate in the activity at least 6 months and over in the last 12 months, including household members, members of other households which have joint ownership (if activity is owned by several households) and outsourced labors. If activity is new and be implemented no longer than 6 months, labors who work for more than 50% of total time can be considered as regular labor.

Question 11: Write the number of labor who are household members.

Question 12: These are person who participate directly in the business, be managed, used and paid salary by the business by quality and quantity of the work they did.

Question 13: Write the number of paid labor who are household members.

Question 14: Ask the year that the activity to be established even after that time, the activity were expanded to other sectors. Write fully 4 digital numbers.

Question 15: Business license of the activity need to be issued by authorities. With activity have business license, it should be clarified between enterprise or household business.

Question 16: Some households just produce for self consumption rather than for sale, exchange or provide service. For example, they may make wine just for household consumption, or produce biogas from animal excrement for household use as fuel…

Question 17: Record monthly average revenues in the months that have activity. That is the monthly average amount from selling the products or providing service. The content of revenue of each activity is as follows:

Revenues from industry activity and home craft is the total revenues from selling finished or semi-finished products, from processing products for customers, from industrial work such as respiring or installing machines, adding value to the products.

Revenues from construction activities is the total value of construction work completed during the last 12 months that the A party has to pay the B party (the owner of the construction work). It is important to note the following cases when calculating revenues for households that specialize in construction:

- Calculate the complete construction work including materials and labor. If only the materials are bid for, it is considered a trading activity. If the labor is bid for, the total value of labor should be included in revenue. The costs are the cost of labor hired from outside.
- If the construction work has not been completed, just the completed part is considered in the calculation.
- If the construction work is being undertaken, the interviewer inte4rviews the household owner and other household members working on the site to record the number of months that has been spent on construction to calculate the revenues and costs in the activity months.

Note: only construction activities that use hired labor is calculated. If the construction work is done by the household for the household itself, then it is not included in the calculation.

Revenues from trading activities include revenues from sales of goods, revenues from repair service of motor vehicles, automobiles, motor bikes, personal and household tools for customers in the last 12 months.

To make the calculation simple, the revenues from trading activities does not include the buying costs of the goods sold, but only the gross profit (profit before deducting transportation costs). That means revenues from trading activities in this questionnaire is the gross profit of goods sold, plus the revenues from repair service for motor vehicles, motorbikes, personal and household tools.

Revenues from transportation activities are the money received in the last 12 months of the household from the transportation freights for passengers and goods, other transportation fees, and money received from loading and unloading goods from the transportation vehicles.

Revenues from non-agriculture activities are the amount received in the last 12 months, including services such as hotel, restaurant, finance and credit, education and training, services for individuals and communities. (see the list of economic activities).

Question 18: The interviewer calculates revenues for each type of activity in the last 12 months according to guidelines.

Questions 19 and 20: Ask the household about the products produced by the household to exchange for other goods and services instead of buying them with cash. Also ask if the household receives any goods or services as payment for their goods or services. Note that the goods for trading activities are not included in this calculation. The value of goods exchanged is the amount of money that the household spends to buy goods in the transactions for life and production. Question 20 calculates the value of the goods exchanged according to the annual average price in the survey area.

Question 21 and 22: Ask the household about the products produced by the household but retained for self consumption in the last 12 months, including goods that are used by the household as materials for other household activities. Note that the goods for trading activities retained for self consumption is not included in this calculation, but will be treated as the goods that the household has to buy for use or consumption in the expenditure for life and production. Question 22 calculates the value of goods retained for self consumption according to the annual price in the survey area.

Question 23 and 24: Ask the household about the sub-products received in the business activities used or sold by the household in the last 12 months. Question 24 calculates the value of sub-products retained according to the annual price in the survey area. The value of sub-products sold is calculated according to the actual selling price.

Question 25: The interviewer calculates the total revenues of each activity according to guidelines.

Question 25A: The interviewer calculates the total revenues of the household of each activity according to guidelines.

4CTT: Total revenues from all activities in the last 12 months. The interviewer adds up numbers in question 25 and writes the result in this box.

4CT: The total revenues from all activities in the last 12 months allocated to the household. The interviewer adds up question 25A and writes the result in this box.

PART 4C2. COSTS OF NON-AGRICULTURE ACTIVITIES; AGRICULTURE PROCESSING ACTIVITIES

Note: The materials used in production are calculated according to the actual buying price. If the materials is readily available in the household or exchanged with another household, the value is calculated according to the annual average price in the last 12 months.

The costs are recorded in corresponding order of the activity recorded in the revenue part.

Question 26: Ask and mark the cost items for each activity:

- Main materials, sub materials, food ingredients: food ingredients are the materials used for making foods or beverages… For trading activities, the cost of buying the goods for sale is not included in this calculation.
- Small, indurable tools: For small tools that are not considered fixed assets but can be used for some years, the value should be allocated by the number of years.
- Electricity, water, gasoline, grease, fuels…: the part that is used for daily life and for agriculture production is not included in this calculation.
- Small repair, maintenance: include small repair, regular maintenance of fixed assets which are machines or warehouses for production; simple, hand-made tools.
- Depreciation of fixed assets: Fixed assets of the household used in the production

process need to have depreciation. Fixed assets include warehouse, machines, equipment, tools… The calculation of fixed assets depreciation needs to base on the actual buying price of the asset. If the household builds a house for accommodation, but then use part of the house for production and business activities, then the original price of the fixed asset is the additional amount invested for construction, repair and improve the living area into the business area. The calculation method for fixed assets depreciation is:

Annual depreciation = original price of the asset/number of years of use

Costs of renting land, warehouse, shops, machines and other production facilities: If the rent is for many years, then the rent is allocated by the number of years of use.

Transportation: Include the rent of transportation vehicles to transport materials or products of the activity for sale and road or ferry tolls for the transportation.

Cost of labor: include all costs paid for hired labor (regular or temporary labor) such as wages, salary and other allowances, including the value of meals that the household provides for these labor (if applicable). This item also includes costs to buy social insurance, health insurance, labor union money that has to be paid to the insurance company and labor union organization according to regulations.

Interests on loans: If the interests are paid for loans for many years, the interest is allocated by the number of years of the loan.

Tax, fees and other payments regarded as tax: include VAT, special sales tax, export tax, import duties, enterprise income tax, land tax, royalties, excise tax, licensing fees…

Costs of waste water and permanent waste treatment: These are payments to protect the environment, including costs of building or investing in waste water and permanent waste treatment systems, fees paid for waste water and permanent waste treatment services. If the payment is for many years, it will be allocated for the number of years of use. If the waste water and permanent waste treatment systems become fixed assets, the allocated amount is recorded in this item, not in depreciation.

Other costs: record actual spending other than the payments listed above, such as spending for postal services, transportation, advertising, marketing, buying samples, hiring designers or investigators, insurance of production, commissions, brokerage services…

<u>Question 27:</u> Ask what the average cost for one activity month in each item of each activity.

<u>Question 28:</u> The interviewer calculates costs for each item of the activities during the last 12 months according to guidelines.

Total costs (item 15): The interviewer calculates costs of each activity according to guidelines.

Total costs allocated to the household (item 16): The interviewer calculates costs of each activity according to guidelines.

4CCT: Total costs of all activities during the last 12 months. The interviewers adds up item 15 of all activities and writes the result in this box.

4CC: Total costs of all activities in the last 12 months which is allocated to the household. The interviewer adds up item 16 of all activities and writes the result in this box.

4CTNT: Revenue from all activities during the last 12 months that the household receives.

The interviewer calculates according to guidelines.

4D. OTHER EARNINGS

Objective

Collect data about other earnings which are not generated by direct labor which increase income, and other earnings that do not increase income of the household in the last 12 months so as to arrive at an accurate estimate of the household's income.

Respondent:

It is best to ask the household head. If he/she is not available, then ask the person who has most information.

Concepts/definition/scope

It is necessary to distinguish other earnings that are included in income and those that are not treated as income. Other earnings that are included in income are those money that increase the budget of the household. On the contrary, other earnings that are not treated as income are those that do not increase the household's budget. These are already in the household's budget, but may be changed from one form to another.

Contents and method of recording

4D1. OTHER EARNINGS INCLUDED IN INCOME

Question 1: The interviewer asks the household about all the earnings that have been listed before asking question 2. If the household has any earning, then mark it on the corresponding line.

Question 2: Record the amount of money that the household members receive during the last 12 months for each item. If the earning is made in kind, then the value of the good is calculated according to the annual average price in the nearest local market. Specifically:

Item 101: Value of good, remittance from overseas over the last 12 months.

Item 102: Value of goods, cash that are given to the household by friends or relatives as regular present or assistance or as unusual assistance when the household has some work that requires substantial funds such as building a new house, wedding, funeral… These earnings also include the value of goods received such as food, consumer goods and different kinds of assets such as houses, machines and equipment, transportation vehicles, fertilizers…

Item 103, 104, 105: Record the money received from pensions, allowance for week people, lump sum allowance when a person retires, quit a job.

Item 106: Record the money and value of good received from the government or other organizations such as allowance for injuries, allowance for family members of martyrs, allowance for families which contributed to the War…If the allowance is received every month or quarter, it will be multiplied to arrive at an equivalent amount for the last 12 months.

Item 107: Record the money and value of goods and of services/labors provided/paid by the government for loss or damaged of the household on business, houses, assets, durable goods, life. caused by natural disasters as storm, flood, earthquake, fire….

Item 108: Record the money and value of goods and of services provided paid by insurance funds as compensations for human or assets loss or damaged of the household who buy insurance. Social insurance paid instead of salary, or life insurance paid at maturity, or health insurance already been calculated in the health item, are not included in this item.

Item 109: Record the amount of interest received from bank deposits, dividends, interest from bonds or from other forms of loans or money investment.

Item 110: Record the money received from renting assets such as warehouses, machines and equipment, facilities and land, which is not included in the production or service provision activities of the household.

Item 111: Include money received from charity and humanity organizations, associations or businesses.

Item 112: Include other earnings which increase income not listed in other items, such as winning the lottery or other games, or earnings from under-the-carpet economic activities (if any). It is important to note that if there is a significant difference between income and expenditures, it is necessary to check each item to find out the reason for the imbalance. It is not allowed to adjust or amend the numbers/amounts in this section.

4D1TN. The interviewer adds up question 2 (items 101 through 112) and writes the result in this box. This is the total of other revenues calculated as income.

4D2. OTHER EARNINGS NOT INCLUDED IN INCOME

Question 1: The interviewer asks the household about all of their earnings that have been listed before moving to question 2. If the household has any of these earnings, mark it x on the corresponding line.

Question 2: The interviewer asks and writes all other earnings not included in income that have been listed in question 1 for each item.

Items 201 through 205: Other earnings not included in income in the last 12 months include such earnings as money from selling machines and equipment, warehouses, houses, furniture, consumer facilities, money from land use rights transfer, money from selling copyright, selling gold, gemstones, jewellery, money withdrawn from bank savings, debt payment, dividends, tontine, interest from loans to credit unions, bonds, advances, or liquidating fixed assets.

Item 203…:money withdraw from tontine in the last 12 months: with household have household members participated in a tontine, interviewer ask the total income (in kind and cash) of all household members received from tontine withdrawal in the last 12 months. With received amount, it need to be clarified the amount that member already put in the tontine, the interests (if arise) from the tontine. Total money/kind withdraw from the tontine (exclude interests) in the last 12 months will be written in code 203 part D2 “other earning not include in income”. In case household members continue to put that money into tontine in the last 12 months, it should be written in code 502 part 5B4 :other expenses not include in expenditure”

Interests from tontine participation will be considered as income and write in code 109 part 4D1 “other earning include in income”

4D2T: The interviewer adds up question 2 (items 201 through 205) and writes the result in this box. This is the total earnings not included in income.

APPENDIX

DURATION OF FIXED ASSETS AS A BASIS FOR DEPRECIATION CALCULATION

(Issued under Decision 166/QD of 30/12/1999 of the Ministry of Finance)

STT	Groups of assets	Minimum duration (year)	Maximum duration (year)
A	**Houses, building and architecture work**		
1	Concrete houses	25	50
2	Other houses	6	25
3	Warehouses, tanks, drying ground	5	20
4	Dams, canals	6	30
5	Other architecture work	5	10
B	**Motor engine machines and equipment**		
1	Electricity generator	7	13
2	Voltage transformer and other electricity supply machines	7	12
3	Others	6	15
C	**Operational machines and equipment**		
1	Tooling machines	7	10
2	Tractors	6	8
3	Machines used in agriculture and forestry	6	8
4	Water and gasoline pumpers	6	8
5	Professional machines and equipment used to produce construction materials, ceramics and glass	6	8
6	Machines and equipment used in leather, printing, stationary, books and magazines	7	10
7	Machines and equipment used in textile industry	10	15
8	Machines and equipment used in garment industry	5	10
9	Machines and equipment used in paper industry	5	15
10	Machines and equipment used in food processing	7	12
11	Electronics and IT machines and equipment	3	15
12	Others	5	12
D	**Transportation machines and vehicles**		
1	Other transportation vehicles and machines	6	10
E	**Management tools and devices**		
1	Measuring machines and equipment	5	8
2	Electronic equipment and IT software used in management	3	8
3	Others	5	10
G	**Animals, perennial trees**		
1	Animals	4	15
2	Industrial trees, fruit orchards, perennial trees	6	40
H	Other fixed assets not mentioned in the above subgroups	4	25

Notes: concrete houses are houses, office buildings, hotels… considered to have durability level 1 and 2. Other houses are those that have durability level 3 and 4 according to regulations and definition of the Ministry of Construction.

SECTION 5. EXPENDITURE

Objective

To collect data about expenditures on consumers goods, food, and other expenditure of the household. Expenditure on consumers goods includes goods that are bought or exchanged, or not bought (self-produced, given as presents, collect from forests, or fishing…). These consumer expenditure should be calculated for the last 12 months from the survey date backwards.

Requirement: Collected information can not be duplicated, omitted put in wrong items

Expenditure data provide parameters for indirect checking the completion of data collected in the income section.

The collected information will be used in the calculation of expenditures, expenditure structure, the quantity and value of some goods, groups of goods, and total expenditure of the household. (The quantity, value of some goods or goods groups is used as a basis for the study and analysis of household living standard, and also a basis for the calculation of final personal consumption expenditure in the national budget statistics or in international comparison…)

Scope of data collection: all the enumeration areas (EA) of VHLSS 2008 in all provinces, each EA collect expenditure information in 3 selected households which interview all sections in VHLSS questionnaires (No 1B-PVH/KSMS08: income and expenditure).

Respondent:

The respondent is the person who knows most information about the household consumption expenditure, usually women because they buy food and foodstuff in the household (and also participate in the purchase of consumer goods and services, and other expenditure in the household). If this person is not available in the interview, the interviewer needs to arrange some other time to come back and talk with the above respondent. Experience shows that if another person answers the interview instead of the women respondent, it will result in inaccurate information, is a waste of time, and negatively impact the result of the survey.

Contents and method

The value of goods exchanged is calculated according to the average price of the local market at the time of exchange. If the respondent does not remember the time of exchange, then the annual average price is applied. The value of consumer goods that are self produced is calculated according to the use price (the annual average price at the local market).

The interviewer needs to use practical knowledge to identify which goods the household is using to much or too little to ask for explanation. If there is anything unusual but true, then some brief notes should be written on the back of the first page. In addition, it is necessary to compare to the revenues items from production or from donations… to verify the connection with the self-consumption goods.

Survey team can use price tables for common products/goods prepared ready for interviewers having better reference in case households have goods/products as presents/gifts or exchanged/self sufficient goods. Interviewer should not apply prepared prices to calculate value of products/goods received as gifts/presents or exchanging goods or self sufficient products.

5A. CONSUMER SPENDING ON FOODS

This section is concerned with food and foodstuff for meals and smoking by household members. Foods and foodstuff bought for processing, production for sales and trade is not included. The time for data collection is for the last 12 months.

Food and value of food and foodstuff spent on wedding, funerals or other important holidays are not included in this section but in section 5B3.

Section 5A has two small sections 5A1 and 5A2.

- 5A1: Ask the household about their expenditure on food and foodstuffs on important holidays such as Tet, Christmas, special holidays of the ethnic minorities, national holiday, January full moon day, July full moon day, August full moon day…
- 5A2: Ask about regular expenditure and consumption of food and foodstuff of the family members other than the above important holidays. The unusually large spending on funerals, weddings, or death memorials are not included in this section but in other annual spending (5B3. "Other spending regarded as expenditures).

5A1. CONSUMPTION EXPENDITURE ON HOLIDAYS

This part have 5 questions, of which 3 questions must be asked and fill information, questions 4 and 5 are calculated by interviewer base on the results of previous questions and 1 cell for total value of question 4 and 5.

Question 1: Ask this question for all kinds of food and foodstuffs before asking question 2 and 3. Mark x on the kind of food or foodstuff that the household consumes, and leave a blank for those items not consumed. On questions 2 and 3, only ask about those items that have mark x in question 1. For those items for which the answer is "no", the interviewer should not move on immediately, but needs to probe the respondent and asks whether they buy the item or produce them for self-consumption, or receive them from friends or relatives as presents. The interviewer may also want to ask other household members to facilitate recall by the respondent.

Question 2: Ask about the total quantity and value (including those items consumed during holidays) of food and foodstuffs bought or exchanged on those occasions.

Question 3: Ask about the total quantity (including those items consumed on important holidays) and the value of foods and foodstuff consumed on holidays that are not bought by the household.

