

# PRE-ANALYSIS PLAN: LOCAL PUBLIC FINANCE AND UNCONDITIONAL CASH TRANSFERS IN KENYA\*

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## **Abstract**

This pre-analysis plan describes analyses to be conducted to estimate the effects of exogenous wealth shocks on local public finance in rural Kenya. I use a two-level randomized controlled trial of an unconditional cash transfer program to poor households meeting a basic means test by the NGO *GiveDirectly*. The two-level experiment varies treatment status at the village level and treatment intensity at the sublocation level, an administrative unit directly above the village level, for over US\$11 million in transfers across 653 study villages. I test whether these wealth shocks lead to greater tax revenue, public good expenditures, development projects and increased public good quality. I also study the effects of the wealth shocks on redistribution and household political attitudes, and whether local fundraising serves as a complement or substitute to other discretionary sources of public good revenue. The pre-analysis plan describes the experiment and data collection, specifies the regression equations I will use to analyze the data and details the construction of primary and secondary outcomes. However, I anticipate that I will carry out additional analyses beyond those included in this plan, and this document is not meant to be comprehensive or preclude additional analyses.

Appendix A: Survey Instruments

Appendix B: Data Management Notes

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# 1 Introduction

## 1.1 Summary

Unconditional cash transfers, whereby recipients can spend the money on products of their choosing, have been growing in popularity as a tool for economic development and poverty alleviation. The appeal of unconditional cash transfers lies in fact that i) they allow recipients to spend money as they find most effective, providing a greater range of options for recipients than in-kind aid programs; ii) they have low administrative costs because there is no need for procurement, training, or monitoring, so a greater proportion of funds can be provided as direct assistance (Margolies and Hoddinott 2015); and iii) existing evidence finds positive benefits for recipient households (Arnold, Conway, and Greenslade 2011) and that households do not spend transfers on temptation goods (Evans and Popova 2014).

However, relatively little is known about the interaction between cash transfer programs and local public finance in developing countries, where informal local institutions can play a key role in both funding and maintaining local public goods. Olken and Singhal (2011) define informal taxation as “a system of local public goods finance coordinated by public officials but enforced socially rather than through the formal legal system,” and provide evidence that informal taxation is economically important, in terms of its incidence on household and impact on local government spending, in a number of developing countries. What happens to formal and informal tax revenues after a large wealth shock (via a cash transfer)? Who (if anyone) pays more in taxes? Is there an improvement in local public goods? And how do households’ attitudes respond to the change in wealth?

This study uses a randomized controlled trial of a unique, large-scale unconditional cash transfer program to investigate the relationship between cash transfers and local public finance in rural Kenya. The NGO *GiveDirectly* (GD) makes large unconditional cash transfers to poor households in Kenya. The magnitude of the transfers is large, around US\$1,000 (nominal) per household, about 75% of annual expenditure for recipient households. GD targets households living in homes with grass-thatched roofs, a basic means-test for poverty. The intervention involves over US\$11 million in transfers and 653 villages in one Kenyan county. Treatment assignment is randomized at the village level, and within treatment villages, all households meeting GD’s eligibility requirement receive the unconditional cash transfer.<sup>1</sup> A second level of randomization provides variation in treatment intensity: sublocations, an administrative unit directly above the village level comprising of an average of ten villages, were randomly assigned to high or low saturation status. In high saturation sublocations, two-thirds of villages were assigned to treatment, while in low saturation sublocations, only one-third of villages were assigned to treatment. This provides additional experimental variation to study spillover effects at the household and village level. (More

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1. This follows GD’s typical operating procedure for lump sum transfers.

details can be found in section 1.3 on the experimental design.)

This document pre-specifies outcome construction and regression specifications that will be used to estimate the effects of wealth shocks on local public finance in rural Kenya. Data come from original surveys of local leaders, households, enterprises and schools, and can be augmented with publicly-available administrative data on development projects and education outcomes. This study will provide evidence of the effects of cash transfers on informal tax revenue, household taxes, enterprise taxes, public good expenditure and projects, public good quality, primary schooling-related outcomes, and household political attitudes and community engagement. I pay specific attention to the role of informal taxation across survey instruments. The unconditional cash transfers from GD to poor households are not subject to direct taxation by the Kenyan government, so one might expect a small increase in overall formal taxation. However, as local leaders will have knowledge of the income increase in their villages, informal taxation may be more responsive. The results from this study will also shed light on the taxation and mobilization capacity of the informal tax system in response to a large wealth shock.

## 1.2 Intervention

The NGO *GiveDirectly* (GD) provides unconditional cash transfers to poor households in rural Kenya, targeting households living in homes with thatched roofs, a basic means-test for poverty. In treatment villages, GD enrolls all households in treatment villages meeting its thatched-roof eligibility criteria (“eligible” households); approximately one-third of all households are eligible. No households in control villages receive transfers. Eligible households enrolled in GD’s program receive a series of 3 transfers totaling about US\$1,000<sup>2</sup> via the mobile money system M-Pesa.<sup>3</sup> This is a one-time program and no additional financial assistance is provided to these households after their final large transfer.

GD’s enrollment process in treatment villages consists of the following 6 steps:

1. Village Meeting (*baraza*): before beginning work in a village, GD holds a meeting of all households in the village to inform villagers that GD will be working in their village, explain their program and GD as an organization. To prevent gaming, the eligibility criteria are not disclosed.<sup>4</sup>
2. Census: GD staff conduct a household census of the village, collecting information on household names, contact information and housing materials. The information on housing materials are used to determine program eligibility.

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2. The total transfer amount is 87,000 Kenyan Shillings (KSH). The average exchange rate from 9/1/14 to 4/30/16 was 97 KSH/USD.

3. For more information on M-Pesa, see Mbiti and Weil (2015) and Jack and Suri (2011).

4. However, the eligibility criteria is not difficult to deduce given that it is publicly observable, and anecdotally many households in the study area are aware of targeting criteria.

3. Registration: Households identified as eligible based on the household census are visited by the registration team. GD staff confirm the eligibility of the household, inform the household of their eligibility for the program and register the household for the program. This is the point at which households learn they will be receiving transfers, as well as the amount of the transfers, the transfer schedule, and the fact that the transfer is unconditional.<sup>5</sup> Households are instructed to register for M-Pesa, a prerequisite for receiving the transfer. Households that do not have a mobile phone are given the option to purchase one from GD staff, the cost of which is deducted from the transfer amount.
4. Backcheck: All registered households are backchecked to confirm eligibility in advance of the transfers going out. This is an additional step to prevent gaming by households and field staff, as the census, registration and backcheck teams consist of separate staff members.
5. Transfers: The cash is transferred in a series of three payments via M-Pesa according to the following schedule: (i) the token transfer of KSH 7,000 (about USD 70) ensures the system is working properly; (ii) two months afterwards, the first lump sum transfer of KSH 40,000 is distributed; (iii) six months after this, the second and final lump sum transfer of KSH 40,000 is sent.<sup>6</sup> Transfers are typically sent at one time per month to all households scheduled to receive transfers.
6. Follow-up: After transfers go out, GD staff follow up via phone with transfer recipients to ensure no problems have arisen. In addition, there is a GD help line that recipients can contact. If GD staff learn that household conflicts have arisen as a result of the transfers, subsequent transfers may be delayed while these conflicts are worked out.

Existing evidence finds positive benefits of GD's program for recipient households: Haushofer and Shapiro (2016) conducted an impact evaluation in 2012 and found recipient households experienced a 61% increase in the value of assets, a 23% increase in expenditures, as well as improved food security and psychological well-being.

### 1.3 Experimental Design

This study is one component of a broader investigation into the general equilibrium effects of cash transfers (the “GE” project) (Haushofer et al. 2014). The GE project takes place in Siaya County, Kenya, a rural area in western Kenya bordering Lake Victoria. Siaya County is predominantly Luo, the second largest ethnic group in Kenya. GD selected both Siaya County and a region within Siaya County<sup>7</sup> based on its high poverty levels and identified target villages for expansion; in practice,

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5. To emphasize the unconditional nature of the transfer, households are provided a brochure with many potential uses of the transfer.

6. If households elected to receive a mobile phone from GD, the cost of this is taken out of the second lump sum transfer.

7. This selection was based on the 2009 Population Census, which occurred prior to devolution and the creation of county governments. Based on 2009 administrative boundaries, the study area consists of 5 of the 7 divisions in

these were all villages within the region that a) were not located in peri-urban areas and b) were not part of a previous GD campaign. This gives a final sample of 653 villages, spread across 84 administrative sublocations (the unit above a village), and 3 constituencies.<sup>8</sup>

We use a two-level randomization in order to generate variation that can be used to identify spillover effects. We randomly assigned sublocations (or in some cases, groups of sublocations) to high or low saturation status. Then, within high saturation groups, we assigned 2/3 of villages to treatment status, while within low saturation groups, we assigned 1/3 of villages to treatment status. As noted above, within treatment villages, all eligible households receive a cash transfer.

The randomization was conducted in two batches based on GD's expansion plans. The first batch included villages in Alego constituency, where GD had previously worked. In Alego, we sought to create saturation groups in which the number of villages in our study was a multiple of 3, if it was possible to combine contiguous sublocations; this also ensured at least 3 villages were in a saturation group. We created 23 saturation groups out of a total of 39 sublocations in Siaya, 11 of which matched directly to a single sublocation. Saturation groups in Siaya had on average 10 villages. We stratified assignment of high and low saturation by the level of exposure within the saturation group (the share of villages involved in a previous GD campaign), splitting the exposure level at the median. We then randomly assigned villages to 3 groups, and randomly assigned these groups to either a) always treatment, b) treatment in high saturation, control in low saturation and c) always control. We randomly generated an order for GD to work in by first randomly ordering the saturation groups and then villages within saturation groups.

The second batch included villages in Ugunja and Ugenya constituencies. GD had not previously worked in any villages in these constituencies, so we did not stratify on any variables for these villages. Given the larger number of villages per sublocation, we also took the sublocation to be the saturation group. We assigned villages to one of three groups, pooled the "residual" villages that were not a multiple of 3, and randomly assigned 1/3 of these to the always treatment group, 1/3 to the treatment in high saturation sublocation group, and 1/3 to the always control group. GD worked first in Ugunja and then Ugenya. We generated a random order within these constituencies by first ordering locations (the administrative unit above the sublocation), then sublocations within the location, then villages within the location. Ordering based on location was used in an attempt to limit gaming by households.

When constructing outcomes, I aggregate to the administrative sublocation, as this is a meaningful unit of analysis, especially for looking at outcomes related to local public finance. When clustering standard errors, I use the saturation group, as this is the highest level of randomization.

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Siaya District: Boro, Karemo, Ugunja, Ukwala and Uranga. The 2009 census lists enumeration areas, which I refer to as villages.

8. 5 villages were dropped after randomization: 4 villages, all of which contained the "Town" in the name, were dropped for being too urban for GD to work in. 1 of these was assigned to treatment, the remaining were assigned to control. The boundaries of one control village were unable to be determined by field staff despite repeated efforts. This was an enumeration area created for the 2009 census that did not correspond to existing village boundaries.

Due to the large number of villages and households involved in the study, GD worked on a rolling basis across villages in the study area following the random order described above. The timing of transfers to eligible households within a village may vary for several reasons. GD generally began sending transfers to eligible households within a village once 50% of the eligible households (as identified via the census) completed the enrollment process. Villages that were above this threshold but in which GD was still working on completing the enrollment of other households would see a difference in the timing of transfers to households. If households delayed in signing up for M-Pesa, this would also introduce delays in their transfers and differences across villages. If households reported issues arising due to the transfers (such as marital problems or other conflicts), transfers may be delayed while these problems are worked out.