In case of goods exchange, we can consider is as a dual transaction: simultaneous purchase and sale with equal value. The value is calculated according to the average price of the goods received at the time of exchange. This value is also included in the sale of goods or assets in other earnings. Example: the household exchanges rice for meat for their Tet holiday. The value of the goods is the price of meat at the time of exchange and should be recorded in question 2 of this section (quantity and value), and should also be recorded in the item for rice exchange in the agriculture production section.

Foods and foodstuffs consumed on holidays may vary depending on tradition and customs of the place. So besides the listed food and foodstuff, the interviewer needs to ask more specifically to learn about all the special foods and write them in item "others".

Item 157: Other foods are those foods not listed above, such as processed foods other than meat, such as cheese, ready-made spring rolls, dry pig skin…), seasoning spices (pepper, chilly, herbs…), ingredients (mushrooms, vinegar…), special foods of the place…

Question 4: The interviewer adds up value of all lines from 101 through 157 of 2B.

Question 5: The interviewer adds up question 3B from item 101 through 157 to write the result.

Box 5A1CT: The interviewer adds up question 4 and 5 to write the result.

5A2. EXPENDITURE ON REGULAR FOOD ITEMS

This part have 12 questions, of which 9 questions need to be asked and fill information, question 6 should both be ask and calculated result from other questions, 2 questions 11 and 12 be calculated and filled by interviewer, 1 cell for adding total value of question 11 and 12.

Questions from 2 to 6 collect data on food expenditure bought or exchanged by the household.

Questions 7 to 10 collect data on food that are not bought or exchanged.

Question 1: Ask this question for all kinds of food and foodstuffs before moving on to question 2-10. Mark x for all those items that are consumed, and leave a blank for those items not consumed. Ask questions 2 to 10 for those items with mark x only.

Question 2: Write the number of calendar months where the household buys or exchanges foods or foodstuffs (in lines with mark x in question 1).

Question 3: Write the monthly average number of purchase in those months that have purchase or exchange. If the group has many different kinds of goods, each time one kind of good is bought, it is considered one purchase. Example: "Fresh shrimps and fish": if in one month there are two purchases of shrimps and 4 purchases of fish, and one time of shrimp and fish purchase, then the total number of purchase in that month for that group is 7 times.

Question 4: Write the average quantity of each purchase. If the quantity is not the same, it is necessary to ask more specific questions and use available information to estimate the quantity bought.

Question 5: Write the average value of each purchase.

Question 6: The interviewer calculates and writes the value of purchase in the 12 months by multiplying the number of months that have purchases (question 2) by the average number of purchase in one month (question 3), then by the average value of each purchase (question 5).

Question 7: Ask to see whether in the last 12 months, the household consumes any foods or foodstuffs that they do not buy (but they produce themselves or received from friends or relatives…)

Question 8: Write the number of calendar months where the household consumes food items that are not bought corresponding to the line which give information about each item or group.

Question 9: Write the total quantity of self sufficient food that the household did not have to buy out side.

Question 10: Write the total value of self sufficient food that the household did not have to buy out side.

Note:

- Item 110 and 117: If the household buys meat, then takes away the fat part to fry for fat, then the whole thing is recorded in item 110. Item 117 only records the purchase of fat alone to fry, or ready-fried fat, or vegetable cooking oil.
- Item 156: Meals outside the family: only those meals that the household has to pay, or meals at the working place that have been recorded as other earnings (section 4A) different from wages and salary in section 5A. meals for students of household inside country but not living with household, meals for household members who were sick and be treat in hospital and other household members who accompany this person.

  Free parties are not included, even if the household needs to send a present.
- Item 157: Other foods are those items consumed in regular meals that are not mentioned above, such as processed food and foodstuffs, spices, ingredients, or special foods and foodstuff in the local place.

Question 11: The interviewer adds up the results in question 6 from items 101 through 157.

Question 12: The interviewer adds up question 10 from items 101 through 157 to write the result.

Box 5A2CT: The interviewer adds up the results of the boxes in question 11 and 12 to write the result.

SECTION 5B. CONSUMPTION EXPENDITURE OF NON-FOOD ITEMS, AND OTHER EXPENDITURES

Some expenditures that have been recorded in other sections are not recorded in this section, including:

- Education expenditure (section 2)
- Health expenditure (section 3)
- Production expenditure for agriculture, forestry and fishery activities and non-agriculture activities in section 4.
- Fixed assets expenditure and durable goods expenditure in section 6.
- Expenditure on house renting, house purchase, and other expenditure on housing in section 7.

5B1. DAILY CONSUMPTION EXPENDITURE

This section asks about the regular spending items during the last 12 months.

Item 201: Pocket money for children is the small amount given to the children for their additional spending other than buying treats, money for breakfast or value of breakfast in section 5A2. Example: pocket money given to children when they go to school or on picnic.

Item 202: charcoal, rice husk, sawdust.. are fuels (purchased/exchanged/exploited/collected) and used for life which are from agricultural, forestry, procession industrial activities.. (apart from expense on gas, gasoline, diesel… in item 203, 204, 205)

Item 299 (splited from item 202) are secondary products of agriculture as straw, tree- trunk, leaf, root, peel…used as living fuels.

Item 215: Books, newspapers, magazines other than text books used in education and training in section 2.

Item 216: Flowers for decoration, not the flowers for worshipping the ancestors in item 219.

Item 219: Regular worshipping are expenditure for regular worshipping every month on the 1st and 15th of the month, or going to pagodas or churches. The fruits for worshipping which are later consumed by the household is recorded in regular expenditure on fruits in section 5A2.

Item 221: Other regular expenditure include goods that are not mentioned above such as toothpicks, cotton buds, tissues and napkins…

Question 1: Ask about all goods and groups before moving on to questions 2-5. Mark x for those items that have expenditure, and leave a blank for those which do not. Ask questions 2-5 for those items with mark x only.

Question 2: Write the number of calendar months where the household buys or exchanges goods.

Question 3: Write the monthly average value of purchase or exchange in months that have purchase or exchange.

Question 4: The interviewer calculates to write the value of purchase in the last 12 months by multiplying the number of months that have purchase (question 2) by the monthly average value of purchase (question 3).

Question 5: Write the total value of goods produced by the household for their self consumption in the last 12 months for each kind or group of goods.

Question 6: The interviewer adds up question 4 from item 201 through 221 to write the result.

Question 7: The interviewer adds up question 5 from item 201 to 221 to write the result.

(cell in question 6, 7 result will not be added up the total of item 299 as this item is the detail of item 202)

Box 5B1CT: The interviewer adds up the data in the boxes of questions 6 and 7 to write the result.

5B2. ANNUAL CONSUMPTION EXPENDITURE

This section have 32 items/group items/spends with 5 questions, of which 3 questions need to be asked and filled information, question 4 and 5 will be calculated and filled information by interviewer base on results of previous questions and 1 total value cell of question 4 and 5.

Part 5B2 asks about the expenditures on goods or groups of goods for less regular consumption during the last 12 months.

Note:

Item 306: include neck tie, hair tie, belt, gloves, apron, knitting-needle, cotton thread, laces…

Item 309: include motor helmet…

Item 321: exclude following item: travel to schools mentioned already in section 2, travel to hospitals mentioned in section 4, fee for picnic/ sightseeing will be filled in item 329, 329.

Item 325: include all cost for using and amending telephone (fixed, cell phone, card phone…)

Item 399: splitted from item 325, is fee for using telephone (monthly fee for fixed phone, card buying, changing SIM of mob phone…): all cost on purchasing/exchanging/ receiving and cost for amending telephone…

Question 1: Ask this question for all items before moving on to questions 2 and 3. Mark x for items that have consumption expenditure, and leave a blank for those which do not. Ask questions 2 and 3 for the marked items only.

Question 2: Write total value of purchase or exchange in the last 12 months.

Question 3: Write total value of self sufficient products/goods in the last 12 months

Question 4: The interviewer adds up question 4 from item 301 through item 333 to write the result.

Question 5: The interviewer add up question 3 from item 301 to 333 to write the result.

Box 5B2CT: The interviewer adds up the data in the boxes of questions 4 and 5 to write the result.

5B3. OTHER SPENDINGS INCLUDED IN EXPENDITURES

This section asks about expenditures with social relation nature (formalities) which does not directly serve the material life of the household members. The timeframe for data collection is the last 12 months.

More explanations for some items may need to be suggested in interviewing:

Item 400: fees for administrative services, legal procedures include marital register fee, birth register (new one and photocopy), death register, notarial fee, personal advertisement fee and other administrative, legal fees for living.

Item 401: the contributions other than contributions for production purposes (those are compulsory rather than voluntary).

Item 405: funerals and other worshipping events of the household are the expenditures for funerals, worshipping ancestors and other big events where the household has to invite many guests to come who are not household members. The total expenditure includes both purchase/exchange and self production or presents received. Expenditures for these events include spending on foods, foodstuffs, non-food products, services … which are not included in the expenditure above.

Item 406: Organize parties are the expenditures by the household for organizing big receptions on special occasions such as new house completion, birthday parties for the elderly family member, promotion… where the guests are not household members. The total expenditure include both purchase/exchange and presents received or self-produced goods. The expenditure are spending on food and non-food items that are not included in the expenditures above.

Item 407: Gifts, donations, assistance are the expenditures to buy presents or to provide assistance, which are of voluntary nature rather than compulsory. This item also includes contributions to help poor people or to provide assistance to disaster relief.

Item 499: splitted from item 407, are cost for a person who were household member but left fro study, treatment abroad.

Item 408: Includes expenditures by the household (except production fees) not mentioned above, such as: accident insurance for those children who do not go to school during the last 12 months, spending to compensate loss for others…

Question 1: Ask this question for all items before moving on to question 2. Mark x for those items that have expenditure, and leave a blank for those that do not. Ask question 2 for the marked items only.

Question 2: Write the total value of expenditure during the last 12 months for each item.

Box 5B3CT: The interviewer adds up question 2 from item 400 to 408 to write the result. (item 499 is the detail of item 407).

5B4. OTHER SPENDINGS NOT REGARDED AS EXPENDITURES

This section asks about “temporary expenditures” or payments for a different purpose which do not reduce the household’s budget. The time frame for data collection is the last 12 months.

Item 505, 506: is the insurances which as investment forms. The insurance buyers can get back their deposit money and interests after certain time periods.

Item 508: Other expenditures include spending that are not mentioned above or are not fully allocated in production and business activities but where the household has made a lump sum payment for many years such as house rents, leasing fees of machines and equipment for production, land for production and business; assets, furniture, goods … on reserve which are not yet used.

Question 1: Ask this question for all items before moving on to question 2. Mark x for those items that have expenditure, and leave a blank for those which do not. Ask question 2 for marked items only.

Question 2: Write the total value of expenditure for the last 12 months for each item of expenditure.

Box 5B4C: The interviewer adds up the items from 501 to 508 in question 2 to write the result.

SECTION 6. FIXED ASSETS AND DURABLE GOODS

Objective

To collect data about fixed assets and durable goods to calculate some indicators related to production activities, to provide more information for the calculation of expenditure by the household, and to provide data on quantity and value of fixed assets and durable goods to help in the assessment of production scale and to provide additional information for the assessment of household living standards.

Respondent: the household head or the person who has most information (about fixed assets for production, and purchase, furniture, facilities…) will answer the interview on behalf of the household.

Concepts and definitions

Fixed asset are machinery, tool and equipment owned and used by household which are used for production purpose, having use, retrieval and rotation time usually 1 year and over or 1 production cycle.

Durable goods are instruments which the using time are usually one year and over, used for household living. Durable goods have several types and divided by groups as wooden, glassware, porcelain, electricity… Each group are detailed by certain type as electricity group have television, freezer, washing machine, … wooden group have bed, wardrobe, table, chair…

According to the management regulation of managing, using and depreciation calculation issued in decision no 206/2003/QD-BTC dated 12/12/2003 of Construction Ministry, criteria of fixed assets will surely bring economic benefits in the future from using that asset and usually using time is from 1 year and over.

If household have equipment which is used as both fixed asset and durable goods, to distinguish that fixed asset and durable goods of household in VHLS 2008, it's necessary for interviewer to base on the using purpose of that equipment, if the equipment is used for production including for business or nonbusiness (for domestic using in household) will be considered as fixed asset. For example, a fan used for daily living of household will be considered as durable goods but used for business (in household restaurant) will be considered as fixed asset.

Contents and recording method:

Rules:

- If one facility is used for daily living and for production, if 50% or more of the time is used for production, then that facility is considered fixed asset.
- Those assets or goods that are listed in the questionnaire will be asked about even if they are of small value.
- Only those assets which have value of more than 500,000VND (at purchasing/receiving time) will be asked about. If fixed asset have been received major repair, the value of fixed asset after the most recent repair will be considered as the value of that fixed asset. If the fixed asset is out of depreciation period, have small repair in using time, that value of small repair will be considered in the production cost of the using year (correspondingly with the activity using asset). In case household do not remember the value of fixed asset at the purchasing time, interviewer need to estimate that value with the household, and should not omit this cell.
- If setting fee of asset and durable goods are big value, this fee should be added up in the remaining value of fixed asset and durable goods.

- Perennial orchard is considered as fixed asset when concentrated area is at least from 100 square meter. The value of land is not be calculated in perennial orchard, if household buy that orchard and can not split the value of land, interviewer should estimate that value together with household (according to local price).

Question 1: First ask to see what kind of assets or durable goods the household has at the time of survey. Some kind of fixed assets as perennial orchard, areas of fishery cultivation can only be calculated when the investment is completed, exclude any uncompleted one that have not been harvested. Durable goods are those that are being used, not those that are broken, rent from outside or borrow from other households

- Mark x for the fixed assets and durable goods that the household has and is using.

Note:

Fixed assets used for production and business for some months in the last 12 months, but at the time of interview has been given to someone else, or has been broken, lost, sold or exchanged, are not included in section 6A.

6A. FIXED ASSETS

Question 2: If there are many similar assets of similar value received/purchased at similar time, they will be recorded in one line. If the assets are similar but of different values or purchased/received at different times, they will be recorded on different lines. The interviewer writes the name of the fixed asset and write the code according to the table that lists “names of assets, durable goods.”

Question 3: Only write the number of fixed assets. When the assets are recorded on one line

Question 4: Write the time of purchase or receipt. If the assets are built by the household itself, the time is the point at which the asset is completed and put into use. The assets purchased, received, or built more than 12 months ago should be recorded with year (the month column is left blank). If they are purchased or received in the last 12 months, then both year and month should be recorded to calculate the expenditure in the year. The interviewer needs to make sure the household tells him/her the right year that the asset is bought or received (using the same method of recall for birth year). The months should be recorded with 2 digits, and year with four digits.

Question 5: Write the total value at time of purchase or receipt (even if the asset belongs to many households). If the asset is received, not purchased, then the value is determined according to the purchase price at the local place at the time of receipt. If the asset is built or made by the household itself, then its value is the total costs to complete the asset, including the costs of hiring outside labor.

Question 6: Write the value of asset based on its current situation (not as a brand-new asset) according to the local price at the time of survey. For those assets and goods that are old and of little use, if it is difficult to assess its value, the interviewer can base on the number of years of use and the book value of the asset to estimate its remaining value. The remaining value of assets for major installation (telephones, fax machines…) will include installation costs too.

Question 7: If the assets belong to the household only, the interviewer writes 100%. If the assets belong to many households, then only the proportion of the household concerned is recorded.

Question 8: Write the total amount that the household spent to repair the asset in the last 12 months of each asset listed by the household. Major repair are those work to repair, upgrade, or recover, overhaul the asset to enhance the performance and lengthen its life. However, it is necessary for interviewer to distinguish between fixed asset which fully owned by household then interviewer can calculate all major repair cost in the last 12 months. If it’s sharing assets between household and other households, interviewer considered the value that household have paid in the last 12 months by the proportion owned of household.

Major repair on fixed assets is repair, upgrade in order to restore, raising capacity and lengthening using time of that fixed asset.

Question 9: The interviewer adds up the value of fixed assets that the household purchase or received in the last 12 months (from May-2007 to the time of survey, for the survey in May, and from October 2007 for the survey in October). Fixed asset which is 100% owned by household, calculate the value of purchased/receipt in the last 12 months. With sharing ownership asset interviewer calculate only household share paid by household in the last 12 months.

6B. DURABLE GOODS

This part consists of questions 2 to 6. The form of questions and notes is similar to that in 6A but this part only mentions the household's durable goods which have been used in the family with 50% of frequency for the last 12 months.

The interviewer should pay attention to the following problem:

All assets coded number 1 to 15, 17, 18, 1922, 26, 27, 28 and 37 if present are fixed assets, not durable goods. Some other machines and equipment can be both fixed assets and durable assets, so the interviewer should ask carefully to identify whether they should be written in 6A "Fixed assets" or 6B "Durable goods".

Question 7: The interviewer adds up the total value of all durable goods bought/ received/ self-produced by the household for domestic use in the last 12 months (from May 2007 to interviewing time- for May interviewing time; from October 2007- for October interviewing time). With durable goods fully owned by household, write total purchasing/receipt value of assets in the last 12 months, With sharing ownership durable goods interviewer calculate only household share paid by household in the last 12 months.

SECTION 7. HOUSING

Purpose

Collect information about housing, some living conditions, expenses on houses, house rental, electricity and water bills and other expenditure on accommodation.

Respondent

This part consists of replies by the householder or the household representative.

Concept/ Definition/ Scope

Types of house include:

- *Permanent house:* is built by permanent materials. Permanent house include villa, multi storeys, concrete assembling house with multi storeys, one- floor house with concrete roof, using time is usually more than 20 years.

- *Villas:* separate house with courtyard, garden, and walls/ fences around. A villa is filled with bed rooms, living rooms, toilet, kitchen and store sufficiently. Equipment in villa is high quality.

- *Permanent, self-contained houses:* houses with the toilet and kitchen attached to rooms (or the house/ flat) for the family's sole use.

- *Permanent but not self-contained houses:* houses with the toilet and kitchen shared with other households or not attached to the house/ flat.

- *Semi-permanent houses:* houses with lower quality and lasts shorter than the permanent ones (about 20 years), with walls made of brick or wood, tiled roof, sheet iron roof (or similar types of materials).

- *Temporary and other types of houses:* Houses which don't belong to the above groups including the ones with simple materials such as tents, huts, camps and other temporary places to live in , for example under bridges or containers.

House major repair is the one with the purpose of improving, recovering, extending and lengthening the life time of the house. This type of repair often change the house supporting structure.

House minor repair is the trifling one for regular maintenance such as painting or repairing the unimportant things in the house.

Content and method of recording

Question 1: Record the number of the house of flat which is used as accommodation by members of the household, including rented or borrowed houses.

Question 2: Record the total are that members of the household use as accommodation, consisting of dining rooms, bedrooms, living rooms, study or leisure rooms, excluding the area of toilet and kitchen, warehouse and area for doing business. The total area also includes the shop windows attached to the wall but open to the inside, extension area with strong roof and wall and also 50% of garret for accommodation (excluding the garret for storing things).

Question 3: If the household is living in some houses, only questions about the main house are asked.

When collecting information about the type of house, the interviewer needs to observe directly and agree with the respondent to identify the type of house.

Question 4: Record the year in which the household began to live in the house. If the household has some houses, only the main one should be taken into consideration. If the house has been reconstructed, the last time of reconstruction is considered. If the household had been living in the house before 2000, move to question 6.

Question 5: If the surveyed household has been formed since 2001, for example a newly-married couple move to another house, the type of house that the previous householder had used is considered.

Question 6: Ask to see if the household completely or partly owns that house.

Question 7: Ask to see whether the household has had to pay house rental for the last 12 months or not.

Note: There is a case in which the household totally owns the house but has been renting another house, so this question still has to be asked. If the answer is "no", move to questions 12.

Question 8: Record the corresponding code for the person who have been receiving rentals from the household in the last 12 months.

Question 9: Record the amount of rental the household has been paying for the last 12 months.

Question 10: The interviewer records the number of renting months equivalent to the amount of rental paid by the household.

Question 11: The interviewer records the number of months in the last 12 months for which the household actually lived in the rented house/ flat.

Question 12: Record the total value of all the area the household is using for accommodation (including their own and rented house/ flat). This can be only one part of the house shared with another family or some houses owned by the household.

The value of the house includes all the area attached to the house excluding the area of land for production.

For example: a house along streets has higher value than the same one in a small lane; or a flat on the ground or first floor is more expensive than the same one on higher floors.

Question 13: Ask the household if they possess any other houses/ flats or pieces of land apart from the place they are living in. This doesn't include the agricultural land, factories or workshops for doing business.

If house or space is rent out for doing business then that should be considered as “yes”

Question 14: If the answer is "yes" find out whether the household is renting that house and piece of land or not.

Question 15: Record the amount of rental brought by that piece of land, house/ flat in the last 12 months.

Question 16: Record the number of months equivalent to the amount of rental the household has received.

Question 17: Record the number of months in the last 12 months for which the household has been leasing that piece of land or house (mentioned in question 13).

Question 18: Similar to question 12, but for the are which is not used to live in by the household.

Question 19: Find out if the household has bought any house or piece of land including the ones they are using to live in, lease, rent of keep as reserves.

Question 20: If the answer is "yes", record the latest purchasing time (month and year). If they don't remember, write "don't know". If the purchase has been made in the last 12 months, ask question 21, if the purchase was made before the last 12 months, move to question 22.

Question 21: Record the actual amount of money paid by the household to buy the above-mentioned house or land in the last 12 months. In case the purchase is made in gold or dollars, etc. it should be recorded in VND, debts or late payment will not be recorded.

Question 22: Find out if the household has built any new house (including the one they are living in or leasing or haven't used) in the last 12 months.

Question 23: If the answer is "yes", record the cost of the completed work, i.e. the cost induced from the starting to the finishing time of the construction.

Question 23a: Record separately the cost paid for the construction of the new house in the last 12 months.

Question 24: Record the amount of money paid in the last 12 months for major repairing, upgrading and improving the house or land which the household is using, or leasing, including the cost of flooring and building the toilet/ latrine, kitchen, yard and path in the house area. If the answer is "not any", write 0.

Question 25: Record the amount of money paid in the last 12 months for the minor repair of the house or land which the household is using, or leasing. If the answer is "not any", write 0.

Question 26: Record the main drinking water sources (in terms of the amount used) the household has been using in the last 12 months.

- Separate tap water inside the house is the industrially produced and connected to tap system in the house as in kitchen or toilet

- Separate tap water outside the house is the industrially produced and connected to tap system located in courtyard or other places within house precinct

- Public tap water is the industrially produced and connected to tap system located in public places for using of several households

- Drill well is well made by drilling deeply in earth's womb to take water through a protected drill hole, usually through pumping system

- Protected pit well is a well built by brick or other materials to prevent absorbability of waste water, there is a bulwark at the top to prevent guano or dung of animals.

- Unprotected pit well is a well with no prevention of waste water absorbability or without any prevention of guano or dung of animals.

- Protected slot water is water slot protected from waste or animal, bird dung. Water slot is usually built as a tank then water flow into tight pipe system.

- Unprotected slot water is water slot without any protection from waste or animal, bird dung. Water slot is only a slot with no tank.

- Rain water is water which is catched and hold in water containers as barrels, tanks… …

- Bottled water is purchased water in bottles

- Water in small tank is water contained in small tanks and transported to users by horse, motorbike, van or other vehicles

- Tank water is water transported by special automobile with water tank for sale

Question 27: For some sources of drinking water find out whether the household has been using filter systems or chemicals to make water clean before using or not. The filter system or chemicals need to ensure water hygiene, i.e. the water after being filtered has to be clear without any strange colour, taste or smell.

Question 27a: After asking the main source of drinking water, interviewer need to clarify if that is a safe water. Safe water can be used directly after being filtered and meet all quality requirements: without any strange colour, taste or smell, dangerous elements for health, can be used for drinking after boilt. Besides the tap water which produced industrially is considered as safe water, other sources should be clarified as following directions:

Sanitary pit well:

- The pit well need to be placed far from latrine, animal cages or any other pollutant sources at least 10 m
- It is necessary that a bulwark of well at least high 0.6m and made by brick, stone or piped deeply at 3m from ground surface.
- Court of well must be made by concrete, brick, stone, without any chap

Sanitary drill well

- The drill well need to be placed far from latrine, animal cages or any other pollutant sources at least 10m
- Court of well must be made by concrete, brick, stone, without any chap

Other sanitary water sources

- Spring water or surface water should not be polluted by wastes of human, animal, chemical, insecticide or wastes from industrial zones, trade villages
- Rain water catched from roof of concrete, tile, iron and contained in clean tank/ tools (letting out dirty water before catching clean water)
- Open cast artesian water is open water source from slot without any pollutant from human, animal, chemical, insecticide or wastes from industrial zones, trade villages.

Question 28: Find out if the household often boils water before drinking or not. Bottled or percolator water is not considered boiled water.

Question 29: Record the main sources of water (in terms of the amount and time of use) the household has been using domestically (not including drinking water) in the last 12 months.

Question 30: The method of asking and recording is the same as mentioned in question 27 but for the household's domestic water.

Question 31: Find out if the household has to pay for their drinking and domestic water or not.

Question 32: If the answer is "yes', record the amount of money paid for drinking and domestic water by the household in the last 12 months.

Question 33: Find out what kind of latrine the household is using and owns partly or completely.

Question 34: Record the source of light the household has been using (the time in which that source of light has been used the most frequently) in the last 12 months.

Question 35: Find out if the household has to pay for their domestically used electricity in the last 12 months or not. Some households have been using mainly oil lamps in the last 12 months but they still sometimes use grid electricity.

Question 36: Record the amount of money paid for the domestic electricity by the household (including the grid, battery, internal combustion engine and small-scale hydro-electricity), excluding electricity for production and business. If the answer is "no", write "no".

Question 37: Find out the main methods of treating rubbish used by the household in the last 12 months.

Question 38: Find out if the household has had to pay for the domestic rubbish collection in the last 12 months or not.

Question 39: Record the amount of money paid for the domestic rubbish collection by the household in the last 12 months. If the answer is "no", write "no".

Question 40: The interviewer adds up, using the formula and then writes the results in the boxes.

Question 41: The interviewer checks part 6B to see if the household has computers or not.

Questions 42 to 44: Find out about the use of the Internet if the household has computers.

SECTION 8: PARTICIPATION IN THE POVERTY ELIMINATION PROGRAM

Purpose

Collect information about the household's benefits through the Socio-economic Development Program in the especially difficult communes (Program 135) and the National Poverty Elimination and Employment Program for 2001 - 2005 (Program 143). At the same time collect information about the situation of borrowing and using loans of all the surveyed households.

Respondent

Householders or current household members who know the most information.

Concept/ definition/scope

Poor households are the ones considered, assessed, classified and put into the poor household list or granted with the "poverty certificate" by the local governments according to the new poverty line of the Ministry of Labour, Invalids and Social Affairs.

Poverty line in 2001-2005 (decision no 1143/2000/QD-LDTBXH)

- Mountainous rural, island areas: 80.000 VND/capital/month
- Plain rural area: 100.000 VND/capital/month
- Urban area: 150.000 VND/capital/month

Household with income per capital lower than that regulation is poor household

Poverty line in 2006-2010 (decision no 170/2005/QD-TTg)

- Rural area: 200.000 VND/capital/month
- Urban area: 260.000 VND/capital/month

Household with income per capital lower than that regulation is poor household

Loan: is the value of in kind or money which household member borrow from other people, who is not household member or borrow from bank, collectivity… and will be repaid according to conditions and terms of agreement

Content and method of recording

Question 1: This question refers to 2004, 2005, 2006 and 2007 to find out if the household was considered as poor (according to the above definition) in the ward or commune or not. It is better for the interviewer to look at the poverty certificate of each year (if it is still being kept by the family).

If all of these years are coded 2, it means that the household was not a poor household in 2004, 2005, 2006 and 2007, then interviewer skip to question 5.

With poor household in 1, 2, 3 or even all 4 years, interviewer continue with questions 2, 3 and 4.

Question 2: this question is to find out the household participation in the process of choosing poor households in the commune, especially with poor households in 2004, 2005, 2006 and 2007. Interviewer need to fill the right answer for each year

Question 3: Ask and write the code for each project/ policy as mentioned in questionnaire for year 2007 then move to 2008.

The purpose of this question is to collect information on household benefit from projects/policies in 135 or 143 programs in 2007 and 2008. Therefore interviewer need to have clear clarification of policies/programs that household is benefited from in each year and that projects/policies should not be out of these 2 programs. Similar benefits which household get, but from other organization, individual supported; or benefits in these years but household get from previous years prior should not be considered as "yes" for this question.

For example: one member in a poor household participated in a training course with free training cost which was conducted by a private enterprises in 2007. then, this poor household were not received benefit from the "training for the poor" project of programs 143 and 135.

Question 4: Find out if the household participated in process of selecting subject for benefits of projects/policies listed in questionnaire. Complete question for 2007 then move to 2008. Remember to fill accurately rows of project/policy an corresponding years

Question 5: The interviewer asks this question and the household self-assesses to see if their current life (in the last 12 months on average) has been improved compared to 2001 (monthly average). The interviewer uses 4 levels in the questionnaire

If the answer is yes, improved (code 1 or 2) interviewer skip to question 7 to ask the questions on household credit. If the answer is "the same or worse" (code 2 or 4) then interviewer ask question 5

Question 6: the interviewer asks about the 3 main reasons for the household's life being the same or worse, then writes these reasons in the figure boxes in the order of importance.

Note: besides 4 listed reasons, there are many other reasons as: main income earner died, loss; quit a job, household members were unemployment …

Question 7: Find out if any household member still owes money or things to people in other households, or organizations (banks, the Women's Association, etc.) in the last 12 months or not.

Note: Don't record the loans received and paid before the last 12 months. List also the ones paid within the last 12 months. With overdue loans that can not be paid by household but absolved by lenders in the last 12 months still be considered as loans of household, if that were happened prior to the last 12 months then it is stipulated that the household have loans/debts to observe credit situation of the household.

Late payment is regarded as debts. The amounts payable such as land tax, irrigation fees, etc. are also considered debts.

With the value of money that household members borrow as goods, foods for daily living and be paid monthly, quarterly in the last 12 months can be divided in 2 cases:

- Household can pay right after purchasing goods but as the regular relations or to facilitate both buyer and seller the both side had agreed with the term of payment. In this cases, interviewer consider only the unpaid value at the interviewing time.

- Household did not have financial capacity and can not pay right at the buying time and had to wait until have enough money to pay (harvest time). Interviewer ask all loans/ debts arise and exist in the last 12 months (up to interviewing time)

If the answer is "no", write code 2 and finish the first round.

Questions 8 to 17 are recorded basing on each loan or debt of all household members in the last 12 months. Don't include many loans in one line although there is only one debtor or creditor. If the household has more than one loans or debts, make some more copies of the pages and number the loans or debts from 11.

Question 8: Find out if the household has borrowed from or still owes any individual/ organization in the last 12 months or not. The interviewer should pay attention to the difference between "individual creditors" and "creditors who are the family's friends or relatives" as follows: People specializing on lending with fixed interest rates regardless of whether they are friends of relatives should be coded 7, but if they lend without interest rates, they will be coded 8. Friends and relatives, who are not specializing on lending with interest rates and who lend to the household without any interest rate or with a fixed interest rate are still coded 8.

Loans from Social Policy Bank (prior to 19 October 2002- Bank for the poor) (question 8 write code 1), interviewer will continue to ask question 9. Loans from other sources skip to question 10.

Question 9: To observe credit groups of households in communes of 135 program, as government encouragement that the total of each subject group for loans/debt should be asked.

Question 10: The interviewer ask and write principle value and the total amount that household have to pay now for each of debt or loan.

a. Principle value: write the principle value of the loans without any exclusion for household in this principle loan.

Example 2: Household borrowed 5,000,000 VND in June 2004, up to January 2008, household have paid interest monthly and have paid 3,000,000 VND as principle value, and the rest of principle value is 2,000,000 VND. The principle of this loan will be written as 5,000,000 VND in this question.

b. Current account payable amount: total amount which payable to household up to interviewing time include both remaining principle amount (if household partly repay the loan) and the payable interest for that loan.

As mentioned in example 2, the current account payable amount of household is 2,000,000 VND.

Question 11: Record the month with 2 digits and the year with 4 digits in which the household members borrowed. For the payments for buying goods or house rental, etc., the time of borrowing recorded is exactly the month/ year in which the household has to make payments which are still deferred.

Question 12: Record the total months that household had agreed with individual/organization about the term of the loan.

- With extended loan that household no need to pay any interest or mortgage, the include also extension time for that loan

- With overdue loans and is unplayable with household and lenders had absolve household from payment of that debt then it's stipulated that code as 9999 in this question and ask for next questions

Question 13: Find out the reasons for borrowing. Note:

- Investment for liquid asset include money to buy material, goods, services used in production & business in 1 cycle or 1 year in household as a share of household contribution in business in short term, developing and expanding production scale (short term capitals, cash fund, payments as wage or salary, VAT tax , buying materials, goods and service, invest more labors and fund for household business extension & development.

- Fixed asset include visible and invisible assets which have time of using, rotation and retrieving fund in several production cycles (more than a year). The investment on Fixed asset is a spending on new construction, purchasing, major repairing of a completed project which is used for household business and belonging to the ownership and management of the household as workshop, land, architecture, machine, equipment, vehicle, perennial garden, basic livestock, pond, lake for fishery, long term fund (payment for bidding, land rental, machine, equipment…), right of land use, software, copy right, license…

- The payments for house rental, electricity, buying food, etc. to meet the basic needs of the family are coded 8 "general consumption".

- The loans used to buy out or on credit the food products to use before the harvest season are coded 9 "to eat before the harvest season"

- If the household borrows to buy/ build houses, write code 4; if it is to improve the house, especially the domestic water source, write code 11; if it is to improve mainly the hygiene conditions, write code 12; if it has nothing to do with the water source or hygiene conditions, write code 13 " others".

For answers coded 3 to 13, move to question 15. If the reason for borrowing is to use as "production capital" or "basic investment", continue with questions 14.

Question 14: Find out about the purposes of the loans: for agricultural, forestry or fishery production, doing business, trading or providing services by the household.

Question 15: This question asks about the interest rate of the loans. The interviewer fills in the "interest" column with interest rates and the "time unit" columns with the time unit codes. If the interest is 0, write 0 in the interest column and move to questions 16.

Question 16: Write the amount of interest paid by the household in the last 12 months. If the interest is 0, write 0.

Question 17: For the loans paid by the household in the last 12 months, the interviewer write the month/ year of payment. With the unpaid loans, ask the household when they intend to pay their debts. For unpaid loan, interviewer ask what month household planning for payment of that loan. If the household said that they are impossibly pay that loan then it is stipulated that write 9999.

PART 9 – ADMINISTRATION

Purpose

The purpose of this Section is to study the household members' experience (practical experiences) in working with State administrative agencies and their views/opinions about the government's activities.