## 1.4 Roadmap

The remainder of this document is organized as follows: Section 2 describes the data used as part of the analysis and section 3 outlines the empirical specifications. Section 4 provides an overview of the main outcomes and families. Section 5 lists the secondary hypotheses and Section 6 some exploratory hypotheses. Section 7 serves as a reference with some additional details on outcome construction, including the manner in which I construct per-capita measures, how I value labor and in-kind contributions, and methods for constructing indices. Tables summarizing the primary outcomes and outcomes by family are included in Section 8. The appendix contains the survey instruments used as part of the original data collection (Section A) and data management notes (Section B). As noted above, I anticipate that I will carry out additional analyses beyond those included in this plan, and this document is not meant to be comprehensive or preclude additional analyses.

This investigation is part of a larger study on the general equilibrium effects of cash transfers (Haushofer et al. 2014). A pre-analysis plan has already been registered based on data collected via market surveys and enterprise phone surveys (Haushofer et al. 2016). At least two additional pre-analysis plans will be filed regarding the outcomes and hypotheses constructed from endline household and enterprise surveys, one focusing on household welfare and the other on specific general equilibrium effects.

## 2 Data

The data for the analysis outlined in this pre-analysis plan is primarily from original survey data collection of local leaders (assistant chiefs and village elders), households, enterprises and school head teachers.<sup>9</sup> I augment these with administrative data where available on school-related outcomes and government-sponsored development projects, with a key goal of reducing the amount of

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9. All of these surveys were collected on tablets with SurveyCTO software.

missing data. I outline each of the data sources in turn.

## 2.1 Local Leader Survey Data

The primary goal of the local leader surveys is to construct a panel dataset on local public goods, development projects, and fundraising at the sublocation and village level from 2010 to 2016. Enumerators conducted in-person surveys with village elders (VEs) and assistant chiefs (ACs) in the study area (assistant chiefs administer sublocations while village elders oversee villages), targeting. I target village elders for all 653 villages in the GE study sample, and assistant chiefs for all 84 sublocations that contain at least one GE project village.<sup>10</sup>

We conducted two rounds of local leader surveys. In round 1, which ran from July to December 2015, the goal was to construct a retrospective panel of public facilities, development projects and fundraising from the present going back to 2010. In the second round, which ran from August to November 2016, we ask questions about development projects going back to August 2014, the month before any treatment began. If, in round 2, we encountered projects that should have been collected as part of round 1, but were not, skip patterns in the survey prompted enumerators to collect retrospective information back to 2010 for these projects. The overlap in data allows me to check reliability, and to be able to conduct robustness checks focused on post-treatment comparisons using only data collected as part of round 2. The retrospective data also allows for comparisons of pre-trends and improves statistical power.

The surveys for assistant chiefs and village elders collect information on local public goods, fundraising, and taxes. We use distinct survey forms for assistant chiefs and village elders so that surveys can focus on items most relevant for each type of local leader. For village elders, questions about public goods focus on water points and feeder roads, while assistant chief surveys focused on health clinics, market centers and schools<sup>11</sup>, all of which serve multiple villages. Both village elders and assistant chiefs are asked about other public facilities that are more rare, such as public toilets, playing fields and meeting halls. Survey questions capture cash, in-kind, land and labor contributions to constructing, improving and maintaining public facilities. Surveys also collect information on demographic information for ACs and VEs; the number and type of disputes

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10. Since GE villages are based on 2009 Kenya Population Census enumeration areas, in some cases there can be more than one village elder in a single GE village if villages (as they exist outside of for purposes of census enumeration) were combined into a single enumeration area. This can sometimes be seen from the name of the enumeration area, which will be recorded along the lines of “Village 1 / Village 2”. In cases where there is more than one VE within a GE village, enumerators are instructed to interview all of the village elders for that village. I then aggregate outcomes to the GE village (in other words, the census enumeration area), as this was the lowest level at which treatment was randomized.

11. This was only included in the second round of the assistant chief survey. As part of the first round of the school head teacher survey, we found that turnover among school head teachers was higher than for assistant chiefs and village elders. As such, school head teachers were not always aware of school construction projects that took place prior to their arrival. Pilot surveys found that while assistant chiefs had little knowledge of details of school funding such as fee collection, assistant chiefs were well aware of the dates of school construction projects, as these were larger events in the community. We collect descriptive information on primary school construction projects going back to 2010.

leaders resolved; past shocks (such as pests, drought, too much rain) experienced by the village by year; and information on the number of subtribes and clans.

## 2.2 Household Data

In each study village, we conducted a census of households prior to the distribution of transfers to that village. The household census was designed to be comparable to GD's census, but to ensure there was no systematic bias between their censusing methods and ours, we conducted our own censuses in all villages. The census served as a sampling frame for baseline household surveys, which were also conducted in advance of the distribution of any transfers to a village. We determined household eligibility based on the census data and selected 12 households per village for inclusion in the study, 8 eligible households and 4 ineligible households. At baseline, for couples, we randomly selected either the male or female to be the "target" respondent; if we could not reach the target, but the spouse/partner was available, we surveyed the spouse/partner. If a sampled household was not available to be surveyed on the day we visited the village for baseline surveys, we replaced this household with the next one on the list. Endline surveys target both households that were baselined and households that were sampled, but missed as part of the baseline survey. Endline surveys are in the process of being conducted, with a median survey date of about 1.5 years after the baseline surveys.

This pre-analysis plan focuses on survey questions about public goods, taxation and informal contributions by households. It also looks at preferences for redistribution and political opinions, and makes use of information collected as part of both baseline and endline surveys on household size, demographics, economic activity (income and hours worked) by source (agriculture, self-employment, employment), household assets. These serve as important features to study redistribution and heterogeneity in effects. Additional household data outcomes will be filed as part of separate pre-analysis plans by the GE project research team.

## 2.3 Enterprise Data

Endline enterprise surveys serve as the primary source of data about enterprise taxes and formality used in this pre-analysis plan. We conducted an endline census of enterprises between November 2016 and February 2017, which serves as the sampling frame for enterprises; a random sample of enterprises from each village will be surveyed. Enterprise surveys capture information on total formal and informal taxes paid, whether enterprises have obtained a license from the county government, and whether the enterprise name is registered with the national government. Surveys also collect information on revenues, profits, and enterprise owner demographics.

In advance of the cash transfers, we also conducted a baseline census of enterprises, as well as enterprise surveys. Thus, some of the enterprises that we survey at endline will have baseline data. The main analyses outlined in this pre-analysis plan focus on the endline enterprise sample,

but I will also explore taking advantage of the panel structure of the data for enterprises surveyed in both rounds.

An additional source of enterprise data comes from enterprise phone surveys, for which analyses and outcomes are pre-specified as part of Haushofer et al. (2016). For a subset of enterprise categories, we conducted phone surveys to study the evolution of prices, profits, revenues and tax payments over time. Phone surveys targeted small retailers, cereal processors (known as posho mills), tailoring shops and hardware stores from August 2015 to April 2016. We elected to focus on these four enterprise categories to provide a sufficiently large sample to control for enterprise type fixed effects. These four enterprise categories are also of inherent interest: small retailers are the most common enterprise type; posho mills are a common enterprise and a staple producer; anecdotally, tailoring shops and, given findings from Haushofer and Shapiro (2016) on households upgrading their housing, hardware stores are one type of enterprise where we may be most likely to find effects. Pre-specified outcomes include measures of total tax and license payments by enterprises over time.

## 2.4 School Head Teacher Surveys

A specific data collection exercise was designed to ensure comprehensive data on public primary schools. The main source of data on schools comes from surveys of school head teachers (or their deputies) of public primary schools located in sublocations that are a part of the GE sample.<sup>12</sup> School head teachers collect information on enrollment, school funding (activity fees, school development contributions and other sources of local fundraising), school expenditures and average Kenya Certificate of Primary Education (KCPE) test scores.

As with the local leader surveys, we conducted two rounds of school surveys. Round 1, which ran from October 2015 to March 2016, collected information on the 2010 to 2015 school years. Round 2, which ran from September to November 2016, collected information on the 2016 school year, and also probed about any years that were missed in the first round of data collection.<sup>13</sup> Turnover among school head teachers was higher than among assistant chiefs and village elders. While legally, school head teachers should have kept records and passed these along to those that succeeded them, in practice this did not always occur. Thus, administrative data may be especially helpful for some school outcomes. Data from district offices of the Ministry of Education allow us to verify and/or fill in information on school enrollment, national funding, number of government teachers, test scores and, in for some schools, school building characteristics. This is described in

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12. This does not include all of the primary schools to which households in our study area may send their children. In particular, it does not include private schools, public schools located in some towns in Siaya, or public schools located in neighboring counties that border our study area (namely, Busia County, which borders Ukwala, and Kakamega County, which borders Ugunja).

13. Data was collected category by category, so that, for instance, we may have collected information on school enrollment in 2011 but not school funding for in round 1. In round 2, we would then seek to collect information on school funding in 2011, but not school enrollment in 2011.

more detail in the next section.

## 2.5 Other administrative data

There are a number of existing data sources that will be used where possible to fill in missing data from local leader surveys. The three main additional sources of data are i) education data from the Ministry of Education, ii) data on projects by the Constituency Development Fund (CDF), and iii) data from the county government on devolved government functions. This is not meant to preclude the use of other data sources that may be found or become available. In the case where other datasets are also brought in, they will be treated consistently with the other sources described in this section. Throughout, in cases of disagreement, the local leader survey data will be prioritized.

### 2.5.1 Ministry of Education

Subcounty offices of the Ministry of Education have records on school enrollment, national funding, number of classrooms, number of government teachers, test scores, and in some cases, information on development projects. We will compile these for as many years as possible over the 2010 to 2016 period. Data from school head teacher surveys should align closely with information from the Ministry of Education, as head teachers report this information to the subcounty offices.

### 2.5.2 Constituency Development Fund

The Constituency Development Fund (CDF) serves as an important source of development funding for localities in Kenya. The CDF started in 2003 and provides funding for Members of Parliament (MPs) to use on development projects in their constituencies, with the goal that a more decentralized approach will aid in identifying projects that match local preferences and help rectify regional imbalances in development funding (Gutierrez Romero 2009).<sup>14</sup> Local leader surveys include questions about CDF funding. In addition, the Kenya CDF website contains records of approved projects by constituency. Each project contains information on the project name (generally the location, such as the name of the primary school), the project activity (such as tree planting or construction of a new classroom), the project amount, and whether the project is new or ongoing. The project names can be matched to primary schools, market centers, health clinics and villages (in the case of roads) in order to augment survey-based measures of village and sublocation-level measures of CDF funding.

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14. In practice, MPs have historically played an outsized role in project selection; however, in 2013 the CDF Act was tightened to limit their power over these funds.

### **2.5.3 County Government**

Two of the major functions for development-related spending that have been devolved to the county government are road construction and maintenance, and health care (however, the national government still provides some funding to both). The county government is also responsible for managing markets. We will seek to collect data going back to 2013, the time at which these functions were devolved to the county government, on public expenditures for these responsibilities. These projects can be implemented unilaterally by the county government, so in some cases local leaders are less familiar with project spending; county government data may help to fill in some missing values.

## **2.6 Analysis and data examined to date**

Three data management notes were filed to the AEA trial registry detailing access to the local leader, endline household and endline enterprise survey data. All members of the research team and field teams, as outlined in the note, have followed the guidelines described in these notes, and no treatment effects have been estimated for these datasets in advance of filing this pre-analysis plan. For the midline enterprise phone survey data, a pre-analysis plan has already been filed describing the analyses to be conducted (Haushofer et al. 2016); while a paper looking at local public finance may include the tax-related outcomes listed in the midline pre-analysis plan, I do not include these outcomes in the families described in this document. The data management notes are included as appendix B.