This section includes two types of questions: questions about experience and questions about views/opinions of the household.

Questions about **experience** relate to the actual experiences occurred when the household members work with different public authorities. All the questions about experience refer to experiences that have been encountered **since 2006 until now (the time of the interview)**. A few examples of this type of question: "Since 2006, have you and your family members used the service (public primary education/ public secondary education/ police/ court, etc.)?, "Please rate your level of satisfaction on different factors (quality, timing, facilities and equipment, etc.) of the service?", "Since 2006, have you taken part in public procedure?", "Did you participate in the opinion pooling for legal document drafting?", etc. The households can only answer these questions if they and their family members directly used and participated in the activities in the questions. There is no such answer "I do not know" for experience questions".

Questions about **views/ opinions** related to the household members' perception about public agencies. All the respondents can answer this type of question no matter if they have used the service or not. Opinions raised may be based on different sources of information, including personal experiences, information from relatives, friends, neighbours, the media, etc. Some examples of this type of questions: "What is your opinion about the extent of corruption in … sector in comparison to before 2006?", "Do you think the act of … is considered corruption? Do you think the action is acceptable?", "What is your opinion about the service of … in comparison to before 2006?". For this type of question, an "I do not know" answer is acceptable.

For questions about experience, **respondents answer based on the experience of the household members'**, it can be his/her own experience or other member of the family. For example, for the question: "Since 2006, have you and your family members used public primary school service?", the respondent will answer about primary education of the children in the family (children, grandchildren). It means that if the household has children attending primary school since 2006 to the time of the interview, the answer will be "Yes". In all the questions about experience, the term "you" will be understood as "**you or your household members**".

For questions about opinion, the respondents must **give his/her own opinions,** not those of other household members. In the case of family with many different opinions, the respondents will chose the most appropriate one for their answer.

Respondents

Participants in the survey have to be at the age of adolescent or older (at least 18 years old), and each household has to appoint one participant for the survey. If the head of the household is present, he/she has to take the survey. If the head of the household is absent, the most knowledgeable person of the household will be chosen, e.g. his/her spouse. It is necessary to record clearly full name and code of the respondent for this section (the order from the list in part 1A).

SOME GENERAL ISSUES

Make the respondent feel trustful and comfortable.

For questions that are of sensitive nature, the interviewer has to make respondents feel trustful and comfortable so that they can give an honest answer. The confidentiality of the survey should be emphasized. The interviewer may as well explain to the respondent that the government wishes to receive an honest answer from residents. It is necessary to clearly state out explanations and the connection to the next parts of this section, which will help respondents to have more time to rest and keep the interview comfortable.

Keep a neutral attitude

The interviewer has to keep a neutral attitude (open and neutral) so that respondents will feel more confident and comfortable and give more honest answers without having to consider too carefully. The interviewer can explain questions to respondents if necessary but it must be assured that the explanation will have no effect on opinions of respondents. There is no right/wrong answer for the questions. All opinions will have to be recorded in the answer part. All comments are worth collecting.

Avoid omitting answers

The interviewer must avoid omitting information, and has to encourage respondents to answer all relevant questions. If the respondents really do not know the answer, the interviewer chooses the answer “Do not know” coded 9 and puts remarks in the answer table.

Respect the order of questions

The interviewer has to respect the order of questions in the questionnaire and skipping points regulated in the sheet.

Respect the terms used in the survey sheet.

The interviewer must read the questions properly; avoid explaining or demonstrating into other words in the interview process. If necessary, the interviewer can repeat the question slowly. If the respondent is not clear or feel confused, the interviewer can explain based on what stated this guide.

SECTION 1. QUESTIONS ABOUT PUBLIC SERVICES

Public services are services that are provided by the State, either free or paid services. Popular public services are: education services at all levels, training education at public universities; health services at hospitals, public health care centres; household registration, birth certification issuance, land and house ownership certificates, other permissions issued by State agencies; State provided agriculture and aquaculture encouragement services, etc. Services provided by community organizations, resident's organizations, associations, non-government organizations and private sector ***are not included*** in this survey.

Public services include many forms and activities, this survey focuses on studying primary education services, secondary and high school education services, universities, public health services, land use certificates, agriculture, forestry, fisheries encouragement services, and services and activities by the police and court.

Public primary education service

Which are education services in public schools for students from grade 1 to grade 5. Services in this section include: teaching, registration, facilities and equipments, study tools, educational result evaluation and certifications issuance.

Public secondary and high school education service

Which are education services in public schools for students from grade 6 to grade 12. Education services in this section include: teaching, school registration, school facilities and equipments, studying tools, educational result evaluation and certifications issuance.

Educational services at professional and vocational schools

Which are education services at professional and vocational schools after students graduating from high school. Educational services in this section include: entrance examination and enrolment, teaching, facilities and equipments, studying tools, education result evaluation and certifications issuance.

Educational services in public colleges and universities

Which are educational services in public colleges and universities after student graduating from high school, including all levels of higher education from college onward. Educational services in this section include: entrance examination and enrolment, teaching, facilities and equipments, studying tools, education result evaluation and certifications issuance.

Central and local public health services

Public health services include heath services in prevention and treatment, registration, examination and treatment in public heath centers at central or local levels, etc. The use and the usefulness of health insurance for the poor, children under 6, (if granted), the use and usefulness of health insurance (if used). ***Excluding examination and treatment services provided by private centers.***

Public health services are divided into two levels: **local public health services** include health services at public heath care centers from the provincial level downward. **Central public health services** include health services at central level public health care centers.

Issuance of certificate for right to use land and housing

Includes: Issuance of certificate for land use right (red book), land transaction registration (lease, transfer of right to use land, etc.) and change of land use purpose. Administrative procedures related to land are guided by Ministry of Natural Resources and Environment or guided and managed by Provincial Department of Natural Resources and Environment and local land agencies.

Agricultural, forestry, fisheries encouragement services

Agricultural, forestry and fisheries encouragement is an activity to disseminate scientific research results, new applicable knowledge in agriculture, forestry, and fisheries at training courses and disseminating information activities for farmers, fishermen. Encouragement of agriculture, forestry, fisheries activities include a series of media and learning activities that are arranged by specialists for resident community at rural areas on topics related to agriculture, forestry, and fisheries. Agriculture, forestry, fisheries encouragement services are guided and managed by Ministry of Agriculture and Rural Development (at regional level). Some communes/wards have their own encouragement staff.

The police

Including services which are provided by regional police force (police who are responsible for security and the law), traffic police (police who are responsible for supervising and monitoring traffic regulations and ensure the implementation of the regulations), economic police (Police who are responsible for survey).

To answer the question: "Since 2006, have you and your family members use police services?" the answer will be "Yes" only when somebody in the family has been directly affected by the police's activities, for example getting fined by the police, requirement for protection, requirement for investigation, argument with traffic police on whether an action was a violation of traffic law. The answer will be "No" if the family members were not directly affected by police officers, for example having accidents while driving, but did not see the police for a solution, or living in an area that have the police force, but have no thing to do with them.

The court

This service relates to regional court and services that are provided by officials working at the administrative court. **Questions in this section do not include the People's Supreme Court.**

Question 1: This is a practical question on since 2006, whether the respondent or the household members have used those services mentioned in the question. Specifically: Public primary education service, public secondary and high school education service, public universities, land and house right of use certificates issuance, agriculture, forestry, fisheries encouragement activities, the police, the court, etc.

Note: The respondent is only considered having used a service if the household members have directly used the services. In the case of hiring/asking other people to use the service or using the service on behalf of relatives, friends not living in the same household are not considered having use the services.

If the answer is "Yes", move on to question 3, otherwise, move on to question 2

Question 2: there is only one option for this question. If the respondent has many reasons for not using a service, they are required to choose only the main reason. In the case that the answer is not the same as the options given, option "Other" will be chosen and the reason must be specified.

Question 3: Answer this question in the case the household have directly used public services mentioned in the survey since 2006. The respondent needs to state the level of satisfaction toward the services' quality, facilities and equipments, timing, enthusiasm of the service providers, fees required by the State regulations.

For those services' boxes that are blackened, it is not necessary to ask this question.

- **Quality**: How good was the outcome of the service (for example, have students acquired useful knowledge and skills, was land use right certification (red book) accurate and valid, etc). Was the level of the officials, teachers, doctors, etc. sufficient to reach the required quality?

- **Facilities and equipments**: Were there sufficient tools and equipments to cater for the provision of the services? These are related to quantity, quality, safety and hygiene of the building, furniture and equipments inside.

- **Time required**: Time required for provision of the service includes time that the user has to spend since the point of registration until the service is fully delivered. Delay and waiting both negatively affect time requirement for delivering of the service.

- **Enthusiasm of the officials in providing (or making) the services**: relates to how officials, doctors, teachers or registrars to behave and answer questions from service users. Were the officials polite and enthusiastic in helping? Enthusiasm here is the level of replying and behaving in conformation with the regulation, not an arrogant, in-corporative attitude. Attitude factor is not related to education level of the officials, doctors and teachers as in the "quality" section of the service.

- **Cost**: official fee, as in state's regulation, which has to be paid in order to receive the service.

Cost here does not include cost of gifts, additional payment that the users pay to the officials voluntarily or as being required by the officials.

Choose “Not applicable” for “Cost as in State regulation” in the case that the services are free as stated in regulation such as primary education, or medical care for children under 6. In the case that Medical Insurance pays for the fee, and the respondents are not aware of the amount, select: “Do not know”.

Question 4: In this question, the respondent has to generally evaluate the level of satisfaction toward the service provided. It is different from question 3. It is possible that in question 3 there were a few criteria not satisfied, but generally the household members have a different view on the used service as a whole.

Question 5: This question requires answer from all respondents interviewed no matter if they used the service or not. The respondent provides his/her own opinion, based on practical experience, perception or information from other people.

This question aims at evaluating negative/positive changes in provision of the service in the past 2 years. The respondent has to consider every aspects such as quality, timing, attitude, cost and other important factors to give an overall opinion.

Question 6: This question relates to general level of trustworthiness/ reliability that the respondent rates public services based on their understanding or practical experience. All respondents of the interview have to answer this question based on their own experience, opinion, knowledge and information from other people to give out his/her own opinion.

PART 2. ADMINISTRATIVE PROCEDURES

Application for land use right certificate (red book)

This is the procedure for individuals or households to require for the issuance of land use certificate for agricultural, residential, forestry land or other kinds of land. Land use right certificate for individuals and households are granted by town/village or city level people’s committee.

Application for house ownership certificate (red book/ pink book).

This is the procedure to apply for ownership certificate for houses belonging to an individual or a household. House ownership right is granted for households or individuals by the District People's Committee. The Ministry of Construction provides guideline for the procedure to issue house ownership right

.

Application for housing construction/renovation permission

This is the procedure to apply for construction or renovation permission for houses belonging to individuals or households. For houses belong to individuals or households, the permission is issued by the District People’s Committee or city under the provincial level.

For rural areas that have not have detailed building planning (1/500), the procedure is not applicable in the case of individuals or households' house construction, renovation.

Household/ civil status registration

Household registration is an application procedure for the official registration of household members. The local police are responsible for this procedure.

Civil status registration is a procedure related to birth and death registration, separation, integration or transferring the household registration of individuals or households. This procedure is under the charge of the People’s Committee at commune/ward level or the police at district, town and city level.

Household business registration

This is the procedure relating to households' business registration. Households' business registration is carried out in conformation with the Law on Enterprises, Instruction Decree of the Government for business registration, Circular of the Ministry of Planning and Investing guiding some of the issues on documentation, order, and procedure of business registration. The Business Registration Office at various levels of regional bureaus are responsible for the procedure.

Note: The People’s Committees at district level are in charge of business registration for households' business activities in the form of “individual business”.

The Business Registration Office under the Provincial Department of Planning and Investing conducts the business registration for household business in the form of Limited company, joint-stock company, partnership company.

Notary service for documents

These are services when a copy is certified as original form and notary services for all kinds of documents performed by state agencies.
Prior to June 2007, the notary services are only carried out by the Public Notary Office under the Provincial Department of Justice and Office of Justice under the People’s Committee at district level.

Currently, besides the above stated agencies, the People’s Committees at ward/commune level are delegated to carry out the certification issuance for copies (qualifications, certifications, birth registration, etc.) for individuals and households. Department of Justice at district level and notary office only provide notary services for a few important types of documents such as contracts, authorization letter, will, etc.

Administrative complains

These are complaints on a decision or activity of a state agency or officials considered by residents to have caused damage to the rights or legitimate interests of individuals or organizations.

This administrative procedure includes complaints toward Government agencies (People's Committee at different levels, Departments – Divisions under the People's Committee, Central line ministries, etc.) or public services provided by State agencies such as education, health care – treatment, land administration services, etc. Complaints on Government officials and public services providers such as doctors, teachers are also classified under the scope of this question.

This administrative procedure also includes complaints solved by various level agencies like the People's Committee, Ministries, Inspectorate of the Government, the People's Council, the National Assembly, the Vietnam Fatherland Front, different social political organizations, the Court, etc.

Questions 7 to 10 are experience based.

Question 7: The respondent has to answer if he/she or any member of the household, since 2006, has used the procedure stated in the survey. If the procedure are experienced directly by members of the household, select option 1. If they did this on behalf of other people, including relatives and siblings who are not in the household, then select option 6 and move on to question 8. If nobody has used the procedure, skip question 8, 9, 10, and move on to ask question 11.

Question 8: This question refers to the level of difficulty (timing, cost, effort to overcome, level of complexity) to gather information about administrative procedure.

Note: Only one option will be chosen for this question. As for administrative procedure no. 3: "House construction/renovation permission", it is not applicable for rural areas ***without a detailed construction plan 1/500***. In this case we can choose "Not applicable-8" and move on to the next procedure.

Question 9: "Participating in procedure" including 3 stages: 1) The household submits claims and documents; 2) Processing of claims, documents, records by State agencies; 3) Release of the result (permission/decision issuance). The answer for this question is "Yes" if there are difficulties during the 3 stages.

Question 10: Please refer to General Issues Instruction.

Household that faced difficulties during stage 3 (release of result) includes: Household that did not receive result from State agencies for documents that they had submitted, the waiting time was too long, the result was not satisfactory, etc. These difficulties can be noted in section 6 "Other reasons, please specify:_____"

Note: Only up to 3 reasons for difficulties can be chosen.

Question 11: This is a question about view/opinion. "Simpler administrative procedures" means that it takes less time, less documents required, less complexity, or less agencies must be met to solve the problem.

PART 3. CORRUPTION

Question 12 and 13: These are questions about view/opinion. Refer to the General Issues instruction in page 2.

"**Acceptable**" means "Not necessary to be fined".

The respondent has to select an option regardless of the level of the corruption. If the respondent thinks that the answer depends on the value of gifts/money, select alternative 3 "Difficult to answer".

Descriptions of different behaviours:

Officials demanding more fees outside the regulations for providing public services or administrative procedures.

Relating to civil service officials ask to be paid more than that announced and regulated. Officials requiring more than the amount regulated to give access to public services (e.g. evening classes), to improve the quality of services provided (e.g. so that the doctor will treat the patient better and faster), to reduce time and administrative procedures (e.g. application for certificates of land use (red book)), etc. The definition of "**officials**" here refers to "**public service officials**" including doctors, teachers, training staffs, and all other officials relating to the provision of public services.

Officials make decision for the benefit of individuals/ organizations that have given gifts/ bribery.

Relating to the case that officials make decisions that are beneficial for individuals/ organizations that provide him/ her with gifts/ bribery. This can be applied in several situations but especially those relating to the purchasing and sale of goods and services for the government (meaning officials decide to buy, purchase goods/ services of the providers that have given them gifts/ bribery).

Officials cannot do the job as regulated, which affects the interests of themselves, or friends and relatives of the official's.

Relating to the case that public service officials fail to carry out their duties as stipulated in regulation or do not carry his duty rightfully under the law since otherwise it will affect the interests of the officials themselves or their relatives. For example, in the case of a public service officials receives a claim from a citizen but deliberately ignore it since the person being complaint about is his relative.

Officials illegally use public budget and assets of the state for personal interests.

Referring to the case that officials misuse public budget and assets for his own interests. For example using public budget to bet in football (or use public budget for lending activities but the interest earned will not be returned to the budget).

Officials receive small gifts/ money "before" providing public services or solving administrative procedures.

Applies in the case of individuals/ organizations using the service give small gifts/ amount of money voluntarily (there is no such requirement from the public service officials) when they go to meet the officials to solve their problems.

Officials receive small gifts/ money "after" providing public services or solving administrative procedures.

The situation is almost the same as above, but there is an important difference about the timing of giving and receiving gifts/ money: after the public services or administrative procedures have been provided. For example: gifts from patients to doctors after leaving the hospital.

Question 14: This is a question about view/ opinion. Answer 'YES' if the respondent thinks, for example:

a) The amount of money/ gifts for bribery that they and their family have paid for the corruption activities accounts for a large portion of their income.

b) The amount of money/ gifts that they and their family have to paid for the corruption activities only accounts for a small portion of their and their family's income; however they have to pay on a frequent basis or in every time they and their family go to see public service officials for solving some issue.

c) Money and gifts for corruption acts cause troubles for themselves and their family in term of time to negotiate with public service officials, time to understand if it is necessary to bribe and the amount of money to bribe, time for look for people with connections who, when being paid, will give assistance in administrative procedures, etc.

Question 15: This is a question about experience. The state provisions related to this question include:

- Corruption prevention Law, 2005
- Decree about transparency in income and assets of state officials.
- Decree on the participant of the society in corruption prevention.

The respondents in interview rate how much he/ she understands the above laws.

Question 16: this is a question about experience. Please refer to the Instructions to General Issues.

Question 17: This is a question about experience. Corruption accusations are accusation of corruption activities by State agencies, or state officials, as those behaviours cause damages or threaten and damage national interests and/ or lawful interest of individuals or organizations.

This question include corruption accusations submitted to: State Government, the Police, National Assembly and the media.

This question only refers to corruption by state officials or state agencies, not those by private individuals or organizations.

If the respondents say that they have not accused corruption acts since they have not discovered any, then the answer for this question is “2. No”.

Question 18: This is a question about experience. Only chose one alternative; if the respondent has more than 1 reason, request them to choose only the main reason.

Question 19 and 20: This is question about opinion. The respondent gives opinion based on **<u>his/her own</u>** understanding on corruption. Before answering this question, the respondent should think carefully about what constitutes corruption.

If the respondent asks the interviewer to help define corruption, the interviewer should answer: *The official definition of corruption in the Corruption Prevention Law is: “Corruption is an activity of abusing position and/ or power for personal interests”*.

Definition of services in this question is the same as in Part 1 of the Instruction.

Question 21: This is a question about view/opinion. This question relates to the level of corruption in all services and State agencies. This question is not only limited to the 9 services stated in question 19 and 20 but also all kinds of services (see the list of codes for question 23).

Question 22, 23, 24: This is a question about experience. Respondent answers based on his/her knowledge about corruption. Before answering this question, the respondent should think carefully about actions that he/she considers as corruption.

If the respondent asks the interviewer to help with the definition of corruption, the interviewer should answer: *The official definition for corruption if Corruption Prevention Law is: “Corruption is an act of abusing position and/ or power for personal interests”*.

In question 23, respondent can only state at most 4 services that members of their household have faced corruption in. The list of services is not limited as in question 19 and 20. Any services can be mentioned in the question (see the list of options for this question below).

In question 24, only chose 1 option. If there are many correct options, the respondent can only choose 1.

These are the codes for question 23:

- **Public primary education**: See definition in part 1.
- **Secondary and high school education**: See definition in part 1.
- **Professional and vocational institutes education**: See definition in part 1.
- **College/ university education**: See definition in part 1.
- **Local public health services**: See definition in part 1.
- **Central public health services**: See definition in part 1.
- **Land administration services**: See definition in part 1.
- **Construction services (including issuance of house ownership certificate)**: issue permission for construction, renovation, etc.
- **Police service**: See definition in part 1.
- **Tax services**: related to services provided by Taxation agencies to individuals and organization. These services including: payment of personal income tax, payment of value added tax and payment of enterprise income tax, etc.
- **Court services**: see definition in part 1.
- **Agriculture, forestry, fisheries encouragement services**: see definition in part 1.
- **Household integration/ separation services**: see definition on part 2.
- **Household business registration**: See definition in part 2.
- **Telecommunication services**: Telephone, Internet provided by state companies.
- **Water supply services**: Water supply services provided by state companies.
- **Electricity services**: Electricity services provided by state companies.
- **Garbage collection services**: Garbage collection services provided by state companies.
- **Legal supporting services**: Free supporting services for legal matters (consultant, court representative) for a portion of the population (the poor, the handicapped, homeless elderly, children with difficulties, ethnic minority with economic difficulties, heroes during the revolution). Legal supporting services are provided by Legal Supporting Centers, these centers are usually located at

Provincial People's Committee, but now they are expanding activities to district/ town, ward/ commune and even mobile units. The Vietnam Lawyer Organization also has its own legal supporting center.

- **Labor, Veterans, and Social services**: Resolving issues in labor and employment, solving social supporting policies, resolving policies for people with contributions to the revolution, issuing vocational training center, enterprise rating).

- **Judicial services (including notary services):** Verify and certify notarized documents, change and modify civil legal relationship, certify marriage and divorce between Vietnamese citizen and foreigners, certify Vietnamese children adopted by foreigners, issue legal documents.

- **Custom administration services**: Procedures of export-import taxation.

- **Environment and recourses services (except for land)**: Issue certificates for the exploitation of mineral or water resources, issue environmental safety standard certificates.

- **Planning and investment services (except for household business registration)**: Approve domestic and international investment projects, issue business registration certificates to enterprises, issue investment permission and after permission procedures, issue permission for level-based investment projects, evaluate and issue permission to domestic preferred investment, bidding.

- **Home affairs services**: Recruit, job transfer, officials and public servants transfer, appoint officials and public servants to overseas studying/ working, salary increase, organize conferences, international conventions, apply for establishment of association, review association charter.

- **Science and technological services**: Issue permission for science and technological activities, issue permission for using radioactive medical equipments, issue permission for examining measurement equipments.

- **Public transportation services:** provide public transportation services (buses, trains) managed by state agencies, train, examine an issue/ renew driving license, evaluate motor transportation, evaluate technical design, construction records and budget projection, issue transportation construction building on transportation lines, handle administrative violation in the scope of traffic safety (under the management of traffic police).

- **Trading services**: Issue certificates on business conditions satisfaction, issue certificates for registration and establishment of representative office for foreign businesses or Vietnamese businesses on the territory of Vietnam, issue permission in the case of authorized importers.

- **Cultural and information services**: Issue permission for advertising, issue permission for karaoke services, issue publishing permission, issue permission for art exhibitions, issue permission for professional and non-professional art performance, issue permission for tapes and disks trading.

- **Agriculture and rural development services (except for agriculture, forestry, fisheries encouragement services):** issue certificates of animal isolation, certificates of animal quarantine, permissions for veterinary activities, certificates for plants quarantine, permission to supply plant protection medication and animal products quarantine, issue permission for the exploitation of irrigation constructions, clean water and rural environment sanitation, evaluate documentation of natural or man-made forests design, issue permission for the exploitation of forestry products.

- **Others, please specify:....................**

PART 4. INVOLVEMENT IN LEGAL DOCUMENTS PREPARATION

Question 25: This is a question about experience. Please refer to the General Issues Instruction in page 2.

Legal enforcement documents are documents published by authorized State agencies, which contain legal enforcement mandatory to organizations, individuals involved, and have to be applied many times in practice.

A “draft” legal enforcement documents is a State regulation but has yet been approved. These are State regulations under review, refinement and finishing. The National Assembly and the Government are reinforcing consultation from community and organizations for legal draft documents by posting those legal documents on various websites (in addition to other methods).

Question 26: This is a question about experience. Please refer to the General Issues Instructions. The options including these following documents:

– Laws, the Ordinances enacted by the National Assembly.

– Resolutions of the National Assembly.

– Decrees, Resolutions, Decisions by the Government, the Prime minister or resolutions of the National Assembly.

– Circulars by line ministries.

– Decisions of the People's Committee.

– Decisions by the City/Provincial people's Committee.

– Other documents, it is necessary to specify the type of documents.

The above documents can be surveyed by different agencies at different level. In this question, pay attention to the type of documents that the household members give comments on.

For this kind of question, the respondent can answer with many different types of documents stated in the question, that the household members have given comment on.

Question 27: This is a question about experience. Please refer to the General Issues Instructions.

This is an open-ended question.

The first option is "1. Through the website and the email address on the website" refers to the website of the organization collecting opinions (website of the Government, national Assembly, Ministries, Departments). The answer for this question can include direct opinion contribution on the forum or send email to the address on the website. If the household members know about the legal draft documents from the newspaper, then send email to comment, it should be recorded in Other method: "Other methods, please specify....".

Question 28: This is a question about experience. Please refer to the General Issues Instructions in page 2.

Only choose 1 option for this question. If there are many options relevant to the respondent's opinion, only choose the most important one.

If the household members have not given any opinions since they do not know about the draft documents posted on the website of the National Assembly or Government... for comments, choose the option "Other reasons, (specify)...."

PART 5. PARTICIPATION IN PLANNING AND LOCAL BUDGETING

Planning/ land use planning of the commune/ ward.

This is a plan or project presenting in detail how different types of land in the territory of each commune/ ward are being used (e.g., agricultural, industrial, residential, etc).

Compensation and relocation support plan in commune/ ward.

This plan indicates in which areas of the commune/ ward, the residents will have to relocate at a particular time and which areas will be utilized for compensation and supporting households that are affected by the relocation.

Community infrastructure construction investment planning.

These are building plan for infrastructure of the commune/ ward (e.g. roads, schools, hospitals, water, electricity, dam, irrigation, etc).

Commune’s/Ward’s Social economic development plan

These are plans for economic development of the commune/ ward. They include: social and economic development plan, production and economic structure plan, settlement and cultivation, new economic zones, trading and production development plans, manufacturing priorities plan, poverty development plan.

Fee collection is carried out by the commune/ ward government.

Related to the use of funds and support, which are provided by commune/ ward, province/ city and State, of the People's Committee at commune/ ward level. e.g.: irrigation fee, security fee, electricity fee, social organizations fee, etc.

Spending of budget and state aid in ward/village

Related to the spending of expenditure and aids, which are provided by town/district and province/city and state, of the People's Committee at ward/ commune level..

The spending of voluntary contribution from residents in commune/ ward.

Related to the use of voluntary contribution from households to the communal/ ward People's Committee, which are a series of contributions to education, employment or monetary contribution to maintain the infrastructure base at commune/ ward level.

Question 29: This is a question about experience. “**Concern**” is understood as “willing to know” (about the plan or the budget).

Question 30: This is a question about experience. There are plans not related to commune/ ward (e.g.: compensation and relocation plan, since there are no relocation work carried out in that commune/ ward, agricultural stabilization plan, new economic zones, etc.) In that case, the answer is “5. Not related to the region I live”.

Question 31: This is a question about experience. “Satisfy your demand for information” means the information that they need is sufficient to meet their need, clear and understandable. If the information is not sufficient, unclear or difficult to understand, then it is considered that the need is not met.

Question 32: This is a question about experience.

Question 33: This is a question bout experience. The respondent only has to choose one reason. If there are many correct options, then choose the most important one.

PART 10. SHOCK AND RISK MANAGEMENT

Purpose

This part focuses on vulnerabilities and shock/ risk management. The purpose of this part is to collect information about: (i) frequency of unexpected and undesirable events, (ii) impacts of these undesirable events on households, and (iii) methods to correct the consequences of these events. At the same time, this part also aims at understanding at which level can households forecast and prepare for events that may occur in the future and whether there are Government schemes to assist them in the case of undesirable events.

Information collected in this part will be used together with those in other parts to analyze the vulnerability to shocks and risk management schemes in Vietnam. The core of this analysis is to examine the risk of vulnerability that individuals and households have to face. Some of the events may affect many households at the same time (natural disaster or economic depression), while others only have separate impact on a particular individual or family (sickness or unemployment). In both case, this part emphasizes on how those unexpected events affect *the households* and their income, wealth, choice of households as well as actions that they take to improve the consequence of these events.

In this case, we call the unexpected events **SHOCKS. A SHOCK** is a undesirable and unexpected event that has strong impact on a household or a member/a number of members of the household. Unexpectedness means that even if the household can expect that the event may happen, there are always factors that are cannot be forecast, for example: how long is its duration, how long will it take for the household to recover, and which damages can occur.

In this part, we will devote our attention to four types of SHOCK: (a) natural and biological disaster, (b) economic shocks, (c) social-political shocks, and (d) internal shocks inside the household.

Respondents

It is important here as by the purpose of this module to point out who are the respondents for the interview. The head of the household or his/her spouse are the most suitable people to answer this part of the interview. Before answering this part, please take note of the code of the person that answers this part's questions.

PART 10A: RISK/SHOCKS AND HOUSEHOLD'S ADJUSTMENT

Data collection period

Since most of the questions in this part are retrospective, which means the respondents are required to remember the particulars of a currently occurred shock, it is important for interviewers to take note of the data collection period precisely. When asking questions, interviewers should help the household to recollect the period of the stated event. The reminding of familiar events occurred during the period and events that can be connected to that period are good ways to help respondents to concentrate on the stated period. Use annual events like Tet holiday to be the anchor point or relate the time that a child of the household was born.

The majority of the questions in this part (except for questions (1), (2), and (3) which will be explained in detail in the next paragraph) refer to the time period beginning **1/1/06** and **ending at the time of the interview**. The households are required to recall the shocks happened in that period.

The exceptions are questions (1), (2), and (3). These questions require the respondents to recall the shocks happened in the time frame of **5 years**, meaning **from 1/1/2003 to the time of the interview**.

Question 1: **Since 2003, has your family faced any of these events/shocks?**

This is an important question because it points out the particular SHOCKS that have affected the household. Interviewers then continue to ask the followed questions from part A **regarding each of the event in this group**.

The interviewer orderly asks all of the shocks in question 1 and records all the shocks that have happened since 2003 (YES/NO).

The definition of which event was a shock to the household will be made by the respondent (the head of the household or his/her spouse). The interviewer will mention each of the events for the respondent to choose and give the respective code for the answer. These events are considered to have negative effects on the household and will be defined depending on particular situation and characteristic of each household. For example, an event that cause a loss of VND10m can be considered a big shock to a poor household (those that have annual income of less than VND20m), but may not have big impact to high or high-middle income (those that have annual income of more than VND50m).

The first six **shocks** are undesirable events relating to natural and biological event:

- *Droughts*: It depends on the respondent to define drought. The purpose is to examine the respondent's perception of what is a drought period. We will not mention the drought in any scientific definition. Drought may be an event that happens when the weather is drier than the respondent’s expectation. The dry weather in some ways affected the livelihood of the household. And the household may had taken actions to safeguard and protect the household from the consequences of the drought. In both cases, we consider the answer for question 1 is “YES” because as the household have experienced the drought, they should have taken effort or the drought may have caused losses to the household.

- *Flood, landslide, and typhoon*: these are occurrences relating to rain. All regions are more or less being affected by climate change. We pay attention to the capture of those changes that lead to flood, landslide or typhoon that the household did not expect in their own judgment. It is possible that in one same village, some of the households say that they were affected by the typhoon while some others were not. These totally make sense and it is one of the purposes of this part.

- *Earthquake, volcano, or tsunami*: These are unwanted natural occurrences and there are chances that they will be experienced by many households in the same geographic area. It is of high possibility that if there was an earthquake, active volcano or tsunami happen, all of the household will mention it when they are asked to recall them in question (1). Here, it is important to emphasize whether or not the household has experienced the threat. For example, if a household has experienced the earthquake but there was no material loss, the answer will still be "YES" for question (1) – the same as a household whose house was badly affected by the earthquake.

- *Pest infection, plant and animal diseases*: pest infection affects plants and animal, and can have effects on the household in various ways. One example is that when pest infection attack the plants, the households work in cultivation will be affected. However, even households those are not in the cultivation work can still be influenced and the interviewer, in this case, must take note. For example, a household can be affected if a poultry business which provides economic aid to the region is closed for a fear of the bird flu's influence. The reason for this event is animal's infection, but before choosing the "YES" answer for question (1), for this particular event, interviewer must make more in-depth findings. The important point is to suggest so that the household will provide more details about the core of the problem so that to avoid ticking one shock for many lines. For example, if the closure of the above stated business affected the household in the sense that the head of the household became unemployed, then the SHOCK should be noted is the "Unemployment" line. But maybe the household have other thoughts when they said that this event did affect them. If the household had always used waste from the business as fertilizer for their crops and now that there is no more supply, they have to buy with high price, we have to take this SHOCK as "high increase in business input costs".

Below are the six SHOCKS about unexpected events relating to price, employment or business loss.

- *Price of goods produced by the household reduces significantly*: This question is for households that take part in the production of goods or services. There are goods whose prices change annually in a known pattern (at least to those selling these products). For example, price of fruits reduce when it is the season that fruits begin to be sold everywhere in the market. If the household can expect these changes, they are not events that we look for. Instead, we are looking for changes that the household cannot foresee. Return to the above example, the farmer may expect price of fruits to reduce by 10% in the middle of the season. However, in that year, there was a supply of imported fruit and price reduced by 15%. In this case, there was an unforeseen factor in the reduction of price and the farmer had to suffer an unexpected loss of 5% and therefore we have to take note to the answer sheet (record "YES" for question (1)).

- *Price of input for the household's production increase sharply*: The determination for this type of shock is similar to the case that price of good produced by the household reduces significantly. The interviewer should note that this question is only about goods/services that the household uses (for the purpose of planting or producing). Therefore, this question is only for households that have a business. For example, the change in price of pesticide, breed, or transportation cost from the harvesting/packaging location to the market.

- *Price of essential goods considerably increases*: The main difference between this shock and the two stated above shocks in that this shock related to the price of essential goods (including foods and non-foods goods) that the households consume. Since all the families more or less have to spend money in buying essential goods and it is not related to whether the household have any cultivating land, take part in any business or trading activities. Examples are changes in price of soaps, medicines, foods, stationeries, and clothes.

- *Unwanted unemployment*: For example, a person suddenly be fired, the contract ends when the worker does not want it to happen, a business being closed and workers are laid off or retrenched, or any other situation that the worker find him/herself in an unwanted unemployment.

- *Late payment of debts*: Situation when the household has a late payment or deferment of due payment that the household cannot foresee. This late payment may come from different sources: salary, benefits that are not paid on time, rental of properties, interest payment that the creditor has not received, money sent from other family members, and subsidy from the government.

- *Business losses, bankruptcy*: This event is about households' non agricultural trading activities suffering from losses or bankruptcy. Note that these include both registered and unregistered business activities and small businesses but the loss can cause deep impact on the live of the household's.