## **3 Empirical Specifications**

This section outlines the primary and secondary regression specifications to be used in this analysis. The regression specifications vary by data source to account for differences in data structure and the nature of the hypotheses being tested. The section covers data from local leader surveys (Section 3.1), household surveys (Section 3.2), school surveys (Section 3.3) and enterprise surveys (Section 3.4). Each section includes primary and secondary regression specifications, the coefficients of interest and hypothesis tests that will be run, and specifications and tests for heterogeneous effects. Section 3.6 then outlines corrections for multiple hypothesis testing. Section 3.7 describes tests for differential response rates and attrition for each type of survey.

### **3.1 Village and Sublocation Regressions**

Data collected from village elders, assistant chiefs and head teachers form the basis of analyses at the village and sublocation level. At both the village and sublocation level, I utilize the panel structure of the data by including fixed effects for the village or sublocation (depending on the level

of analysis) and year. My primary village-level regression equation is:

$$(\text{Village}) \quad y_{vst} = \gamma_1(T_{vs} \times Post_t) + \gamma_2(H_s \times Post_t) + \gamma_3(T_{vs} \times H_s \times Post_t) + \alpha_v + \lambda_t + \epsilon_{vst}. \quad (1)$$

Here,  $y_{vst}$  is the village-level outcome of interest for village  $v$  in sublocation  $s$  in year  $t$ ,  $T_{vs}$  is an indicator equal to 1 for treatment villages,  $H_s$  is an indicator equal to one for high saturation sublocations, and  $Post_t$  is an indicator equal to 1 for post-treatment years. This indicator turns on in 2014 for villages and sublocations in Alego subcounty and 2015 for villages and sublocations Ugunja and Ukwala subcounties, as this is the year in which GD began operating in these subcounties.  $(T_{vs} \times Post_t)$ ,  $(H_s \times Post_t)$  and  $(T_{vs} \times H_s \times Post_t)$  are interaction terms between the different treatment statuses and post-treatment years, and the coefficients on these variables ( $\gamma_1$ ,  $\gamma_2$  and  $\gamma_3$ ) capture effects in treatment villages and high saturation sublocations once treatment has begun. I include  $\alpha_v$ , a village-level fixed effect, and  $\lambda_t$ , a year fixed effect. Standard errors are clustered at the saturation group level, the highest level of randomization.

Equation (1) allows me to test for both direct effects and spillover effects; my primary hypothesis tests are:

1. Direct effect for treatment villages:  $\gamma_1 = 0$ , no difference between treatment and control villages
2. Spillover effect for control villages in a high saturation sublocation:  $\gamma_2 = 0$ , no difference between control villages in high saturation sublocations and low saturation sublocations
3. Spillover effect for treatment villages in high saturation sublocations:  $\gamma_3 = 0$ , no additional effect for treatment villages over control villages in a high saturation sublocations

For sublocation-level outcomes, I compare high saturation sublocations versus low saturation sublocations using equation (2):

$$(\text{Sublocation}) \quad y_{st} = \beta(H_s \times Post_t) + \alpha_s + \lambda_t + \epsilon_{st}, \quad (2)$$

where,  $y_{st}$  is the sublocation-level outcome of interest,  $\alpha_s$  is a sublocation-level fixed effect, and the rest of the variables are defined the same way as in equation (1). Here,  $\beta$  captures the direct effect of being a high saturation versus a low saturation sublocation. This is an average effect composed of effects for both treatment and control villages, which could go in opposite directions. While I cannot distinguish between these for sublocation-only outcomes, equation (1) above does allow me to distinguish between these for outcomes that are at the village-level.

For some outcomes on revenues and public good quality, pre-treatment data was not collected. For instance, information on taxes and regular upkeep of public facilities was collected about the past 12 months in both round 1 and round 2, which, based on the timing of the surveys, may have included post-treatment months. For any outcomes without pre-treatment data, I estimate the

following specifications:

$$(\text{Village Post-Treatment}) \quad y_{vst} = \gamma_1 T_{vs} + \gamma_2 H_s + \gamma_3 (T_{vs} \times H_s) + \lambda_t + \epsilon_{vst}, \quad (3)$$

$$(\text{Sublocation Post-Treatment}) \quad y_{st} = \beta H_s + \lambda_t + \epsilon_{st} \quad (4)$$

where variables and coefficients of interest are defined as in (1) and (2). In cases where there is only one year or time period (such as for public good quality), I will not include the year fixed effects in the analysis.

### 3.1.1 Heterogeneous Effects

I look for heterogeneity in direct effects while controlling for potential spillovers.  $W_{sv}$  and  $W_s$  represent a variable of interest for heterogeneous effects at the village or sublocation level, respectively (these variables are outlined in Section 4.10). For outcomes with pre- and post-treatment data, I estimate:

$$(\text{Village Het. Effects}) \quad y_{vst} = \psi_1 (T_{vs} \times Post_t) + \psi_2 (H_s \times Post_t) + \psi_3 (T_{vs} \times H_s \times Post_t) \\ + \psi_4 (T_{vs} \times Post_t \times W_{vs}) + \alpha_v + \lambda_t + \epsilon_{vs} \quad (5)$$

$$(\text{Sublocation Het. Effects}) \quad y_{st} = \phi_1 (H_s \times Post_t) + \phi_2 (H_s \times Post_t \times W_s) + \alpha_s + \lambda_t + \epsilon_s \quad (6)$$

Here, the coefficients  $\psi_4$  and  $\phi_2$  are of primary interest for heterogeneous effects. For outcomes with no pre-treatment data, I interact  $W_{vs}$  and  $W_s$  with the treatment indicators in equations (3) and (4), respectively. I discuss multiple testing considerations for heterogeneous effects in Section 3.6. If I find evidence for spillover effects from my primary regression equations, I may explore heterogeneity in spillover effects as a secondary analysis.

### 3.1.2 Secondary specification: ANCOVA

As a secondary specification, I will also run ANCOVA specifications, where I include yearly averages of pre-treatment years as an independent variable ( $y_{vst_0}$  and  $y_{st_0}$  for the village and sublocation, respectively). The relative power between the ANCOVA specification in equations (7) and (8), versus the panel difference-in-difference in equations (1) and (2), depend on the village-level intra-cluster correlation, and the average pre-treatment, post-treatment and across-period covariance of the error terms (see Burlig, Preonas, and Woerman (2017)). Simulations based on local leader data from the years 2010 to 2013 (pre-treatment) in control group villages suggested that, for a number of outcomes, the fixed effects regressions in equations (1) and (2) were better powered, and hence were chosen as the primary specification. However, these values could vary in the full panel, and by outcome. Hence, I will include results for the ANCOVA specifications as well.

I estimate:

$$(\text{Village}) \quad y_{vs} = \gamma_0 + \gamma_1 T_{vs} + \gamma_2 H_s + \gamma_3 (T_{vs} \times H_s) + \delta_1 y_{vst_0} + \delta_2 M_{vst_0} + \epsilon_{vs} \quad (7)$$

$$(\text{Sublocation}) \quad y_s = \alpha + \beta H_s + \delta_1 y_{st_0} + \delta_2 M_{st_0} + \epsilon_s \quad (8)$$

Here,  $y_{vst_0}$  and  $y_{st_0}$  are pre-treatment means of the outcome of interest. I take the mean value of non-missing observations for the years 2010 to 2013 for villages and sublocations in Alego subcounty, and for the years 2010 to 2014 for villages and sublocations in Ugunja and Ukwala subcounties.  $M_s$  and  $M_{vt_0}$  are indicators equal to one if all pre-treatment data is missing. For observations with missing baseline data, I set  $M_{vt_0}$  ( $M_s$ ) equal to one and  $y_{vt_0}$  ( $y_{st_0}$ ) equal to its mean. The rest of the variables are defined as above. The hypothesis tests of interest for equations (7) and (8) remain the same as those for equations (1) and (2).

### 3.2 Household Regression Equations

For household outcomes, I run ANCOVA specifications to improve power (McKenzie 2012). The primary regression equation for households captures both direct and spillover effects for households

$$(\text{Household}) \quad y_{hvs} = \beta_0 + \beta_1 T_{vs} + \beta_2 E_{hvs} + \beta_3 (T_{vs} \times E_{hvs}) + \beta_4 H_s + \beta_5 (H_s \times T_{vs}) \\ + \delta_1 y_{hvst_0} + \delta_2 M_{hvst_0} + \epsilon_{hvs}. \quad (9)$$

Here,  $y_{hvs}$  is the outcome of interest for household  $h$  in village  $v$  in sublocation  $s$ ,  $T_{vs}$  is an indicator equal to 1 for households living treatment villages at baseline,  $E_{hvs}$  an indicator equal to 1 for eligible households,  $H_s$  an indicator equal to 1 for households living in high-saturation sublocations at baseline,  $y_{hvst_0}$  the baseline value of the outcome of interest, and  $\times$  denote interation terms between the above variables. The variables  $H_s$  and  $(H_s \times T_{vs})$  capture spillover effects for households in control villages in high saturation sublocations and treatment villages in high saturation sublocations. As in the ANCOVA specifications at the sublocation and village level,  $M_{hvst_0}$  is an indicator for missing baseline data; in cases of missing baseline data,  $y_{hvst_0}$  is set equal to the mean. Standard errors are clustered at the saturation group level, the highest unit of randomization.

Using coefficients from equation (9), I conduct the following hypothesis tests for direct and spillover effects:

1. Direct effect on recipient households:  $\beta_3 = 0$ . This captures the effect of being a recipient household within a treatment village, above and beyond any treatment village effects on ineligible households.
2. Within village spillovers in treatment villages:  $\beta_1 = 0$ . This captures differences between ineligible households in treatment and control villages.
3. Spillovers for control villages in high saturation sublocations:  $\beta_4 = 0$ . This captures differ-

ences between households in control villages in high saturation sublocations and households in control villages in low saturation sublocations

4. Spillovers for treatment villages in high saturation sublocations:  $\beta_5 = 0$ . This captures any additional effects for being a household in a treatment village in a high saturation sublocation beyond those for a household in a control village in a high saturation sublocation.

### 3.2.1 Household Heterogeneous Effects

At the household level, I look for heterogeneity in effects in treatment villages, both in terms of the direct effect on recipient households and within-village spillover effects, while controlling for sublocation-level spillovers. To estimate heterogeneity at the household level, I employ the following specification:

$$\begin{aligned} y_{hvs} = & \phi_0 + \phi_1 T_{vs} + \phi_2 E_{hvs} + \phi_3 (T_{vs} \times E_{hvs}) + \phi_4 W_{hvs} + \phi_5 (T_{vs} \times W_{hvs}) \\ & + \phi_6 (E_{hvs} \times W_{hvs}) + \phi_7 (T_{vs} \times E_{hvs} \times W_{hvs}) + \phi_8 H_s + \phi_9 (T_{vs} \times H_s) \\ & + \delta_1 y_{hvst_0} + \delta_2 M_{hvst_0} + \epsilon_{hvs}, \end{aligned} \quad (10)$$

where  $W_{hvs}$  is a variable of interest for heterogeneous effects (such as baseline income or assets), interactions between variables are denoted with  $\times$ , and the rest of the variables are defined as in Equation (9).<sup>15</sup> The coefficients of interest from equation (10) are  $\phi_7$ , which captures heterogeneity by  $W_{hvs}$  for recipient households (eligible households in treatment villages), and  $\phi_5$ , which captures heterogeneity in within-village spillover effects by  $W_{hvs}$ .

## 3.3 School Regressions

As schools typically serve students from multiple villages, my primary regression specification for schools uses the treatment status (high or low saturation) of the sublocation which the school is located:

$$(\text{School}) \quad y_{lst} = \beta (H_s \times Post_t) + \kappa_l + \lambda_t + \epsilon_{lst}, \quad (11)$$

where  $l$  indexes schools,  $s$  indexes sublocations and  $t$  indexes years.  $H_s$  and  $Post_t$  are defined as above,  $(H_s \times Post_t)$  denotes the interaction between the terms, and  $\kappa_l$  is a school fixed effect. The main coefficient of interest is  $\beta$ , which captures the direct effect for schools of being located in a high saturation sublocation versus a low saturation sublocation. I test whether  $\beta = 0$  for each outcome of interest.