The next five SHOCKS relate to thief, law violation.

- *Crime (Robbing, thief)*: Those events that affect the assets of individuals' or households'. Is there was a theft taking away television, cattle or cash from the household, then the interviewer must tick "YES" for question (1) regarding this shock.

- *Deceit*: Very popular in rural areas. Households in rural areas are usually deceived by recruitment agencies while trying to help their relatives to work overseas.

- *Imprison or fine for law violation:* A household can be badly affected if one member is imprisoned or violated the law and have to face legal punishment, especially when it is the head of the household or his/her spouse.

- *Losses in gambling*: This kind of shock is popular in some areas in Vietnam, especially in suburban areas where there are many poor families and unemployed people.

- *Foreclosure or mandatory relocation*: Foreclosure is when the Government takes away the right to ownership from a person (real estate, properties). Note when an individual or a group of individuals take away the right to ownership of other people (e.g. in land dispute) then, in this part, the action will only be considered normal law violation and will be recorded in the Crime line. The mandatory relocation happens when the Government or an action from the Government's policy (e.g. for road construction or Government building activities) makes the household to leave their dwelling and relocate to another place involuntarily.

The last group composes of 2 types of SHOCKS that affect the household in different ways. The interviewers should note that these shocks are not the consequences of the above shocks.

- *Divorce, abandon, domestic or external dispute:* This group includes events that lead to the change in the household's structure. Divorce and abandonment are the most prominent examples. However, they also includes other family conflicts that abrupt the daily life of the household. For example: a mother brings a child out of the family because of constant quarrelling, siblings' fight over inheritances.

- *Sickness, serious accidents, decease that are not mentioned above:* Interviewers can note at most two cases of injury or decease for each household. In the case of a household with more than 2 members suffered from injury or death, interviewers have to ask for further detail and record the two most serious cases. These health related diseases can be HIV infection, tuberculosis, car accident, mental disorder after being attacked.

It is important to note that the death or even illness can be a consequence of one of those unwanted events stated above. For example, it can be caused by natural disaster like earthquake. There are cases that the respondents think that there is such relation. For example, sudden unemployment can lead to illness (worry, stress, or hurt). Because of these reasons, the survey have one more question to make sure that those events will not be double counted (question 8A of part 4E). The interviewer can suggest the respondents to give more insight into these events and examine if the events have been double counted.

After the interviewer has gone through all the SHOCKS or unexpected incidents and has acquired all answers for question (1), the interviewer must check the list and construct the three steps followed:

1. For each SHOCK that received a 'YES' answer in question (1), the interviewer will continue to ask question (2) and (3). Only after finishing questions (2) and (3) regarding every SHOCK, the interviewer can continue with the following steps.

2. For the SHOCKS that received a 'YES' answer in question (1) and was not crossed out in question (4), and the shock happened after 1/1/2006, the interviewer asks question (4), followed by question (5) to (26) regarding the SHOCK.

3. For the SHOCKS that received a 'YES' answer and had happened before 1/1/2006, the interviewer asks about the next shock after finishing question (3).

<u>Question 2</u>: **Has you family recovered from the (..NAME of the shock..) shock?**

This question only applies for households that answered 'YES' for question (1). Note that this question gives out 4 options. The interviewer is expected to read out all the four options and let the household choose one.

Question 3: **In which month/year that the shock happened?**

Question (3)'s purpose is to determine the point of time that the shock happened. Note that for shocks that have happened more than once since 1/1/2003, the interviewer asks about the most recent occurrence of the shock. If the interviewer gets an answer that the SHOCK did not happen during the investigated period of this survey (for example in 2002), then him/her moves on to the next shock.

Question (4): **Which of the household members were affected by the (..Name of the shock..) shock?**

The purpose of this question is to collect personal information on people that were directly affected by the incident. The interviewer is reminded that this question only requires information about at most 2 people. If the shock had impacts on more than 2 members, only ask the question to 2 people that are most affected. For people who died before the age of 15, interviewer must ask questions about age, gender, relationship with the head of the household, and code of the mother since these information about the deceased was not collected in part 1 of the questionnaire.

For all cases, after asking question (4), continue to ask question (5).

Question 5-8: These questions ask about the direct consequences and impacts of the incidents on the household, which was described by the respondent. It is important for the interviewer to remember that each time a question is asked, the name of the shock must be clearly stated, instead if being mentioned as SHOCK in general, so that to help the respondent relate to the incident.

Question 5**: Did the shock cause any material loss?**

Here, the purpose is to understand the situation in that the respondent's assets were damaged or lost under the impacts of the SHOCK. A few examples: personal assets damaged in riots/robbery, house damaged because of earthquake or flood, cattle loss because of pest infection. The interviewer has to make sure that the loss in this question does not include assets that the household had to sell to recover from the shock. For example, if the household sold the land to build a house after an earthquake, then the question is about the loss of the house that had to be rebuilt, not about the land that was sold. For households that have experienced the loss or damage in assets, they are required to make an estimation of the total money value of the loss and damage. The household's assets include those for consuming and those for manufacturing. The value of the loss also includes the production cost that the household has lost. For example, if a flood caused a loss in breed, fertilizer, production tools, the value of these loss will be calculated when estimating the loss caused by the shock in this question.

Question 6: **Did the shock cause the household to spend more on medical cost?**

These are the expenditures *directly related to the SHOCK*, not usual spending of the household for medical care. For example, those expenditures do not include medical cost that a sick person has to spend on a constant basis, for example skin related diseases which was not caused by a shock in health, or inoculation cost for children. However, these expenditures may include cost for a recently discovered HIV infected. They also include costs for injuries caused by landslide. Moreover, cost for pain reliever used for injured person should also be taken into account since the cost is a consequence of the incident stated above. For households that had to bear this kind of cost, ask them to estimate the value. If they had to pay for the cost, but had not finished making payment, then ask them to estimate the total amount (those that have been paid and those still owed).

Question 7: **Did this shock make the household spend in anything else?**

These are the costs that are parts of the household's constant spending, but they are *related to the above SHOCK*. For example: expenditures for essential goods, like purchased battery as a result of power failure after an earthquake, unofficial payment or other spending that the household had to paid in order to be taken care of in the regional medical care center, special kind of pesticide to eliminate pest infection that had not been foreseen. For household that had this kind of costs, ask them to estimate the total amount in money value. If they had to pay for the cost, but had not finished making payment, then ask them to estimate the total amount (those that have been paid and those still owed).

Question 8: **Did the shock cause any serious injury, illness or death?**

These are incidents like injury, illness or death that are considered by the household as direct consequences of the SHOCK. This question is not required for households that have listed such SHOCKS in the Types of Shock in question (1). Note that if those have been crossed or blackened, this question will not be asked.

Injury means a person has to suffer from pain as a result of an incident or accident that can happen in any environment or condition. For example, a farmer cuts his hand or a kid falls down from the tree, or a woman gets burn while cooking. This can result in injury, illness and/or death.

These are main types of injury:

- Traffic accidents (people riding or driving bicycle, motorbike, car, truck) or pedestrians.

- Falls: Falls can happen in all situations, most popularly at home, but can also be at school, office or on the street.

- Food poison (accidentally consume spoilt food, expired medicine, chemical substances like pesticide, herbicide or fruit preserver, snake bitten, complication of drunk, drug usage, or toxic air breathing).

- Fire accident.

- Suffocation (food swallow that prevents breathing).

- Drowns

- Smashing can also be considered injury. It is different from above accidents as it is intentional (a traffic accident is usually unintentional, meaning it was not caused purposely). A smash is considered an injury in this question. It can be the reason for death, and in that case, the incident should be noted as death in this question.

- Suicide is a intentional action. It can be described as a consequence of mental illness and therefore it can be considered as both illness and injury. Suicide is considered death in this case.

- Others, like fighting, falling into water, surgery defects, burn, and electric shock.

Serious illness means not feeling well, according to normal understanding in the field. There are several medical definitions as of when a person is ill, it depends on whether you are a doctor, patient, or care taker.

For households mentioning death, illness or injury as a result of the shock, questions number (8B), (8C), (8D) record the number of household member affected in each case. When asking this question, the interviewer has to be careful to examine if the household has mentioned this in question (8) but also stated “Death, injury or serious illness’ in question (1). Interviewer needs to suggest and ask the household whether a same incident was mentioned twice. To double check, the interviewer has to note this connection in question (8E).

Question (8E) aims at helping the interviewer to avoid double counting the illness, injury or death in two different parts of the survey.

Below are illustration examples for situation (1) and (2) described above. Assuming that there was a household experiencing drought, having a member who got leg broken and died. In question (1), they have answered “YES” in three different lines (drought” and “serious injury or death”). When interviewer asked question (8) about drought, he/she realized that the leg broken was caused when the person was trying to dig a new well not in use for a long time. In this case, the answer for question 8E is ‘YES’. And the interviewer also has to examine the calculation of the loss caused by the drought, which include expenditures for the injury. However, there is no need to answer questions (5)-(26) for the “serious injury” regarding this accident.

Question 9-22: Normally a household has to suffer from consequences of the SHOCK. Questions 9 to 22 aim at understanding methods that individuals or family members have taken to recover from the shock. For example, a flood destroyed a house and the family members had to buy a new house or move into another place. This is an illustration of the losses that they had to suffer and we want to know how and which sources did the family use to overcome consequences caused by losing their house or having to move.

Information collection period

The information collection period for question 9 to 22 is from 1/1/2006 to the time of interview.

Question 9: **Is the illness acute or chronic?**

- **Acute** means the diagnosis of the disease progress very fast.

- **Chronic** means the disease is persistent and lasting. If the patient slightly recovers, then gets infected again, with the same disease, then the disease is chronic.

It is possible that the respondent does not know how to answer the question (e.g., he/she has never examination, or does not know the name of the illness). Is such case, the interviewer records “Do not know” for this question.

Please follow the instruction in the below table

Use directions in following table:

<u>SOME OF THE COMMON ACUTE DISEASES</u>		
DIPTHERIA	ACUTE DYSENTERY	DIARRHOERA
POLIO	ACCUTE PROBLEMS WITH RASPIRATION	TETANUS POLIO
RABIES	APPENDICITIS	ACUTE TONSILLITI
CHOLERA /DIARRHOERA	MEASLES	ACUTE HEPATITIS
FLU (INCLUDING BIRD FLU)	MALARIA	MENINGTITIS
	PETECHIAL FEVER / DENVER FEVER/	
CONJUNCTIVITIS	DENVER PETECHIAL FEVER	ENCEPHALITIS
PARASITICS WORMS	STROKE	ACUTE BRONCHITIS
WHOOPING-COUGH	OBSTETRICAL COMPLICATION/ DIFFICULT DELIVERY	PNEUMONIA
VENEREOLOGY	TYPHOID	ENT INFLAMATION

<u>SOME OF THE COMMON CHRONIC DISEASES</u>	_ _	RENAL CALCULUS
GOITRE – EXOPHTHALMIC GOITRE	TUMOUR / MALIGNANT TUMOUR	ASTHENIC/MALNUTRITION
GASTRALGIA	TUBERCULOSIS	INSANENESS
NEURALGIA	DUODENUM ULCER	ARTHRITIS
MENTAL ILLNESS	OSTEOMALACIA	DIABETES
EPILEPSY	CHRONIC DYSENTERY	CARDIOVASCULAR DISEASE
ASTHMA	TRACHOMA	CANCER
HIV/AIDS	INSOMNIA	ENTERITIS
HIGH BLOOD PRESSURE	LEUKEMIA	HEPATITIS B, C (CHRONIC)
LOW BLOOD PRESSURE	DENTAL CARIES	CHRONIC BRONCHITIS

Question 10: **What is the cause of the injury?**

1) Traffic accidents – happen to the driver or rider of car, truck, seven seat car and bigger, bicycle, motorbike or ferry. For example a child carried on motorbike was hit by another motorbike. Car accident while walking. A pedestrian hit by car while crossing the road.

2) Work accidents: to both children and adults, including accidents happened within working hours for both worker and self-employed people, like farmers and factory workers.

3) Accidents at school (to both students and visitors). Teachers who get injured in school will be considered work place accidents.

4) Accidents at home, meaning injuries occurred at home or near home (back garden, front yard). This type is composed of but not restricted to injury from falling, burn, electric shock, drown, food poison or suffocation.

5) Crime/violence meaning violent actions without a political purpose such as robbery or rape. It is difficult to entice the respondent to mention so the interviewer should be prudent and sensible both socially and culturally. Domestic violation is also covered here and the same prudence as well as sensibility should be carries out.

6) Other accidents means the rest of the injury types.

Question 11: **What is the cause of the death?**

- **Infant death (within 1 month after birth)** – this is the death occurred in the first month after birth; including infants that died in or after birth and also include stillbirth (the child died inside the mother's stomach or during birth and was taken out of the mother's stomach after death).

- **Maternity death** – during pregnancy, abortion or delivery (including the mother's death within 6 weeks after delivery)

- **Transmissible diseases** – interviewer has to ask if they know the name of the disease and use the followed table to classify the disease. If the respondent dose not know the name of the disease or if they are infectious or transmissible (including virus infection), interviewer records the cause of the death as "Do not know".

TRANSFERABLE DISEASES/ INFECTIONS INCLUDING			
DIPHTHERIA	WHOOPING-COUGH	MALARIA	MENINGITIS
POLIO	TUBERCULOSIS	PETECHIAL FEVER	ENCEPHALITIS
RABIES	DYSENTERY		
CHOLERA / ACUTE DIARRHEA	PROBLEMS WITH RASPIRATION	DIARRHEA	BRONCHITIS
FLU (INCLUDING BIRD FLU)		TETANUS	PNEUMONIA
HIV/ AIDS	MEASLES	HEPATITIS	ENT INFLAMATION

Death of non-transmissible diseases - interviewer has to ask if they know the name of the disease and use the followed table to classify the disease. If the respondent dose not know the name of the disease or if they are infectious or transmissible (including virus infection), interviewer records the cause of the death as "Do not know".

COMMON NON-TRANSFERABLE/ NON-INFECTIOUS DISEASES			
GOITRE-EXOPHTHALMIC GOITRE	HIGH BLOOD PRESSURE		ASTHENIC/MALNUTRITION
SUDDEN DEATH	LOW BLOOD PRESSURE		STROKE
GASTRALGIA	MAGLINANT TUMOR/TUMOR		MAD
MENTAL ILLNESS	MENTAL DISORDER		DIABETES MELLITUS
EPILEPSY	INSOMNIA		HEART DISEASE
ASTHMA	LEUKEMIA		CANCERS
	APPENDICITIS		CHRONIC BRONCHITIS
COUGHING WITHOUT A FEVER			

- **Accidents, injuries, food poison**: As explained in question (9).

- **Suicide (by any method)**. The possible methods are drug abuse, drown or others. The important point here is that the action is self-directed and not caused by violation or obligation.

- **Natural death (over 70, cause not identified)**. Here we mention a person with a natural death because of old age. The number 70 is just for suggestion.

- **Other, please explain**. If it does not fit into any option in the above list, briefly describe the reason of the death.

- **Do not know**. There are chances that the respondents do not know about the reason of the death.

<u>Question 12</u>: **Did your household receive any assistance from non-government organizations' schemes to recover from the shock?**

Interviewer has to explain the definition of "assistance" for the respondent. Assistance here means providing subsidy or help to any of the household members and it may be in the form of food, goods, services, money or other forms of assistance that the individual has received.

<u>Question 13</u>: **Did your household search for assistance from Government's scheme to recover from the shock?**

It is necessary to make sure that the respondent is referring to g\Government's schemes. There are two main schemes: National Poverty Reduction Strategy and Natural Disaster Prevention Foundation.

There are chances that the respondent will not know exactly what the name of the schemes is or who is the sponsor for that scheme. In this case, simply ask about practical benefit that the scheme brought about and fill in the correspondent blank.

Question 14: **Which schemes did your household seek for assistance from?**

This question is about particular Governmental schemes that the respondent received help from.

There are two main schemes: the Nation Poverty Reduction Strategies and Natural Disaster Prevention Foundation. Interviewer should note that the national Poverty Reduction Strategies provide assistance in four composing parts (credit, vocational training, free insurance issuance, and tuition fee waiver).

It is necessary to examine whether there are any schemes that the household received help from, but are not listed, and if so, the name of the scheme will be recorded under the heading "Other, detail description".

If the respondent has heard about other schemes, the interviewer should ask what the name of the scheme is. There are chances that the respondent will not know the precise names or sponsor of the scheme. In such case, simply ask about practical benefits which were brought about instead of asking for details and record in correspondent blank (for example, fee waiver for uniform cost).

Question 15: **Did your household seek out for other assistance to cover the cost and losses caused by the shock?**

The interviewer has to provide examples such as a person asked his/her friend to look after the child when he/she began a new job. Another example is a person in need of shelter as the house has been demolished as the result of the flood. Note that this question also includes monetary and material help (Except for borrowings that will be mentioned in the next questions).

If the answer is “NO”, skip to question 17.

Question 16: **Where did you seek help from?**

The interviewer should mention all sources of assistance and ask the respondent to choose those that reflect their particular situation during the time they suffered form the SHOCK. Interviewer will record the sources that the respondent has chosen. If the respondent named a scheme not mentioned in the list, record and describe in detail the source under the heading “Other, please specify”.

Question 17: **To overcome the shock, did your family…**

(A):…try to borrow?

The interviewer has to define “borrowing”. Borrowing means take a debt or buy food, goods and services on account for consuming or producing. Borrowing is a transaction between a member of the household and one or more people or an organization. Borrowing requires payback and there may or may not be a fixed payment schedule. This question need to take into account all types of borrowing including bank, credit organization, relatives, loan sharks or neighbours.

If the respondent says ‘YES’, move to question 17(B).

If the respondent says ‘NO’, skip to question 19.

The interviewer has to make sure whether the respondent has considered their entire debt proposals, even if he/she was not allowed to take the loan.

(B):… manage to take the loan?
This question if for people that answered ‘YES’ in question 17(A).

Question 18: **From where did your family borrow the most?**

This question is for people who answered ‘YES’ in question 17(A). Read out all the options and allow them to choose one alternative only. Record and briefly describe alternatives that were not mentioned in the list which the respondent has chosen as ‘others’.

Question 19: **Did your family use your savings to cover the losses caused by the shock/incident?**

Interviewer has to define savings if the respondent is not clear about it. CASH (including foreign currency) savings is money that was put away for later use. Another example is when people transfer monthly income into an account or keep at home, not use them for daily expenses. Jewels like gold, silver, gem are not considered savings and will be mentioned in a later part.

<u>Question 20</u>: **Did your family have to postpone your investment because of the incident/shock?**

The interviewer has to define the term 'investment deferment' for the respondent. This can be understood as when an individual had planned to do something to increase his/her wealth but did not manage to make it because of the SHOCK. For example, a farmer might have planned to buy a new tractor or a piece of land, but had to postpone the investing as the result of the SHOCK.

<u>Question 21</u>: **Did you family have to sell assets to cover the cost of the incident/shock, such as house, land, cattle, jewel, or machinery?**

Assets are defined as goods with value owned by an individual such as house, land, cattle, jewel, tools, machinery as well as other valuable goods.

<u>Question 22</u>**: Did your family have to make premature selling of good that the family produce in order to cover the costs of the incident/shock?**

This question asked whether the household had to sell products (agricultural and non-agricultural) prematurely to deal with the SHOCK. The interviewer has to emphasize that the premature selling was not planned beforehand. It is important to recognize the planned premature selling (there are household who always make premature selling of their products because that is how they do business). The question is about the premature selling that was derived in order to cover the losses from the shock. For example, a farmer might have to make premature selling (meaning before harvesting) rice or cocoa with the purpose of paying for the loss caused by the SHOCK.

<u>Question 23</u>: **Did your family have to mortgage your property in order to cover the cost of the incident/shock?**

The interviewer has to define 'mortgage' for the respondent. 'Mortgage' is defined as the act of using land, cattle, jewel, machinery or production tools as secure in exchange for a specific amount of money, goods or services, while he/she keeps the right of buy back those properties in a specified period of time. The interviewer should note the different between mortgage and a deed of trust. The use of goods and assets as secure to borrow money, the household only have to give ownership documents and therefore they can still use those assets. On the other hand, in the case of a deed of trust, the borrower cannot use the assets during the time of borrowing.

<u>Question 24</u>: **Among all the above actions (borrowing, use of savings, investment deferment, selling of assets, premature selling of product, and mortgage), which was the most important method to help the household overcome the shock?**

This question is to examine people who answered ‘YES’ more than once from question 14 to 20 since we want to compare which is the most important action to overcome the shock. This requires the respondents to choose one option only. This question may be ignored for those who answered ‘NO’ for all questions from 17 to 23. Instead, move to question 25.

<u>Question 25</u>: **Did your household have to cut on your consumption in order to overcome the shock/incident?**

[A]: The interviewer has to provide the respondent with examples about cutting on consumption on goods such as they stop buying milk as they cannot afford it as a result of the shock.

If ‘YES’, move on to question 25(B). If ‘NO’, skip to question 26.

[B]: Ask the respondent what they did in order to overcome the shock. The interviewer has to read out all the alternatives to the respondent.

Examples on FOOD that they have to cut on include rice, milk or any other food. Examples on NON-FOOD GOODS or SERVICES include machine, tuition fee and contributions to school, recreational activities as well as other activities/categories.

<u>Question 26:</u> **In the worst time of the incident/shock, at what level that your family was affected?**

This question is to measure the respondent’s own perception about the impact of the shock on the well being of the household. It is important here to emphasize that this only considers economic aspect. For the purpose of the survey, we only take into consideration the perception of the respondent at the worst time when they experienced the shock. The interviewer must not give opinion about the viewpoint of the respondent.

PART 10B. FUTURE SHOCKS

This part only has one question.

<u>Question 1</u>: **Do you think in the next 5 years (beginning 2009) these incidents/shocks will happen?**

The purpose of this question is to understand the point of view of respondents about the potential of SHOCK in the next 5 year. Shocks are defined as in part 4A. Even when a shock is of a sensitive matter, the interviewer should assure the respondent that as nobody can be sure about what will happen in the next 5 year, we are only asking about your ‘expectation’. Moreover, assuring the respondent that nobody wants a shock to happen, but we want to know what kind of incidents that you are worried to be happening in the community.

The interviewer should give examples to illustrate potential incidents like: ‘Do you think price of fertilizer like urea or NPK in the next 5 years will change or be stable?’ Or ‘Do you think that job seeking will be easier or harder?’ The purpose is to examine the respondent's opinion about the chance of occurrence of each SHOCK and therefore there is no right/wrong answer. Sensitive shocks like accidents, illness or death will not be asked in this part.

The interviewer begins by **mentioning each shock**, one by one till the end of the list. Read out all the choices for question 1 and let them choose only one alternative.

PART 10C: DISEASE PREVENTION

This part has 4 questions and the purpose is to study the use of mosquito-repellent chemical absorbed net. The mosquito prevention net is provided to prevent flies, mosquitoes, and insects that can carry dengue-fever virus.

***Question 1*: Do your family use mosquitoes prevention net?**

If the answer is 'NO', move on to question 3.

***Question 2*: In the past 12 months, has there been any of your family members sleep without mosquito prevention net even for one night?**

The interviewer has to make sure that the respondent only recall the period of recent year (past 12 months). If there has been any of the household members sleep without mosquito prevention net, it is considered non usage of the net.

If the answer is 'NO', move on to question 4.

***Question 3*: Why has there been a family member sleep without mosquito prevention net?**

Read all the options for the respondent to choose. If the respondent mentioned a reason that is not in the list, then the interviewer will take note and describe under the heading "Others".

***Question 4*: How much has your family spent on buying mosquito prevention net and other mosquito prevention tools in the past 12 months?**

It is very difficult to have a precise number of how much the household have spent in mosquito prevention and mosquito repellent chemical for net. The interviewer has to require the household member to estimate approximately and record. Once again, it is necessary to make sure that the spending is only in the past 12 months.

The interviewer has to make sure that the respondent understands the question about the mosquito prevention net, mosquito repellent chemical for nets, and other mosquito prevention tools. These mosquito prevention tools and nets, racquets that the household have received from subsidy is not counted as a cost in this question.

PART 10D. ACTIVITIES PARTICIPATION

In this part we want to study the respondent's understanding about schemes or projects (sponsored by government or non-government organizations) and whether they have received any assistance from these schemes since January 2006. In part 4(A) we have mentioned those schemes and the assistance that the household have received are related to the shock. The questions in this part consider the past 2 years regardless the household experienced the shock or not.

<u>Question 1</u>: **Have you heard about the [NAME] scheme?**

The purpose here is to understand whether the respondent knows about the existence of the SCHEME. The respondent may have heard about it, even when the scheme is not available in the respondent's region. The respondent does not necessarily know so detail of the scheme but only its existence. The answer is 'YES' or 'NO'.

There are two main schemes: the Nation Poverty Reduction Strategies and Natural Disaster Prevention Foundation. Interviewer should note that the national Poverty Reduction Strategies provide assistance in four parts (credit, vocational training, free insurance issuance, and tuition fee waiver). If the household is categorized as poor according to the scheme, they will receive these aids.

If they have heard about other schemes, ask them what they call those schemes. There are high chances that they do not know the name of the scheme and its sponsor. In that case, simply ask them about practical benefits that they provide and record in corresponding blank.

<u>Question 2</u>: **Since 1/2006, has there been any member of your family receive assistance from the scheme?**

When we talk about ..**assistance**.., we are referring to money or goods, including but no limited to money, foods, tools, stationeries, services.

The answer is 'YES' or 'NO'.

<u>Question 3, 4:</u>

The purpose is to collect information about whether the household know how much they can receive and the actual amount that they received and we can evaluate the transparency and corruption in these schemes.

<u>Question 5</u>: **Compare to before the assistance, do you think that the schemes have:**

This question is only for people that answered 'YES' in question (2) and the question about SCHEMES that they have received assistance from.

…Before receiving the assistance may be any time before that. If the respondent asks for instruction, you can suggest him/her to think about 1 month before receiving the assistance.

PART III. COMMUNE QUESTIONAIRE

Introduction

Purpose

This manual is designed to help the interviewer understand the content and how to collect information in the commune questionnaire. The data collected from the commune, along with those from the households, are expected to give an overview of living standard.

Content and method of data collection

There are 10 parts in the commune questionnaire.

Section 0: Background

Section 1: Demographic features and overall situation

Section 2: General economic situation, and supporting programmes

Section 3: Non-farm employment opportunities

Section 4: Agriculture and land categories

Section 5: Infrastructure

Section 6: Education

Section 7: Health

Section 8: public order, and social issues

Section 9: Credit

Information is collected from direct interviews with commune officers, headmasters/deputy headmasters of commune schools, clinic officers, leaders of the commune/commune where some households are selected to take part in the survey, and other responsible people in the commune.

Interviewer, respondent and data collection

The team leader is responsible for this questionnaire.

Respondents may come from various backgrounds, including commune leaders like chairman, vice chairmen, police chief, statistical officers, chairmen/vice chairmen of the cooperatives, and leaders of communes/communes where households are selected for the survey. The interviewer may ask all or some of the respondents to seek the answers to some questions or parts of the questionnaire.

The interviewer needs to consult with responsible persons in the commune to make a list of respondents, questions/sections to focus on, and tentative interview schedules.

However, the best way is to ask the commune leaders – Chairmen or Vice Chairmen – to hold a briefing session in which the participants will be informed of the purpose and significance of the survey and the questionnaire; and interviewers can ask some questions and arrange time for the interview.

There are some questions that interviewers should give the interviewees in advance so that they will have time to prepare. The interviewer is obliged to be punctual at the interview.

When it comes to the three most important options, the interviewer should not take note of all the answers in the questionnaire until the respondent finishes the question and chooses, say, three major problems facing the commune health center. This will help avoid corrections of the text in the questionnaire.

Always keep in mind that all the information and data collected must be kept confidential.

Questionnaire design and fill in procedure

Commune questionnaire design and note-taking adhere to the same principles as in the household questionnaire, which is clearly explained in the manual.

GUIDLINE OF DATA FILLING IN COMMUNE QUESTIONAIRE

Cover page

Name of the province/city, district/town, commune: Write in block capitals

Code of the province/city, district/town, commune: Write the zip code provided by the central government in the box

The codes of province/city, district/town, and commune correspond to the List of Vietnam's Administrative Units.

Write the date of interview at the end of the cover page, and the date when the Chairman of the commune signs and seals to certify information collected in the questionnaire. Dates are written in the two-digit format.

The questionnaire will be processed only when the team leader has already signed, and the Chairman of the commune has signed and sealed to certify.

SECTION **0. BACKGROUND INFORMATION**

Purpose

This section is designed to collect the respondent's identification information from Part 1 to 9 of the questionnaire.

Method of data collection

This section can be filled out at different times, seeking answers to all the questions from 1 to 10 in one section or part of the questionnaire.

Question 1 to 3. The respondent's name must be written in block capitals, and his or her age is based on Solar Calendar, and rounded up to the year.

Question 4. The respondent claims, and the interviewer matches it with the code of nationality.

Question 5. Years of residence will be rounded up. If the respondent has lived for 6 months in a year, round it up as one year. In case of discontinuous residence, years of residence are the combined periods.

Question 6 and 7. The highest position or current title of the respondent in the government agencies, party organizations, mass organizations, socio-economic institutions at the commune level; and the time he or she has held that position or title.

Question 8. Write the position or title that he or she had before holding current positions and titles. In case he or she did not hold any title or position in the commune, mark it as 10.

Question 9. Write the certificates or degrees the he or she has been granted after training. In case of various certificates and degrees, just take note of the highest degree.

Question 10. Write down the grade he or she finished at secondary or in-service schools (from grades 1 to 12)

SECTION 1. DEMOGRAPHIC FEATURES AND GENERAL SITUATION

Purpose

This section is designed to collect basic information on demography, ethnicity, religion, geography and the category into which the commune falls (if any).

Method of data collection

Question 1. Write down the natural area within the commune's administrative border in square meter.

Question 2. Write down the number of hamlets at the time of interview.

Question 3. Write down the number of households registering permanent residence in the commune at the time of interview.

Question 4. Write down the number of households registering temporary residence in the commune at the time of interview.

Question 5. Write down the number of households registering temporary non-residence at the time of interview.

Question 6. Write down the number of people living on a permanent basis in the commune at the time of interview, including newly-born babies from households registering permanent residence. Exclude those permanent residents that are dead.

Question 7. Write down the number of people registering temporary residence in the commune at the time of interview, including those who live in households registering either temporary or permanent residence.

Question 8. Write down the number of people registering temporary non-residence, including those who come from households registering either temporary non-residence or permanent residence.

Question 9 and 10. Write down the number of people who have moved to and away from the commune in the last 12 months, including those who register temporary and permanent residence.

Question 11. Write down the code of ethnic groups in order of importance. In case there are various groups in the commune, choose the three main groups, starting with the most populous group, followed by the less populous ones.

Question 12. Write in the same way as in question 11:

- *Buddhist*: a Buddhist follower who has taken refuge in the Buddha or was granted a memorial.
- *Christian:* a person who claims to be a Christian and was christened.

- *Protestant:* a person who claims to be a Protestant and was baptized.
- *Cao dai:* a person who claims to be a Cao dai and was granted a memorial.
- *Hoa hao Buddhist:* a person who claims to be a Hoa hao Buddhist and was granted membership card. His or her own family worships to Tran Dieu and/or Huynh Phu So.
- *Islamist:* a person who claims to be an Islamist, Cham Bani.

In case there is no religion in the commune, mark it as 8 in the first column. If most of the population in the commune are not follow any religion, then write code 8 in the first column and code of each religion in following columns as base on priority of people followed.

Question 13. Identify the geographical region to which the commune belongs based on legal documents by the government, province or district. If there were no such legal documents, ask the respondent which geographical region the commune has been identified with. A coastal commune refers to those that have border adjacent to the sea.

Question 14. Communes under Programme 135 as provided in the Decision 135/1998/QD-TTg dated July 31st, 1998 by the Prime Minister on the approval of socio-economic development programme for communes under difficult circumstances in the remote and mountainous areas.

Question 15. Collect information based on the legal documents by, among others, the Government, or Ethnic Minorities Council.

SECTION 2. GENERAL ECONOMIC SITUATION AND SUPPORTING PROGRAMMES

Purpose

This section is designed to collect basic information on the economic picture of the commune, for example, major sources of income, changes in living standards, on-going programmes and projects, natural calamities, fires and epidemics that occurred in the last 12 months, supports and relief

Respondent

The respondent is the Chairman or Vice Chairman of the commune.

Method of data collection

Question 1. Ask about the three main sources of income of the residents, and request the respondent to arrange these sources in order of importance.

Question 2-3. Compare the current living standard with that of five years ago, and ask why the living standard has been improved or worsened. The answers may or may not match the options in the questionnaire. The interviewer is required to find answers that are most relevant to the listed codes, and write them down in the questionnaire.

Question 4-5. These are programs and/or projects that have been implemented by the government or national and international organizations, non-governmental organizations in the commune in the last three years.

Question 6. The number of poor households is based on the criteria on poor evaluation of the Government in period 2006-2010:

- Rural area: 200.000 VND per capital/month, as 2,400,000/capital/year
- Urban area: 260.000 VND per capital/month, as 3,120,000/capital/year

Question 7. Write down the number of households or people receiving assistance or benefits in 2007 provided by poverty reduction and other programmes. Note that "exemption/remission" refers to the possibility of fulfilling no or part of an obligation, for example, tuition fees, hospital fees, and income tax. In some places, households that are certified by the People's Committee as poor will enjoy the exemption or remission of hospital fees.

Question 8. Ask about natural calamities, fires or epidemics that occurred in the commune in the last three years.

Question 9-15. Ask about natural calamities, fires or epidemics that occurred in the commune in the last three years, starting with those that happened recently. If there were more than five cases, choose the five biggest ones. Convert relief or assistance in kind into monetary value at the time of reception.

SECTION 3. NON FARM EMPLOYMENT OPPORTUNITIES

Purpose

This section is designed to collect basic information on employment opportunities offered by businesses, factories, workshops, cooperatives, service providers, and trade commune in or around the commune where workers can travel to and from work every day.

Method of data collection

Question 1. Ask about businesses and service providers or trade communes where residents can travel to and from work every day, regardless of whether they employ inhabitants in the commune or not.

Question 2. Ask about the number of businesses, service providers and production units located in the commune, for example, enterprises, factories, workshops, cooperative, etc.

Question 3-4. Trade village is the one where at least 50% of the workers from the commune are involved in a non-agricultural, forestry or fishery field of work, with the output becoming commodities. This field of work must contribute to at least 50% of the commune's income. These fields of work have been passed down over generations or established since 1986, for example, weaving, agricultural processing, and handicraft villages. Match them with the codes in the list of the traditional handicraft villages. If there are more than three trade villages, choose the three main ones based on the number of employment and years of operation.