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15. For cases where I look at heterogeneity within an eligibility category (for instance, eligible and with assets above the median amount for eligible households), I drop the  $(E_{hvs} \times W_{hvs})$ , as it is collinear.

### 3.3.1 School Heterogeneous Effects

To look at heterogeneous effects across schools, I interact a school-level covariate of interest  $W_{lst_0}$ , where  $t_0$  represents that these are pre-treatment measures, with the sublocation treatment status and post-treatment indicator:

$$(\text{Schol Het. Effects}) \quad y_{lst} = \phi_1(H_s \times Post_t) + \phi_2(H_s \times Post_t \times W_{lst_0}) + \kappa_l + \lambda_t + \epsilon_{lst} \quad (12)$$

As with sublocations, the coefficient of interest is  $\phi_2$ .

### 3.3.2 School Secondary Specifications

I explore two secondary specifications for school-level regressions. First, as with sublocation-level regressions, I also run an ANCOVA regression, controlling for pre-treatment values of the outcome variables. Second, I explore spillovers in a more flexible manner.

As school attendance may not be bound by administrative boundaries, as a secondary test I look at spatial effects based on the average per-capita transfer to households within a certain radii band of the school. This is similar to the analysis outlined in Haushofer et al. (2016) for studying the spatial effects of the cash transfers on market prices over time. As described there, I will first determine the relevant range of radii bands for effects by estimating a series of nested models, starting with a radii band of 0-2 kilometers, and increasing in a series of 2 km increments up to 8-10 kilometers:

$$y_{lt} = \sum_{R=0-2km}^{8-10km} \gamma_R Amt_{tR} + \kappa_l + \lambda_t + \epsilon_{lt}. \quad (13)$$

Here,  $y_{lt}$  is the outcome of interest for school  $l$  in year  $t$ , and  $Amt_{tR}$  is the per-capita amount transferred to households within radii band  $R$  of school  $l$  in year  $t$ . As above,  $\kappa_l$  and  $\lambda_t$  are school and year fixed effects. Standard errors are calculated via Conley (1999, 2008) using a uniform kernel up to the maximum radius of the nested model. I then use the Schwartz Bayesian Information Criterion to select the nested model with the optimal number of radii terms, while imposing weak monotonicity (see Haushofer et al. (2016) for more details). This is then taken as the primary spatial specification, and I test i) whether the  $\gamma_R$  terms are jointly different than zero and ii) whether the  $\gamma_R$  terms are equal to one another.

This spatial analysis is similar to others that will be further developed as part of the household endline pre-analysis plan. If this outlines a different manner of conducting the endline spatial analysis, I will also explore this as a secondary analysis. A priori, it is difficult to know the best specification for spatial effects, and thus some of this analysis is necessarily exploratory. Equation (13) assumes that each additional dollar transferred per capita has the same effect. This could mask heterogeneity by treatment density and poverty status: areas with low per-capita transfers may be a combination of those with a low fraction of eligible households, and those with a higher fraction of

eligible households that are in a low saturation area. An alternative definition of treatment would be to look at the per-capita transfer amount to eligible households, which I may also include as an approach to better understand mechanisms.

### 3.4 Enterprise Regressions

The main endline enterprise regression specification compares enterprises located in treatment versus control areas, and high saturation and low saturation areas:<sup>16</sup>

$$(\text{Enterprise}) \quad y_{ejvs} = \beta_1 T_{vs} + \beta_2 H_s + \beta_3 (T_{vs} \times H_s) + \alpha_j + \epsilon_{ejvs}, \quad (14)$$

where  $y_{ejvs}$  is the outcome of interest for enterprise  $e$  of category  $j$  in village  $v$  and sublocation  $s$ ,  $T_{vs}$  is an indicator equal to one if the enterprise is located within a treatment village,  $H_s$  is an indicator equal to one if the enterprise is located within a high-saturation sublocation, and  $\alpha_j$  is an enterprise-category fixed effect.

The main hypothesis tests for enterprises are:

1. Direct effect of being located in a treatment village:  $\beta_1 = 0$ , outcomes for enterprises in treatment villages no different than outcomes for those in control villages
2. Spillover effect of being located in a control village in a high saturation sublocation:  $\beta_2 = 0$ , outcomes for enterprises in control villages in high saturation sublocations are no different than those in control villages in low saturation sublocations
3. Spillover effect of being located in a treatment village in a high saturation sublocation:  $\beta_3 = 0$ , no additional effect for enterprises in treatment villages in high saturation sublocations beyond those for control villages in high saturation areas.

#### 3.4.1 Enterprise Heterogeneous Effects

I estimate heterogeneity in direct effects for enterprises using the following equation:

$$y_{ejvs} = \phi_1 T_{vs} + \phi_2 W_{ejvs} + \phi_3 (T_{vs} \times W_{ejvs}) + \phi_4 H_s + \phi_5 (T_{vs} \times H_s) + \alpha_j + \epsilon_{ejvs}, \quad (15)$$

where  $W_{ejvs}$  is a variable of interest for heterogeneous effects for enterprise  $e$  of category  $j$  in village  $v$  in sublocation  $s$ . As with the other regressions, I will test whether  $\phi_3$  is different from zero.

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<sup>16</sup> Here, I focus on regression specifications for endline enterprise survey data; see Haushofer et al. (2016) for details on regression specifications for midline enterprise phone survey data.

### 3.4.2 Enterprise Secondary Specifications

Similarly to the school-level analysis and Haushofer et al. (2016), I also conduct a spatial analysis for enterprises by looking at the amount of cash transferred within set radii of the enterprise. In contrast to Haushofer et al. (2016), the spatial variation in treatment is not based on rollout, so I use the total amount distributed within different bands. I may also explore effects on enterprises that we surveyed at both baseline and endline, in which case I will convert equation (14) into an ANCOVA specification.

## 3.5 Transfer Amount Regressions

In addition to knowing the effect of being a treatment village and high-saturation sublocation, I also estimate the effects based on the per-capita amount transferred into a village. At the sublocation level, I estimate:

$$y_{st} = \theta Amt_{st} + \alpha_s + \lambda_t + \epsilon_{st} \quad (16)$$

where  $Amt_{st}$  is the per-capita amount transferred to sublocation  $s$  in year  $t$ , and  $\theta$  is the coefficient of interest. At the village level, to look at both direct and spillover effects, I include both the per-captia amount transferred within the village, as well as the per-capita amount transferred into other villages within the sublocation:

$$y_{vst} = \phi_1 Amt_{vt} + \phi_2 Amt_{s-vt} + \alpha_v + \lambda_t + \epsilon_{vst}, \quad (17)$$

where  $Amt_{vt}$  is the per-capita amount transferred to village  $v$  in year  $t$  and  $Amt_{s-vt}$  is the per-capita amount transferred into sublocation  $s$ , excluding village  $v$ . For monetary outcomes such as revenue,  $\phi_1$ ,  $\phi_2$  and  $\theta$  measure by how much the monetary outcome increases for an additional shilling of per-capita transfer income into the village or sublocation, a measure of the elasticity of the outcome with respect to transfer income.

There are two sources of data related to transfer amounts. My primary source, for consistency with Haushofer et al. (2016), is an “experimental” measure of transfers, based on census data collected by the GE project, the assigned village ordering for transfers, and GD’s pace in distributing transfers (see Haushofer et al. (2016) for full details). This experimental measure was designed to ensure that any variation in treatment timing was coming from experimental variation. The second source is the actual transfer data from GD. Since I will aggregate both of these to yearly amounts, I anticipate little difference between the two.

## 3.6 Multiple Testing Adjustment

In order to address concerns about multiple testing, I will use the False Discovery Rate (FDR) correction, consistent with Haushofer et al. (2016). I will report both naive p-values and the minimum

“sharpened” FDR q-values following Casey, Glennerster, and Miguel (2012) and Anderson (2008) and the references therein. I run the multiple testing corrections separately for direct and spillover effects. For my primary outcomes, this means conducting the adjustment over the tests run on direct effects outlined in Table 1, and then a separate correction for the tests of spillover effects (also outlined in Table 1). I repeat this procedure for outcome family, and each corresponding table lists the hypothesis tests for direct and for spillover tests.

As I am also interested in heterogeneous effects in a number of dimensions, I also include multiple testing adjustments along the dimensions of heterogeneity that I study to reduce the rate of false positives. Outside of those dimensions of heterogeneity that are included as numbered outcomes in the families of outcomes described in section 4, I consider the rest of these sources of heterogeneity to be secondary outcomes. Within the each family of outcomes (including the set of primary outcomes), for each covariate for heterogeneous effects, I will calculate FDR q-values across the number of tests run within that family. This test is most relevant for determining if heterogeneous effects are statistically different than zero. As part of the appendix, following Haushofer et al. (2016), I will also include FDR-adjusted q-values where I correct for the number of interactions (dimensions of heterogeneity) for a given outcome within categories of heterogeneity, most relevant for determining if the magnitude of heterogeneous effects varies across dimensions of heterogeneity.

### 3.7 Attrition and Differential Response Rates

This section outlines checks for differential attrition and response rates by survey instrument. Attrition is a potential concern with all survey instruments, while an additional concern for the local leader survey data is differential response rates as part of constructing the retrospective panel. Here, I outline my current plan on how to check for and adjust estimates if attrition and differential response rates are judged to be a concern. Given the large number of potential tests for attrition and differential response rates, the guiding principle of this section is to follow the outline of regression specifications and multiple testing adjustments outlined in this section. I note that, as related pre-analysis plans for the GE project covering household and enterprise data are under concurrent development, if these other pre-analysis plans offer different methods for handling household and enterprise data, I may use these methods instead for consistency.

#### 3.7.1 Local Leader Checks

First, I check whether there are differential survey rates of sublocations, villages and schools varies by treatment status. I look at three variables as outcomes:

1. An indicator for whether we ever surveyed the village, sublocation, or school ( $Ever_{vs}$ ,  $Ever_s$  and  $Ever_l$ , respectively)

2. An indicator for whether we surveyed the village, sublocation or school in round 1 ( $RD1_{vs}$ ,  $RD1_s$ , and  $RD1_l$ , respectively)
3. An indicator for whether we surveyed the village, sublocation or school in round 2 ( $RD2_{vs}$ ,  $RD2_s$ , and  $RD2_l$ , respectively)

For each of these variables, I run the following regression:

$$(\text{Village}) \quad r_{vs} = \omega_1 T_{vs} + \omega_2 H_s + \omega_3 (T_{vs} \times H_s) + \epsilon_{vs} \quad (18)$$

$$(\text{Sublocation}) \quad r_s = \omega_1 H_s + \epsilon_s \quad (19)$$

$$(\text{School}) \quad r_l = \omega_1 H_s + \epsilon_l \quad (20)$$

where  $r$  takes each of *Ever*,  $RD1$  and  $RD2$ , and treatment status for schools are based on the treatment status of the sublocation in which they are located. This provides evidence on whether our rates of surveying local leaders differs by treatment status (either village status, sublocation status, or the interaction between the two). If I find worrying levels of attrition here, I will construct Lee (2009) bounds for the outcomes of interest.

Second, I explore whether there are differential response rates for key primary outcome questions by treatment status. First, for all primary outcomes from the local leader data, I check pre-trends by running the main outcome regression equations on data from 2010 to 2013. If there are different pre-trends in treatment versus control areas, that could be suggestive of differential reporting. For primary outcomes based on a single survey question, I also use the same regression equations 1 - 3, but with a vector  $Z$  of indicators for missing data in each year, from 2010 to 2016. I then test the joint significance of the treatment status coefficients across regression equations and across years.

### 3.7.2 Household Checks

For households, I will follow the procedure specified in the GE household welfare and spatial effects pre-analysis plans to ensure there is no differential attrition on my outcomes of interest. This involves checking for differential attrition on the treatment status variables, as well as by baseline characteristics of households, in the following manner. Let  $r_{hvs}$  be an indicator for whether household  $h$  in village  $v$  in sublocation  $s$  is observed at baseline but not at endline. First, equation 21 estimates whether the magnitude of attrition varies with treatment status.

$$r_{hvs} = \beta_0 + \beta_1 T_{vs} + \beta_2 E_{hvs} + \beta_3 (T_{vs} \times E_{hvs}) + \beta_4 H_s + \beta_5 (T_{vs} \times H_s) + \varepsilon_{hvs} \quad (21)$$

Second, Equation 22 assesses whether observation status varies with a vector of baseline characteristics  $\mathbf{X}_{hvs}$  including variables from Sections 4.3 and the general household characteristics for heterogeneous effects (Table 10).

$$r_{hvs} = \omega \mathbf{X}_{hvs} + \varepsilon_{hvs} \quad (22)$$

Third, Equation 23 tests whether there are differences in baseline characteristics across treatment arms for respondents observed at endline.

$$(X_{hvs,t=0}|r_{hvs} = 1) = \beta_0 + \beta_1 T_{vs} + \beta_2 E_{hvs} + \beta_3 (T_{vs} \times E_{hvs}) + \beta_4 H_s + \beta_5 (T_{vs} \times H_s) + \varepsilon_{hvs} \quad (23)$$

Equations 21 - 23 will be estimated only for households surveyed at baseline and with standard errors clustered at the saturation group level. If I find worrying levels of differential attrition, I will adjust for potential bias by bounding our parameter of interest (Lee 2009) and by using a weighted least squares estimator with the inverse probability of selection as weights. I will report the results of this analysis in the final paper or its appendix.

### 3.7.3 Enterprise Checks

With enterprises, an added consideration is that enterprise creation and closure may be influenced by treatment status. To ensure that post-treatment data in the endline survey is from a representative sample of enterprises, we target a random sample of enterprises identified by the endline enterprise census for surveying. I check to ensure that endline survey response rates are not different by treatment status, both overall and for response rates to the questions used in outcomes in Section 4.4. In advance of making use of the panel structure of the enterprise data for enterprises surveyed at both baseline and endline, I will check for whether, conditional on being surveyed at baseline and being sampled for the endline enterprise surveys, endline survey rates differ by treatment status.

## 4 Main Outcomes

This section outlines the main study outcomes, including the manner in which outcomes are constructed, and the regression equations and hypothesis tests associated with each outcome. As there are a number of different dimensions in which unconditional cash transfers could affect local public finance, I define a set of primary outcomes that serve as an overall measure of treatment effects. I select primary outcomes based on their usefulness as a summary measure of effects in a particular dimension, due to their perceived importance for theoretical or policy reasons, or due to priors for finding effects. I test for both direct and spillover effects as outlined in Section 3 and recapped below.

I first specify a set of hypothesis tests for primary outcomes that test for the direct effects of

treatment; these outcomes are outlined in Section 4.1 and Table 1. At the household level, this tests the effect of being a recipient household (more precisely, being an eligible household in a treatment village),  $\beta_3$  from equation (9), above and beyond any effect of being in a treatment village (within-village spillovers). For enterprises, this is the effect of being located within a treatment village,  $\beta_1$  from equation (14). For village outcomes, this is a test of being a treatment village,  $\gamma_1$  from equation (1). For outcomes related to facilities that benefit multiple villages (such as health clinics, market centers and schools), I look at the direct effect of being in a high saturation sublocation ( $\beta$  from equation (2)). Since these facilities are designed to serve a collection of villages, I do not assign these to a particular village, as contributions and spending is likely coming from a number of surrounding villages, which may encompass both treatment and control villages. However, I note that the direct effects estimated here may be composed of positive effects from treatment villages and negative effects from control villages, and I focus only on a single sublocation-level outcome as part of the primary direct effects.

I make use of the experimental design to test for spillover effects for these primary outcomes. I interact the village treatment indicator  $T_{vs}$  with the high saturation indicator  $H_s$  to estimate the effects of being in high saturation sublocations separately for treatment and control villages. For households, I test for within-village spillovers with ineligible households in treatment villages ( $\beta_1$  from equation (9)), as well as spillovers for control villages in high saturation sublocations ( $\beta_4$ ) and additional effects for treatment villages in high saturation sublocations ( $\beta_5$ ). For enterprises, I test whether there is an effect of being in a high-saturation sublocation for control villages ( $\beta_2$  from equation (14)) and an additional effect for treatment villages ( $\beta_3$ ), conditional on village treatment status. I conduct analogous test for village-level outcomes, testing if  $\gamma_2$  from equation (1) is different than zero (spillovers onto control villages) and if  $\gamma_3$  is different than zero (additional spillovers onto treatment villages).

If I find evidence of spillover effects, the I will calculate “overall” effects (direct plus spillover) for the following groups:

1. Total effect for treatment villages in high saturation sublocations versus control villages in low saturation sublocations:  $\gamma_1 + \gamma_2 + \gamma_3$  from (1)
2. Total effect for eligible households in treatment villages (recipients) versus eligible households in control villages:  $\beta_1 + \beta_3$  from (9)
3. Total effect for recipient households in high saturation sublocations versus eligible households in control villages in low saturation sublocations:  $\beta_1 + \beta_3 + \beta_4 + \beta_5$  from (9)
4. Total effect for ineligible households in treatment villages in high saturation sublocations versus ineligible households in control villages in low saturation sublocations:  $\beta_1 + \beta_4 + \beta_5$  from (9)
5. Total effect for enterprises in treatment villages in high saturation sublocations versus enter-

prises in control village in low saturation sublocations:  $\beta_1 + \beta_2 + \beta_3$  from (14)

Depending on the exact nature of any spillover effects, there may be additional combinations of interest.

I then dive deeper into the different dimensions of potential effects of unconditional cash transfers on local public finance by grouping outcomes into families. I construct eight different families, each of which outlines broad domain of potential effects, and captured at least in part by the primary outcomes mentioned above: (1) revenue and mobilization; (2) redistribution and household tax burden; (3) enterprise taxes and formality; (4) public good expenditure; (5) number of projects; (6) public good quality; (7) primary school outcomes; and (8) political attitudes. At least one outcome from each family is included as part of a primary direct or spillover outcome, either as a standalone measure or as part of an index, with the exception of family (7) on primary school outcomes. As noted in Section 3.6, this allows me to conduct a multiple testing correction across both primary outcomes (in a sense, across the different families of outcomes) as well as within families of outcomes.

Lastly, in Section 4.10 I discuss the various measures of heterogeneity that I will test for, define the construction of variables for heterogeneous effects, and match dimensions of heterogeneity to the outcomes in which I will test for heterogeneous effects.

As noted in Section 1.4, I anticipate exploring additional outcomes beyond those specified in this plan. There may be a number of other tests of interest once I see the results of these initial tests; this plan is not meant to preclude running additional hypothesis tests, but any additional hypothesis tests that are not outlined here will be flagged in the paper as not being pre-specified. I also note several general principles that I will follow in constructing outcomes. Throughout the surveys, there are various subtotals that should match overall amounts. When constructing outcome variables, if I notice cases where total expenses have been clearly misreported relative to subtotals (for instance, zero total cash contributions reported for a project, but a reported 20,000KSH contribution from village members). In cases where totals are reported as missing, I will use my best estimates of costs based on project and facility characteristics (see Section 7 for more details.) Survey question numbers refer to question numbers in round 2 of surveys for village elders, assistant chiefs, and school head teachers; for endline household surveys; and for baseline enterprise surveys (the endline instrument is in the process of being finalized). These survey questions are available in Appendix A. I will use the same survey questions (or their analogues) from the first round of surveys; in cases of larger differences between the survey rounds, I have tried to highlight these differences in the outcome construction.

## 4.1 Primary Outcomes: Direct Effects & Spillover Effects

This section outlines the primary study outcomes, which I use to investigate the existence and magnitude of direct and spillover effects. Table 1 lists the primary outcomes and tests for the

direct and spillover effects of cash transfers on local public finance. Before turning to these I outline some additional background information and key accounting equations to further motivate and put into context my primary outcomes.

#### 4.1.1 Local Public Finance in Kenya

I consider each village as having a stock of public goods, which evolves according to the following equation:

$$PGStock_{vt} = PGStock_{vt-1} + Investment_{vt} + Maintenance_{vt} - Depreciation_{vt}. \quad (24)$$

Here,  $Investment_{vt}$  denotes investment coming into village  $v$  regardless of whether the source of funds is from inside or outside of the village. Investment can consist of both building new facilities as well as improving existing facilities. A similar equation holds at the sublocation level as well, though at the sublocation level, health clinics and schools also have recurrent expenditures for their operations funded by the national and county government. General operating expenses are outside of the control of the community (in the case of primary schools, much of the funding comes via a formula based on enrollment), but decisions about construction and improvements can involve the local community, as this can involve co-funding.

I count investment and maintenance as village expenditure, and primary outcomes P5 and P6 serve as an index of investment in public goods (an index of public good expenditure and the number of development projects). I do not have a direct measure of the stock of public goods as a primary outcome, instead focusing on changes in response to the transfers; village and sublocation fixed effects capture the pre-treatment level of public goods. While measuring depreciation directly is challenging, primary outcome P7 looks at the reported quality of public goods, which depends on investment, maintenance and depreciation.<sup>17</sup>

In order to fund this expenditure, villages must raise revenue. In the Kenyan context, village elders and assistant chiefs receive no fixed budget for administering their area and promoting development. (In what follows, for ease of exposition, I focus on the village, though the process for sublocations is similar.) Thus, the village must raise funds locally (informal taxation) and solicit funding from outside sources. Given the informal nature of some of this funding, there are generally no records available from village elders. In the absence of recall bias, village budgets must balance:

$$Saving_{vt-1} + Revenue_{vt} = Expenditure_{vt} + Leakage_{vt} + Saving_{vt}, \quad (25)$$

where  $Saving_{vt} \geq 0$ , and past saving allows for projects to span more than a single year. Any funds that flow into village  $v$  in year  $t$ , regardless of source, are captured in  $Revenue_{vt}$ , and any expenditure that takes place in village  $v$  in year  $t$  is included in  $Expenditure_{vt}$ . As revenue

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<sup>17</sup> As an exploratory analysis (as I do not think these cases are very common), I also look at the number of public facilities that cease to be operational in the study period.

is frequently tied to development projects, my revenue and expenditure measures closely align. Since I rely on recall data, an additional potential source of disagreement between revenue and expenditures is recall error. I avoid conflating leakage with recall error by not focusing on leakage as a primary outcome. For the purposes of this pre-analysis plan, when looking at revenues, I look at the sources for funding, while when looking at expenditures, I look at the types of public goods on which revenue is spent. In some cases this involves aggregating the same survey questions in different ways.

I break revenues and expenditures down further as follows:

$$Revenue_{vt} = InformalRevenue_{vt} + OutsideRevenue_{vt} \quad (26)$$

$$InformalRevenue_{vt} = Harambee_{vt} + Tax_{vt} + VillContributions_{vt} + VillMaintenance_{vt} \quad (27)$$

$$\begin{aligned} OutsideRevenue_{vt} = & CDFRevenue_{vt} + CountyRevenue_{vt} + NationalRevenue_{vt} \\ & + NGORevenue_{vt} + OtherOutsideRevenue_{vt} \end{aligned} \quad (28)$$

$$Expenditure_{vt} = NewConstruction_{vt} + Improvements_{vt} + Repairs_{vt} + Maintenance_{vt} \quad (29)$$

$InformalRevenue_{vt}$  comes from informal taxation of the members of the village via harambees, tax collections, contributions towards public goods (cash, in-kind, land and labor) and maintenance (primarily labor). Village elders can seek funding from outside sources, such as the CDF and county government, as well as contributions from NGOs, local politicians and other well-wishers. In all cases, these are typically project-specific funds. Informal revenue is under the control of the village elder; for example, the village elder is able to set targets for tax collections, to propose and work to initiate harambees, and to mobilize village members for labor contributions. It also serves as a measure of local funding for public goods; while it will be interesting to see whether funding from outside sources increases or decreases with changes in informal revenue, the measure of informal revenue is a measure of revenue coming from individuals in the study area. Because of this, informal tax revenue is the focus of primary outcome P1.