Question 4a. Ask the method of waste procession of trade villages in the commune. Write 3 method as important priority into activities which have processed waste mostly.

Question 5. Ask about businesses and service providers or trade villages where residents can travel to and from work every day, regardless of whether they are located in the commune or not.

Question 6-12. Ask for information about businesses and service providers or trade communes where residents are employed, and can travel to and from work every day. If there are more than five, choose the five businesses, production units or service providers that employ the largest number of commune's workers. Write down their names in the Name column. Identify their trades and codes based on the list of national economic sectors.

SECTION 4. AGRICULTURE AND LAND CATEGORIES

Purpose

This section is designed to collect information on agricultural production, product sales, land and agricultural extension services in the communes.

Method of data collection

Question 1. Identify the shift in the economic structure in comparison with five years ago, and check whether the value of agricultural output has increased, or decrease, or remained constant.

Question 2-8. Ask about the five main crops that are planted in the commune, based on their acreages, and match them with the Code of Species. Information that needs to be collected includes the number of harvests in a year (only applicable to annual plants); changes in the cultivated areas; yields and productivity in 2003 in comparison with those of five years ago; and reasons for changes in the cultivated areas and yields. In case various reasons are given, just choose the three main ones and write them down in order of importance.

Questions 9-14 focus on the product sales of the five crops listed above.

Question 9. Ask whether products of these crops are sold in the commune.

Question 10. Based on the answer above, the interviewer matches the code of buyers/purchasing units. If there are more than two buyers/purchasing units, just choose the two main ones based on the frequency of purchase.

Question 11-12. Ask about the buyer/purchasing unit listed in the first column in question 10.

Question 13. The interviewer is required to match the buyers/purchasing units with the appropriate codes upon receiving the answers. Pre-harvest fixed price is the one at which that the buyer/purchasing unit decides to buy the product before the crop is harvested, for example, buying litchi when the trees are in blossom. If there are more than two forms, just the two main and write them down in order of importance. Mark it as 1 in the first column if the buyer/purchasing unit does not provide any support.

Question 14. This question includes also buyers/purchasing units to whom residents have not sold their products, but they will if they want.

Question 15-17. Ask about the areas in which crops were planted in the commune in 2007, including information in land area and irrigated land (annual and perennial trees).

Question 15. In case there is a part of land area in the communal land fund then base on the using purpose of this rental land to allocate into communal land fund. .

+ Agricultural land

+ Area for fish farming

Total natural area of the commune = + Forestry land (question 1, section 1) + Residential land

+ Specialized land

+ Unused land

Specialized land: is used for non-agricultural, forestry, fish farming and residence purposes, including land for the construction of industrial, scientific and technological facilities; transportation network; irrigation system; dikes; cultural, social, health and sport facilities; national security and defence establishments; and mining. This category also includes land used to exploit minerals, stone, sand; to produce salt, ceramic items, tiles, bricks and other construction materials; to build graveyards; and serve other non-agricultural and –fish farming purposes.

Unused land refers to the one that has not been defined for agricultural, fish farming, and forestry purposes; that has not been defined for residence, special use; or has not been allocated by the government to households, organizations or individuals for long-term use.

Question 18-19. Ask about the availability of land in 2002, including information on the acreage and percentage of irrigated land (for annual plants and perennial crops)

Questions 20-24 focus on the land-use rights certificates (Red Books) for the cultivated areas of annual plants, perennial crops, or for fish farming, forestry and residence purposes.

Question20. Ask about the percentage of land categories to which land-use rights certificates have been granted by the time of interview.

Question 21. Ask about the reasons why land-use rights certificates have not been granted. If there are more than three reasons, just choose the three main ones and write down in order of importance.

Question 22. Write down the year when new land-use rights certificates were most granted. In case the certificate is granted again, and there are changes in the land category, acreage or location, this is considered as new land-use rights certificate.

Question 23. Write down the times when land granted with use rights certificate was transferred in 2007.

Question 24. Ask about the main reasons why households bought the land-use rights in 2007.

Question 25. Write down the average wage per day of one farmer who is at least 15 years old, and children under the age of 15.

Question 26-33. Ask about activities by agricultural extension centers/units in the commune or those nearest to the commune where there are such no centers. Question 33 focuses on the times when extension officers had direct contacts with farmers in the commune in the last 12 months.

Question 34-35 These are vets and psychopathologists under the commune's management.

Question 36. Ask about poultry and livestock protection services providers in the commune. If there are more than three providers, just choose the three main ones and write down in order of importance based on the kinds of services provided. If there is no service provider, just mark it as 1 in the first column.

Question 37. Identify the biggest problems facing farmers in agricultural production. Write them down in order of importance.

SECTION 5. INFRASTRUCTURE

Purpose

This section is designed to collect information on the infrastructure, clean water supplies, and other infrastructure development projects/programs that have been implemented in the last 10 years

Respondent

The respondents are commune officials and other officers from targeted communes.

Method of data collection

Question 1-3. Ask about the road accessible to the commune People's Committee by car. Those communes that have the road where cars can access to their People's Committees belong to this category. The road also includes bridges and locks. As a result, communes that have roads where cars can not access to People's Committees in the absence of bridges and locks do not belong to this group. Take into account also communes that have ferries to carry cars in place of bridges.

Questions 2-15 are aimed at communal subdivisions.

Question 4-7. Ask about roads that are accessible for cars or nearest to the hamlet.

Question 8-10. Ask about the waterway that runs through, or is nearest to the hamlet.

Question 11-13. Ask about the routes where cars, ships and boats specialize in carrying passengers to and from the hamlet or a bus stop nearest to the hamlet.

Question 14-15. Ask about the motor vehicles that carry passengers to and from the hamlet on a temporary basis.

Question 16. Communes having access to electricity are those that have over 50% of households using electricity in their daily lives and production supplied by the national grid, local power generators, private power generators and small-scale hydro plant. Exclude those families that use batteries

Question 17. Communes whose electricity is supplied by the national grid.

Question 18. Cultural and post offices are those that provide not only postal services but also other facilities, for example, reading rooms, educational documents, entertainment; and are recognized by VNPT.

Question 19. Cultural house is the place or complex where local residents' meetings, recreational activities, entertainment, sport events, cultural performance, etc., take place.

Question 20. Commune's radio system is the one that transmits reports, national and international news.

Question 21. These are public utilities directly managed by the commune, cooperative, production groups, or individual households, for example, small-scale pumping stations, and lock gates, etc.

Question 22. Ask about commune and inter-commune markets.

Question 23. Ask to identify main sources of drinking water by seasons mainly based on the duration and volume of water supplies.

Question 24-30. Ask for information on public utilities located in or nearest to the hamlet. Wholesale markets are those that were established for wholesale purposes only. Post offices include ordinary and cultural post offices in the commune. Bypass line 9 when it comes to communes in the major cities like Ha Noi, Hai Phong, Da Nang, Can Tho and Ho Chi Minh City.

Question 31-39. Ask for information on the infrastructure development projects/programs that have been implemented in the commune in the last 10 years, starting with the latest one. If there are more than 10, just list and choose the 10 biggest projects/programs which are designed for public purposes, and partly financed by households of the commune

SECTION 6. EDUCATION

Purpose

This section is designed to collect information on primary education (school facilities, class attendance, and educational problems), and on kindergartens and pre-schools of the commune where households are interviewed.

Respondent

The respondents are officers from the commune departments and divisions, especially school headmasters and deputy headmasters, and hamlet leaders.

Method of data collection

Question 1-7. Ask about all types of school located in the commune.

Regular education foundation include:

- Regular education centers which are organized at district and provincial level.
- Communal training centers which are organized at level of commune, ward, town

Question 6-12. Ask about schools/school affiliate where local children are attending, including those schools/ school affiliate in the commune or nearest to the commune where hamlet children are attending. Write down the names and codes of primary schools, excluding kindergartens and pre-schools.

- Schools are those where the Boards of Management are based.
- School affiliates and classes established far away from the headquarter to make it easier for pupils to attend due to the geographical conditions, and directly managed by the school.

Coding

- Encode primary schools (three at the most) from 10. For example, the first school is marked as 10, the second as 11, and the third as 12.
- Encode secondary schools (two at the most) from 20. For example, the first school is marked as 20, and the second as 21.
- Encode high schools (only one) from 30.
- Primary and secondary schools are marked as 40.

- Secondary and high schools are marked as 50.

Marking an inter-school also means marking the two schools at their respective levels. For example, marking a primary and secondary school means that one primary school and one secondary school have been marked, and thus adding two more primary schools (if any) and one secondary school (if any).

Question 13-14. Write down the number of children at or beyond schooling age in the commune that do not go to school or have dropped out in 2007, and the reasons for their absence or drop-out in order of importance.

Question 15. Ask the respondent to identify the three biggest problems (at the most) based on their impacts on education facing different levels of school.

Question 16. Ask to clarify if there have been any literacy programmes implemented in the commune in the last 10 years, which target those aged between 15 and 40. A distinction should be made between these programmes and the primary education compulsery programmes that focus on children aged between 6 and 14.

Question 17. Ask when the literacy programme started for the first time, if any, including those starting even more than 10 years ago.

Question 18-20. Ask about the literacy programme that was implemented in the commune in 2007, and write down the number of enrolments and girls/women benefiting from the programme.

Question 21. Ask about the kindergartens of the commune, which belong to the pre-school system, and are responsible for taking care of children aged between 3 and 36 months. These kindergartens may take various forms – public, semi-public, private, and family-managed. Family-based kindergartens are those legally established by individuals to take care of many children in one family.

Question 22-25. Ask for information on kindergartens/family-based childcare groups in the hamlet, if any.

Question 26. Ask about the kindergartens of the commune where children aged between 3 and 5 attend.

Question 27-30. Ask for information on the pre-schools (if any) of the hamlet.

Note: Pre-schools refer to both kindergartens and nursery schools. In that case, both the kindergartens and nursery schools are counted. The interviewer is required to ask for information on the children attending these two types of school to write down on the questionnaire.

Question 32. The main source of water used in schools in the commune, based on the volume of using water.

Question 33. the method of processing water of schools in the commune

Question 34.Type of latrines mainly used in commune schools.

SECTION 7. HEALTH

Purpose

This section is designed to collect basic information on health, individuals and organizations that provide health services to local residents.

Scope

Information will be collected within or outside the commune, and related to the medical care and health of local residents.

Respondent

The respondent may be Chairman or Vice Chairman of the commune, or a health officer.

Method of data collection

Question 1. Diseases of particular concern include those that require investment in the tools and facilities to be prevented, for example, epidemics that cause serious or fatal damage on a large scale, or transmitted diseases, etc. Encode the three most concerned diseases in order of importance. If there is no disease of concern, mark it as 17 in the first column.

Question 2. If there has been at least one resident that do not use services provided by the commune health center in the last 12 months, mark it as 1 and ask for reasons.

Question 3. This question focuses on the patient to check why he or she have not used services delivered by the commune health center, and choose the three biggest reasons to write down in order of importance.

Question 4. Ask about major difficulties facing the commune health center, and write down the three biggest ones in order of importance.

Question 5. Ask if most of the women give birth at home or the health center.

Question 6-9. Ask for information about individuals and organizations that provide medical services to local residents. In case there are many providers of the same service outside the commune, ask about medical service providers that are nearest to the commune, and serve local residents. In case there are many providers of the same service outside the commune that local residents do not often or never resort to, just ask about the nearest ones.

Question 11. Health center of national standard is the health center with the certificate of national certificate as criteria of MOH

Question 12. Main source of water used in health center, base on the volume of used water.

Question 13. The method of processing water of communal health center

Question 14. Type of main latrine used in health center.

Question 15. Health waste classification by quantity of waste (syringe, injection needle, …) as stipulated by health sector

Question 16. Write the method of processing waste which is implemented by health center.

SECTION 8. PUBLIC ORDER AND SOCIAL ISSUES

Purpose

This section is designed to collect information on security and social issues in the communes on which the survey focuses.

Respondent

The respondent could be the Chairman or Vice Chairman of the commune, or a police officer, or a person in charge of labor, invalids and social issues in the commune.

Method of data collection

Question 1. Take note of the three most pressing problems in order of importance based on the number of cases and their impacts of the lives of local residents.

Question 2-3. Write down the number of drug addicts that who are permanent or non-permanent residents, and have been identified in the commune, excluding children under the age of 16.

Question 4. Write down the number of drug addicts what were sent to state-owned, privately-owned or community-based rehabilitation centers to give up using drugs in 2003. Those drug users could quit using drugs on a compulsory or voluntary basis.

Question 5. Write down the identified cases of prostitution in the commune in 2007, regardless of whether the people involved are local residents or not.

Question 6. Write down the prostitutes supervised by commune authorities.

Question 7. Write down the identified prostitutes in the commune in 2007, including non-resident prostitutes.

Question 8. Those who regularly receive social benefits (coming directly from the state budget) include homeless elderly, disabled people, mentally impaired people, and parentless children. Source of subsidization is from state budget.

Question 9. Write big problems of environment which effect to communal living

Question 10. Write number of hamlet which is effected by polluted environment according to local authority assessment.

Question 11. Causes of pollution

Question 12. Waste collectives/ group/team managed by commune/ hamlet

Question 13. number of hamlets have waste collection team, exclude team of hamlet. For example there are 2 teams in the hamlet, it’s considered as that hamlet has waste collection team.

Question 14. Write number of concentrated dump in hamlet area, including dumps of commune or hamlet. … this dump is a area stipulated by hamlet/commune for waste concentration. Exclude small and scattered dump which spontaneously set by some households

Question 15. Write number of hamlet by waste procession methods

SECTION 9. CREDIT

Purpose

This section is designed to collect information on the forms of savings, savings institutions, and how local residents use their loans.

Respondent

The respondent could be the Chairman or Vice Chairman or financial officers of the commune.

Method of data collection

Question 1. Ask about current saving forms of commune population, and write them down in order of importance based on the number of users and value.

Question 2. Include both residents and non-residents that deposit their money in the commune-based savings institutions.

Question 3-7. Ask about the three main savings institutions where local residents can have deposited their money.

Question 8-11. Ask about the credit institutions from which local residents have borrowed money, the distance between these credit institutions and the commune, and the purpose of the loans. If there are many credit institutions of the same kind, ask about the institutions that are nearest to the commune, and provide services to most of the local residents.

Guidance on how to complete the commune questionnaire

Upon completion of each respondent, the interviewer is required to check all the questions that have been raised, ensuring that all the answers are correct. In case an answer is wrong, or irrational, check the corresponding question with the respondent. The interviewer should also thank the respondent for his or her cooperation.

When the questionnaire is competed, the interviewer must have the Chairman of the commune sign and seal on it.

PART IV. REINTERVIEW AND SUPERVISION

1. Purpose:

This is to evaluate errors of information collected in questionaires as well as to evaluate the quality of the survey, gain experience, straighten interviewers perform better in the next interview process

2. Content:

Content of the post interview is to concentrate in some most important qualitative and quantitative information in reinterview questionaire. Beside the content of reinterview questionaire, staffs who work on reinterview questionaire can ask some extra information if necessary. Reinterviewer can meet some local authorities to collect relted information.

3. Timing:

Toget timely experience, reinterview work should be implemented right after begining step to the end of the survey in the field work. The final reinterview should be implemented right after the completion of the survey in the field work.

4. Scope:

Number of reinterviewed households should be at least 10% of surveyed households. Each province randomly choose ½ number of selected enumeration areas (EA), then 3 households in each EA (1 income-expenditure and 2 income questionaires). In the reinterview process, it is necessary that every interviewers should be reinterviewed, both income and income expenditure questionaires. However, the number of reintervied households can be adjusted if some interviewers had faced with more errors, mistake than others.

5. Methodology:

Reinterviewer go directly to selected households and try to meet the same respondents who answered the hosuehold questionaires to ask reinterview questionaire. Reinterviewer will have interview questionaires to compare and clarify correct information with households. In addition, it is necessary to have notebook to take note some issues which is not mentioned in the reinterview questionaire. Reinterviews can be combined with supervision work for completed questionaires.

6. Reinterview force:

Provincial Statistics Offices need to select officers who are professionally proficient, experienced, enthusiastic and responsible. Some good interviewers can be selected for reinterviewer when the fieldwork is completed but they can not do reinterview work in the EA that they interviewed.

7. Data procession:

Discrepancy between interview and reinterview is normal which is caused by many reasons, and can not come to conclusion of right or wrong, after reinterview work of each EA, reinterviewers should have meeting with survey team to discuss about these discrepancies or inconsistencies between interview and reinterview to gain more experience as well as find out the most correct information. In some case, both interviewer and reinterviewers need to revisit households to confirm the data accuracy but that shoul be in sensible way to avoid bad effects to households or fieldworker prestige. In addition, reinterviewer can improve more experience to survey teams.

Errors or mistakes had found as the result of bad interview performance, these interviewers should be mentioned and straighten for their better performance

If that are the conscious mistakes (do not visit household for interviewing household questionaires, do not interview as questionaire, ...) it will depend on their moderation to deal with, from warning to stop their survey work, some even received heavy disciplines if faced with serious mistake ans systematically.

After the completion of one survey period, Provincial Statistics Office collect all reports of reinterviewers and supervisors in a general report which mention all issues and processed in the fieldwork. All reinterview questionaires and reinterview reports will be send to Social and Environmental Statistics department for entrying and processing data.

GSO will organize independent reinterview teams as GSO plan. PSOs will be in collaboration with these teams in assigning assistant staff and creat good condition for GSO team performance.