$OutsideRevenue_{vt}$  is the sum of revenue that goes towards facilities in village  $v$  but comes from sources outside of village  $v$ , and I place particular emphasis on the CDF and county government, but will also explore other sources. Village elders have less control over outside revenue: though s/he can work to advocate for outside revenues from his or her village, such as pushing for projects within the village to be included in funding from the CDF, since this is less certain, the revenue is usually used towards specific projects. I explore substitution patterns between informal revenue and outside revenue as part of Family 1.

$Expenditure_{vt}$  captures all expenditure for village-level public goods regardless of the source. Expenditures can come from starting new projects, improving or repairing existing projects, or from conducting regular maintenance on existing projects. At the sublocation level, I focus on expenditure with which the sublocation is expected to be involved. This includes the same types of

expenditures as listed above, but does not include certain recurrent expenditures paid by the national and county governments for health and education. As part of Family 4, I look at expenditures on different types of public goods at both the village and sublocation level.

In addition to informal taxes, households and enterprises in the study area also pay formal taxes. While the measure of informal revenue above should capture informal taxes paid by households and enterprises, it does not include any formal taxes paid to the national or county government. To determine whether there is any increase in total formal and informal revenue in treatment areas compared to control areas, I add measures of total household and enterprise formal taxes to the measure of village formal taxes, where both measures are scaled based on census data to generate village totals. I am particularly interested in how total formal and informal tax revenue changes as a function of the amount transferred into study villages, and this is captured in primary outcome P4. I also study household and enterprise taxes to determine whether the amount of taxes paid by households and enterprises varies by treatment status (primary outcomes P2 and P3). I then look to see if any of this has an effect on households' attitudes towards redistribution (P8).

#### **4.1.2 Listing of Primary Outcomes**

The primary outcomes are organized as follows. I first look at whether cash transfers increase the revenue raised as part of fundraisers for public goods at the village level. Do treatment villages wind up raising more revenue per-capita (primarily via informal taxation) in post-treatment years compared to control villages? Next, I look at households as a source of revenue and test whether (and how) total taxes paid by households (both formal and informal) change for recipients (the direct effect), as well as for ineligible households in treatment villages, and households in control and treatment villages in high saturation sublocations (spillover effects). If I find an increase in revenue in the first primary outcome, the second helps determine the types of households that may be paying more. Third, I look at tax rates paid by enterprises, another source of government revenue. While enterprise tax revenue may feed less directly into local public goods (most taxes and license fees go to the county or national government), it is nonetheless an object of interest to policymakers and, since enterprises were not directly targeted, can provide insight into general equilibrium effects.

Fourth, I test an overall measure of total tax (formal and informal) revenue response with respect to the per-capita transfer amount at the village level. This combines informal taxes from local leader surveys with formal taxes and fees paid by households and enterprises to get a single measure of total formal and informal tax revenue for all villages in the sample. This captures whether there is any additional tax revenue in treatment villages compared to control villages in the study area.

After revenue, I then turn my attention to the expenditures side, where my fifth and sixth outcomes tests whether indices of public good expenditures and the number of projects undertaken

are higher in treatment villages and high saturation sublocations, respectively.

My seventh outcome looks at whether public good quality (as reported by both the village elder and households) varies in treatment versus control villages. Similarly, my eighth set of outcomes looks at measures of primary school outcomes (enrollment and mean test scores), which can be seen as a measure of school quality. Lastly, I look at whether households' political attitudes towards redistribution differ based on treatment status.

Outcomes P5, P6, P7 and P8 are all mean effects indices constructed following Kling, Liebman, and Katz (2007), where z-scores for each component are equally weighted.<sup>18</sup>

I construct the following primary outcomes:

- **P1: Village Informal Tax Revenue:** see outcome 1.1
- **P2: Households' Total Taxes Paid:** see outcome 2.1
- **P3: Enterprises' Total Tax and License Payments:** see outcome 3.1
- **P4: Total tax revenue elasticity with respect to transfer amount:** Total formal and informal tax revenue per-capita collected at the village level, calculated as the sum of the following outcomes:
  - village informal tax revenue (per-capita) (outcome 1.1). In order for this to be consistent with the household and enterprise amounts, I only include revenue from the last 12 months.<sup>19</sup>
  - mean household formal tax revenue (outcome 2.3) and total school fees (outcome 2.5), by village and eligibility status, scaled by the number of eligible and ineligible households within the village from household census data<sup>20</sup>, and then converted into a per-capita measure

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18. Section 7.3 provides further details on the index construction. For P8, I also calculate an “inverse-covariance weighted” (ICW) index, following Anderson (2008), where outcomes are standardized and weighted by the inverse-covariance matrix. The ICW index works well when there is a single latent variable of interest, yet multiple variables. I use mean effects indices to improve power for primary outcomes that are likely to go in a single direction, but may not have as natural an interpretation as capturing a single underlying latent factor, or when I prefer to give equal weight to a set of components, regardless of the correlation between components. P8 is an outcome where an ICW index may work well, but to avoid the small chance of problems inverting the covariance matrix, I prefer to use the mean effects index as the primary outcome.

19. Questions about taxes and regular upkeep were collected over the last 12 months. I use the month and year in which projects were initiated for public good contributions, under the assumption that most revenue is raised at the start of a project. I will explore sensitivity to alternatives, such as evenly spacing revenues over the months between project initiation and the date the project is first operational. I only collect the year in which the harambee was held, so my primary measure allocate 2015 harambee revenue proportionally by the number of months of 2015 covered in the last 12 months. For instance, if 12,000 KSH was raised in 2015, and the VE was surveyed in September 2016, then I would count 3,000 KSH towards harambee funding in the last 12 months.

20. The household census data is pre-treatment. An outcome of interest as part of the broader GE project is whether there is a migration response after receiving a cash transfer. If there is evidence for migration, I will adjust population rates by the mean migration rate for treatment and control households.

- mean enterprise formal tax revenue (outcome 3.1a-d), by village, scaled by the number of enterprises within the village from endline enterprise census data, and then converted to a per-capita measure.

I use equation (17) as the primary regression specification so that the per-capita amount transferred is the independent variable.

- **P5: Village-Level Public Good Expenditure and Projects Index:** Mean effects index of outcome 4.1 (total per-capita village-level public good expenditures) and outcome 5.1 (village-level number of projects)
- **P6: Sublocation-Level Public Good Expenditure and Projects Index:** Mean effects index of 4.2 (sublocation-level per-capita public good expenditures) and 5.2 (sublocation-level number of projects)
- **P7: Village Public Good Quality Index:** Mean Effects Index of:
  - VE Public Good Quality Index (outcome 6.1)
  - Village-level mean of Household Public Good Quality Index (outcome 6.2) for eligible households
  - Village-level mean of Household Public Good Quality Index (outcome 6.2) for ineligible households
- **P8: Support for Redistribution Index:** Mean effects index of questions related to support for redistribution (outcome 8.1).

I provide a few notes on decisions regarding primary outcomes. First, while tax rates are theoretically attractive as a primary outcome for households and enterprises, I focus on the total taxes paid as a primary outcome because it is more likely to be measured precisely. Household and enterprise revenues and profits are notoriously noisy measures, and dividing total taxes by a noisy measure reduces the likelihood of identifying effects, even if they do exist. I do include tax rates for households and enterprises as outcomes in their respective families. Looking at total taxes paid is also easy to interpret. Under some assumptions, any additional taxes paid can be used to construct a measure of the marginal tax rate on transfer income. If mean household income is stable across treatment and control villages, then any increase in tax paid in treatment villages can be thought of as taxes on the cash transfer income. If the transfers generate an increase in household income from other productive activities, then the tax rate on transfer income that we can construct by dividing the change in the amount of taxes paid by the transfer amount will be an upper bound.

## 4.2 Family 1: Revenue & Mobilization

The first family of outcomes examines effects on revenue and mobilization for local public goods. I focus on informal tax revenue but also explore whether this serves as a complement or substitute

with discretionary sources of government funding. The overarching hypothesis is that cash transfers increase revenues and mobilization for local public goods in treatment villages; in addition, I look at whether there are spillover effects for villages in high saturation sublocations. Table 2 lists the outcomes and hypothesis tests that make up this family. For most outcomes in this family, I focus on revenue for which the village elder plays a key role in organizing. The primary outcome is the total informal tax revenue raised per-capita, by village and year, which sums revenue from harambees, tax collections, village public good contributions and the value of upkeep and maintenance provided by village members. Additional outcomes within this family focus on revenue sources.

Data used in the construction of these outcomes come from village elder, assistant chief and school head teacher surveys. For harambees, we collected a retrospective panel going back to 2010 in round 1, and back to August 2014 in round 2, for both village elders and assistant chiefs. This allows us to check overlap and to have a consistent measure of the full post-treatment period in the second round of local leader surveys. Harambees can be held to support a variety of causes. In the first round of data collection, we collected information about all types of harambees, including those that function as social insurance (for example. harambees for bereavement/funerals, weddings, medical expenses, school fees). As I am primarily interested in revenue raised for development and public goods, both the second round of the survey and the analysis restrict attention to harambees for public goods. Assistant chief surveys include the village that the harambee was to benefit, and I assign harambees to villages accordingly, dropping harambees that clearly seem to be duplicates of those reported by the VE. In cases of disagreement, I favor village elder surveys, and surveys from round 2.

Information on taxes collected by local leaders was also collected as part of both assistant chief and village elder surveys in both round 1 and round 2 of the data collection. These taxes represent charges that local leaders collect on a regular basis; contributions for a one-off public good improvement or project would be collected separately. For each survey round, enumerators collected information on taxes and collections by the local leader in the last 12 months. I thus classify taxes and collections from round 1 as part of 2015 and round 2 as part of 2016, even though there may be some overlap into earlier years. Similar to harambees, I exclude taxes and collections that can best be described as social insurance, namely for bereavement, weddings, and medical expenses or school fees to benefit specific households, rather than these facilities more broadly.

Contributions towards specific public good projects from village members form the next outcome. This includes the total value cash, in-kind, land and labor contributions towards village-level public goods. These survey questions capture contributions made separately from harambee and tax collections, and so are added to the total informal tax revenue total. I focus on contributions from village members, as this captures households subject to the local official; contributions towards public goods from NGOs, the CDF or county government would not fit into this. For my primary measure, I assume that revenue occurs at the time of project initiation, and assign revenues to years based on the initiation date. I will also explore spreading revenue over the course of the project,

and counting all revenue as occurring at the time the project first became operational.

For each public facility, surveys in round 1 and round 2 ask about the regular upkeep and maintenance activities undertaken in the last 12 months, and I include the value of labor on regular upkeep from village members.

In outcomes 1.7 through 1.9, I look specifically at contributions to public goods from different sources, namely local sources, the CDF and the county government. This seeks to address whether local public good funding is a complement or substitute with other discretionary government funding. Theoretically, this could go in either direction. Development projects funded by the CDF and county government can require co-funding from localities; these projects could also stimulate greater local investment. In contrast, MPs and the county government could try to channel projects to areas that benefited less from GD's program. I conduct this analysis at the sublocation level, as sublocations have development committees that submit project proposals for CDF funding. This also allows me to incorporate projects that benefit multiple villages; since the CDF and county government often focus on larger projects (relative to projects funded exclusively from village revenues), this seems most appropriate. To make outcomes comparable across funding sources, I focus on contributions to new constructions and improvements of public goods (excluding regular upkeep), as these are the types of projects that the CDF and county government is likely to support. I also test for equality of coefficients across these different funding categories.

Outcome construction for family 1:

- **1.1 Total Village Informal Revenue per capita, by year:** Sum of the following factors:
  - Total amount raised via harambees for public goods per-capita (outcome 1.2)
  - Total taxes collected in the last 12 months per-capita (outcome 1.4), where I assign round 1 to 2015 and round 2 to 2016
  - Total village contributions to public goods, per capita (outcome 1.5)
  - Total value of village labor for regular upkeep in the last 12 months, per-capita (outcome 1.6), where I assign round 1 to 2015 and round 2 to 2016
- **1.2 Total amount raised via harambees by year, per-capita:** Sum of VE 7A.4 when purpose (7A.5) is for public goods, plus AC 7A.4 when purpose (7A.5) is for public goods and harambee does not duplicate village data, assigned to the village in which public facility is located (7A.3a). Years assigned based on 7A.3. Converted to a per-capita measure following Section 7.1.
- **1.3 Number of harambees by year:** Count of indicators for VE 7A.3 when purpose is for public goods (7A.5), plus indicators for AC 7A.3 when purpose (7A.5) is for public goods and harambee does not duplicate village data, assigned to the village in which public facility is located (7A.3a). Years assigned based on 7A.3.

- **1.4 Total village tax revenue raised for public goods in the last 12 months, per capita:** Sum of VE 7B.7b when purpose (7B.3) is for public goods, converted into a per capita measure following Section 7.1.
- **1.5 Total value of village public good contributions from village members, per capita:** Sum of value of local cash contributions to new constructions and improvements (VE 4.11a, 4-6.11b, 4.31a, 4-6.31b), in-kind contributions (4.14aii, 4-6.14bii, 4.34aii, 4-6.34bii), land contributions (4.17aii, 4-6.17bii, 4.37aii, 4-6.37bii) and labor contributions (4.19c, 4-6.19f, 4.40c, 4-6.40f), where labor and in-kind values filled in as needed following Section 7.2, and converted to a per-capita measure following Section 7.1.<sup>21</sup>
- **1.6 Total value of village labor for regular upkeep of village public facilities in the last 12 months, per capita:** Total value of village labor contributions (VE 4-6.46b) constructed as outlined in 7.2.
- **1.7 Sublocation-level public good contributions from local sources:** I total the following, ensuring that public facilities / projects are not duplicated across the VE, AC and School surveys:

For sections 4-6 in the VE survey and sections 4-5 in the AC survey: Sum of value of local cash contributions to new constructions and improvements (11a-b, 31a-b), in-kind contributions (14aii, 14bii, 34aii, 34bii), land contributions (17aii, 17bii, 37aii, 37bii) and labor contributions (19c, 19f, 4.40c, 40f), where labor and in-kind values filled in as needed following Section 7.2

I add to this the sum of SCH 5.10a,b,l (project expenditure from village, individuals within the village and parents contributions)

- **1.8 Sublocation-level public good contributions from CDF:** I total the following, ensuring that public facilities / projects are not duplicated across the VE, AC and School surveys:

For sections 4-6 in the VE survey and sections 4-5 in the AC survey: Sum of value of local cash contributions to new constructions and improvements (11d, 31d), in-kind contributions (14dii, 32dii), land contributions (17dii, 37dii), where in-kind values filled in as needed following Section 7.2.<sup>22</sup>

I add to this the sum of SCH 5.10c (project expenditures with CDF as funding source).

- **1.9 Sublocation-level public good contributions from county government:** I total the following, ensuring that public facilities are not duplicated across the VE, AC and School surveys:

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21. In round 1, cash contributions correspond to 4-6.10b and 4-6.21b. The rest should be straightforward to identify in the round 1 survey. Round 1 did not collect estimated values of the in-kind and labor contributions, see Section 7.2 for details on how I generate shilling values from this data.

22. Labor contributions by the CDF are undefined.

For sections 4-6 in the VE survey and sections 4-5 in the AC survey: Sum of value of local cash contributions to new constructions and improvements (11h, 31h), in-kind contributions (14hii, 32hii), land contributions (17hii, 37hii), where in-kind values filled in as needed following Section 7.2.<sup>23</sup>

I add to this the sum of SCH 5.10n (project expenditures with county government as funding source).

As a check, I will run all analyses using only data from round 2, focusing on post-treatment periods using the post-treatment equation (3). I note that this specification will have less statistical power, and will thus be less likely to produce significant results than the main specification utilizing the full panel. I will also calculate sublocation-level results using only data from the AC surveys, and looking at the coefficient on  $\beta$  from equation (2). This offers an alternative measure of the average effect of being a high saturation sublocation, and may differ from coefficients in Table 2 due both to differences in the composition of public goods between the AC and VE surveys and to differences in reporting on harambees, taxes, public good contributions and upkeep by ACs and VEs.

As more exploratory hypotheses (which will not count towards the FDR correction), I will also generate measures of funding contributions from the national government, NGOs and other sources.

### 4.3 Family 2: Redistribution & Household Tax Burden

I next turn to household data to understand how revenue is being raised at the household level, and the implications of this for the redistributive nature of the transfers. Table 3 outlines the family of outcomes that I study to gain insight into these questions.

The primary outcome from family 2 is the household's total taxes paid in the last 12 months, which is the sum of all (direct) formal and informal taxes.<sup>24</sup> I also look at household tax rates, as well as tax amounts broken up by formal and informal taxes. I then look at the total amount paid by households in school and health clinic user fees. Lastly, I look at household "targets", the

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23. Labor contributions by the county government are undefined.

24. My primary outcomes focus on direct formal taxes paid by household members, as enterprise surveys can capture information on indirect taxes (VAT and excise taxes). In addition, enterprises that conduct less than KSH 5 million in annual turnover (a threshold that, based on baseline data, almost no enterprises located in our study area reach) are not required to register for VAT, and can instead pay a turnover tax, based on flat 3% of gross receipts. As an secondary analysis, I will include measures of indirect taxes in household's formal tax burden based on household's reported expenditure, as in Olken and Singhal (2011). My first measure of this will exclude food, health and school expenditures, all of which are generally excluded from VAT, and will separately calculate excise tax rates for alcohol, tobacco and fuel. This may overestimate the amount paid in VAT, as it includes all household expenditure, even though many of these may come at stores that are not registered for VAT. My second approach will only count the following expenditure categories, as these items are more likely to be purchased from larger stores in towns, and thus more likely to incur VAT: airtime, internet expenses, travel, lottery tickets/gambling, electricity, home repair, and home improvement. I calculate excise taxes in the same manner as before. In both cases, I will annualize the amount paid in indirect taxes.

amount expected to be contributed to public goods via collections by local leaders. This captures whether households were subject to greater pressure for contributions in treatment areas. This was not collected at baseline, so we do not include the baseline value in the regression specifications.

The full list of outcomes to be constructed in this family is as follows (all outcomes constructed as measures of the last 12 months):

- **2.1 Household total taxes paid:** Sum of total formal taxes (outcome 2.3) and total informal taxes paid (outcome 2.4)
- **2.2 Household tax rates:** Total tax paid (outcome 2.1) divided by total endline household income (defined below).
- **2.3 Total formal taxes paid:** Sum of self-employment licenses (8.8a), plus annualized national taxes (8.17c), county taxes (8.17d), and market fees (8.17b), plus sum of annualized income tax for employment (9.10)
- **2.4 Total informal taxes paid:** Sum of the total value of cash, in-kind and labor contributions towards:
  - harambees for public goods: Sum of 10.1.19 for purposes of public goods (10.1.18b), plus sum of 10.1.13 (money and materials) plus sum of 10.1.15 (hours of extra labor) valued following Section 7.2
  - contributions towards “targets” for public goods (separate from harambee contributions) (Sum of 10.1.10)
  - taxes to local leaders from those in self-employment: Sum of 8.17f
  - fines and fees by village elders/assistant chief: Sum of 10.1.25a, 10.1.25b
  - labor at the direction of village elders/assistant chief/other local authority: 10.1.27a (hours) valued following Section 7.2
  - any other contributions towards public goods: Sum of 10.1.17a,c plus 10.1.17b valued following Section 7.2, plus 10.1.23 for purposes of public goods (10.1.22b)
- **2.5 School fees:** The sum of activity fees and development fees paid by the household for the three most recent completed school terms as of the time of survey (Sum of 4.14 and 4.17 for all children in relevant terms)

This excludes the cost of uniforms and supplies (it is not total education expenditure) but does include activity and development fees.

- **2.6 Heterogeneous effects on total taxes paid by baseline household income:** Outcome 2.1, looking for heterogeneity in baseline household income variables (eligible & above median income for eligible households) and (ineligible & above median income for ineligible households), where baseline income is constructed as below

- **2.7 Heterogeneous effects on total taxes paid by baseline household assets:** Outcome 2.1, looking for heterogeneity in baseline household assets for variables (eligible & above median assets for eligible households) and (ineligible & above median assets for ineligible households), where baseline assets is constructed as below
- **2.8 Expected household contribution to all public facilities:** sum of the household “targets” for each type of public good, regardless of whether or not the household paid the full target amount. Sum of 10.1.8.

The survey questions used to construct the household income and asset measures are outlined below.

- *Total household income:* Sum of total profits from agriculture and livestock, total profits from non-ag business, and total value of wages, employment benefits and salaries.
- *Total profits from agriculture and livestock in the last 12 months:*
  - *Endline:* Sum of agriculture and livestock income (7.6a, 7.6ba), plus the value of goods produced for own consumption by taking months produced for own consumption times amount consumed per month;<sup>25</sup> net of costs: ag and livestock costs (7.12, 7.13.a-f, 7.6ca), the rental cost of land from acres 6.8.b times months rented 6.8.c times monthly rent 6.8.d.<sup>26</sup>
  - *Baseline:* due to time constraints, we did not collect sufficient detail to construct a measure of agricultural profits. I will instead substitute agricultural revenue (total reported crop sales)
- *Total profits from non-ag. business in the last 12 months:*
  - *Endline:* Sum of variable 8.11 for all businesses owned by members of the household. Where variable 8.11 is missing, we use variables 8.7 net of 8.15, 8.16.a-h, and 8.17.a-g for all businesses owned
  - *Baseline:* Sum of variable 8.11 for all businesses owned by the respondent. Where variable 8.11 is missing, we use variables 8.7 net of 8.15, 8.16.a-h, and 8.17.a-g for all businesses owned
- *Total value of employment earnings in the last 12 months:*
  - *Endline:* Sum of variables 9.9 and 9.11a-f for all household members (wages, in-kind transfers/benefits from employment, and salaries earned in the last month), annualized

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25. The preferred units for consumption was Kenya shillings. I will convert other units to shillings using mean market prices for the product.

26. We do not subtract off unpaid labor. It is not clear that respondents are doing this when we ask about self-employment profits, so we do not subtract from ag. profits for consistency.

to a yearly measure (if household member has not been working the whole year, then I use the number of months the household member was working instead of 12).

- *Baseline*: Sum of variables 9.19 and 9.11a-f for respondent (wages, in-kind transfers/benefits from employment, and salaries earned in the last month), annualized to a yearly measure.
- *Total value of non-land assets*: total value of non-land assets, which is the sum of the Kenya shilling value of livestock, furniture, electronics, bicycles, motorcycles, cars, boats, and agricultural tools plus outstanding loans to friends and family; net of outstanding ROSCA/merry-go-round loans, commercial bank loans, shylock/moneylender loans, M-Shwari<sup>27</sup>, and borrowing from friends. Sum of variables 6.13.aii-zii, 6.13.aaии-hhii, and 10.8.b net of variables 10.3.d, 10.4.a, 10.5.a, 10.6.a, and 10.7.b

I construct measures of baseline household income following as closely as possible the measure of household income at endline outlined above, though there are a few differences as noted by the description of the variable construction. As a check, I will also look at only at tax rates and heterogeneity based on household non-farm income.

#### 4.4 Family 3: Enterprise Taxes and Formality

Enterprises were not directly targeted for transfers, though enterprises could have benefitted from increased purchasing power or, if the enterprise owner was eligible and living in a treatment village, from the owner's cash transfer. They were not excluded if they met the eligibility criteria. In this family of hypotheses, I test whether these effects lead to an increase in the amount paid by enterprises in taxes or into an increase in enterprise formality.

My primary outcome for enterprises is the total amount of formal and informal taxes paid in the last 12 months. Formal taxes include license fees, market fees, turnover taxes and, for corporations, corporate income taxes. I construct enterprise tax rates by dividing total taxes paid by total revenues. I use total revenues instead of total taxes as, based on baseline data, the vast majority of enterprises bring in less than KSH 5 million in gross sales per year and are not registered as corporations, so these enterprises would be subject to turnover taxes rather than corporate income taxes. Turnover tax is assessed at a flat 3% of gross sales, so using revenues more closely matches the tax calculation that enterprises would be subject to.

I also collect information on informal taxes paid to village elders, assistant chiefs or chiefs. In addition to these measures, I include measures of whether the enterprise is licensed with the county government, my main measurement of enterprise formality, as well as whether the enterprise name is registered with the national government.

The outcomes for enterprises are constructed in the following manner:

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27. M-Shwari is a lending service provided by Safaricom for individuals with an M-Pesa account.

- **3.1 Total enterprise tax and license payments in the last 12 months:** The sum of the following variables:<sup>28</sup>
  - National government taxes in the last month, annualized (4.21a)
  - County government taxes in the last month, annualized (4.21b)
  - Market fees in the last month, annualized (4.20)
  - Total paid in licenses to the county government in the last 12 months (4.19a)
  - Payments to chiefs, assistant chiefs, and village elders in the last month, annualized (4.21c)
- **3.2 Enterprise tax rate:** Total enterprise taxes from outcome 3.1 divided by total enterprise revenues in the last 12 months (4.14b)
- **3.3 Enterprise licensed with the county government:** Indicator equal to one for enterprises that report having a license (4.19)
- **3.4 Indicator for being registered with the national government:** response to survey question on whether the enterprise is registered with the national government (4.22)

As noted in Section 3.4, due to concerns about enterprise turnover and with a goal of ensuring the endline sample is representative, my primary specification compares enterprises in treatment versus control villages at endline. However, one might still worry about differential composition of enterprises in treatment versus control villages. For instance, if there is an increase in enterprise creation in treatment villages (an outcome for other GE pre-analysis plans), enterprises in treatment villages may be on average newer than enterprises in control villages. If newer enterprises are less likely to be formal, this could appear as a null effect on my measure of informality. To explore this, I take two approaches. First, I will also reproduce the outcomes in this family looking only at enterprises that report having been founded at the time of our baseline surveys of enterprises. This allows for the fact that some of the enterprises that may have been operational at the time of the baseline surveys, yet not surveyed (for instance, if the enterprise was closed at the time of enumerators' visit). As a second check, I will include a set of indicator variables for the year in which the enterprise was founded, so that all comparisons of formality are within enterprises of the same age. I anticipate including these results in an appendix.

## 4.5 Family 4: Public Good Expenditure

I hypothesize that public good expenditure increases in treatment areas. The primary outcomes from this family are a village-level measure of public good expenditure and a sublocation-level measure of public good expenditure, both of which focus on investments in public goods. Both of

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<sup>28</sup> In the endline survey, these may be captured over the last 12 months. These question numbers refer to the baseline enterprise survey. Total enterprise taxes will be the sum of all taxes measured at endline.

these are combined with measures of number of projects to form a mean effects index (P5 and P6). These measures calculate the total value of cash, in-kind, land and labor contributions to public goods for the initial construction, improvements and repairs, and upkeep and maintenance from village elder and assistant chief surveys. Additional outcomes in this family look at expenditure by the type of public good. I assign expenditure to villages and sublocations based on the location of the public facility that is benefitting from the expenditure.

There are a few general notes relevant to the construction of outcomes within this family. The survey asks both for total spending for any projects and regular maintenance, as well as contributions to spending in cash, in-kind, land and labor. The total spending generally incorporates the value of cash and in-kind materials, but does not include land and labor (in particular, unpaid labor). To get a fuller measure of spending, my main measure thus uses expenditure constructed via the components of cash, in-kind, land and labor, though I will explore how these measures compare to reported total spending.

The second round of the local leader survey asked for the estimated value of in-kind, land and labor contributions in Kenyan shillings, while the first round did not capture the estimated monetary value of in-kind and labor contributions. In cases where monetary values are not provided, I convert these to Kenyan shillings following Section 7.2. In cases where assistant chiefs or village elders are unable to provide information on project amounts, I fill in with estimated amounts based on the following procedure: I classify projects into project types by facility type and the project characteristics as reported in the survey. I then take the average of all non-missing total expenditure amounts by project type and treatment status (high vs low saturation for assistant chief surveys, treatment vs control villages for village elder surveys). The motivation behind this is to ensure that, if areas that received cash transfers construct larger or higher-quality projects, that this difference will be picked up. I then replace missing project values with the mean value of the project type-treatment status cell. I will also use the overall average by project type to determine if this decision drives any of my results.

For all projects (both new constructions and improvements/repairs), enumerators ask about the month and year in which the project was initiated and the month and year in which the project was first operational.<sup>29</sup> I consider two ways of allocating expenditures across years: first, and what I anticipate reporting in my main tables, I allocate project expenditures uniformly across months from project initiation to first operation. If months are missing, I allocate projects evenly across years. Second, I allocate all expenditures to the year in which the project is first operational. Anecdotally, most improvements and repairs are completed in one year, so I anticipate finding few differences in these measures. If I do find large differences, I will investigate in order to try to determine if assuming expenditures are spaced evenly across years is a reasonable assumption.

Below, I describe the survey questions used to construct each outcome.

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29. See, for instance, questions VE 4.4-5 and 4.23-24 on the initial construction and improvements/repairs of water points.

- **4.1 Total village-level expenditure per capita per year:** Sum of water point project spending (outcome 4.3), feeder road/bridge project spending (outcome 4.4), and other village facility project spending (constructed in the same way as outcome 4.3 and 4.4 but using data from VE survey section 6), converted to a per-capita measure as outlined in section 7.1.
- **4.2 Total sublocation-level expenditure per capita per year:** Sum of health clinic/dispensary project spending (outcome 4.5), market center project spending (outcome 4.6), school construction/development project spending (outcome 4.7), and other sublocation facility project spending (constructed in the same way as outcome 4.6, using data for all project types other than market centers).
- **4.3 Water Point Expenditure:** VE survey: Sum of cash contributions to new constructions and improvements (4.11a-i, 4.31a-i), in-kind contributions (4.14aii-iii, 4.34aii-iii), land contributions (4.17aii-iii, 4.37aii-iii) and labor contributions (4.19c,19f,19i, 4.40c,4.40f,40i), plus total value of regular maintenance from both inside and outside the village (4.42, 4.45b, 4.46b, 4.48b, 4.50c), where I value unpaid labor and in-kind materials as outlined in section 7.2. If upkeep amount is not given in 4.42, I will calculate an estimated cost for each type of regular maintenance activity, and apply this based on the reported frequency of this type of upkeep.
- **4.4 Feeder Road/Bridge Expenditure:** VE survey: Sum of cash contributions to new constructions and improvements (5.11b-i, 5.31b-i), in-kind contributions (5.14bii-iii, 5.32bii-iii), land contributions (5.17bii-iii, 5.37bii-iii) and labor contributions (5.19c,19f,19i, 5.40c,40f,40i), plus total value of regular maintenance from both inside and outside the village (5.42, 5.45b, 5.46b, 5.48b, 5.50c), where I value unpaid labor and in-kind materials as outlined in section 7.2. If upkeep amount is not given in 5.42, I will calculate an estimated cost for each type of regular maintenance activity, and apply this based on the reported frequency of this type of upkeep.
- **4.5 Health Clinic/Dispensary Expenditure:** AC survey: Sum of cash contributions to new constructions and improvements (4.11a-i, 4.31a-i), in-kind contributions (4.14aii-iii, 4.32aii-iii), land contributions (4.17aii-iii, 4.37aii-iii) and labor contributions (4.19c,19f,19i, 4.40c,4.40f,40i), plus total value of regular maintenance from both inside and outside the sublocation (4.42, 4.45b, 4.46b, 4.48b, 4.50c), where I value unpaid labor and in-kind materials as outlined in section 7.2. If upkeep amount is not given in 4.42, I will calculate an estimated cost for each type of regular maintenance activity, and apply this based on the reported frequency of this type of upkeep.
- **4.6 Market Center Expenditure:** AC survey: Sum of cash contributions to new constructions and improvements (5.11a-i, 5.31a-i), in-kind contributions (5.14aii-iii, 5.32aii-iii), land contributions (5.17aii-iii, 5.37aii-iii) and labor contributions (5.19c,19f,19i, 5.40c,40f,40i), plus total value of regular maintenance from both inside and outside the sublocation (5.42, 5.45b,

5.46b, 5.48b, 5.50c), where I value unpaid labor and in-kind materials as outlined in section 7.2. If upkeep amount is not given in 5.42, I will calculate an estimated cost for each type of regular maintenance activity, and apply this based on the reported frequency of this type of upkeep.

- **4.7 School Construction/Development Expenditure:** Sum of SCH 5.7 and 5.15f (maintenance) plus sum of estimated cost of school construction projects based on standardized value from project description in AC 6.8 when project not recorded by school or year is missing. I use the school survey data to generate the measure of standardized costs for common types of development projects.

## 4.6 Family 5: Number of projects

This family focuses on the number of projects carried out by villages and sublocations in the study area; I hypothesize that treatment areas see an increase in the number of projects that are undertaken. By projects, I mean the number of repairs, improvements or new constructions of public facilities. The construction of outcomes is very similar to the public good expenditures family (Section 4.5); however, since the number of projects does not require cost estimates, measurement of the number of projects is substantially easier.

Table 6 outlines the different outcomes that make up this family, and the coefficients of interest for tests of direct and spillover effects. The primary outcomes from this family are the total number of village projects, measured via village elder surveys, and the total number of sublocation projects, measured via assistant chief and school head teacher surveys. These form part of the indices in primary outcomes P5 and P6.

As with expenditure, projects can be assigned to either the year they are initiated or the year they are first operational. My main measure creates a yearly panel by assigning projects to years based on the project initiation date. Based on anecdotal evidence, I expect that the number of projects initiated and number of projects first operational in each year will be very similar. If there are substantial differences between these two measures, I will add “total number of projects first operational” at both the village and sublocation levels as outcomes in family 5.

I construct outcomes for this family as follows:

- **5.1 Total number of village projects:** Sum of the following elements, assigned to the initiation year:
  1. Water point projects: see outcome 5.3
  2. Feeder road / bridge projects: see outcome 5.4
  3. Other projects: Sum of indicators for new constructions in a given year (from VE 6.4a) and indicators for improvements taking place in a given year (VE 6.23a)

- **5.2 Total number of sublocation projects:** Sum of the following elements, assigned to the initiation year:
  1. Health Clinic / dispensary projects: see outcome 5.5
  2. Market center projects: see outcome 5.6
  3. Primary school projects: see outcome 5.7
  4. Other sublocation projects: Sum of indicators for new constructions in a given year (AC 5.4a) and indicators for improvements taking place in a given year (AC 5.23a) for projects other than categories above
- **5.3 Number of water point projects:** Sum of indicators for new constructions in a given year (from VE 4.4a) and indicators for improvements taking place in a given year (VE 4.23a)
- **5.4 Number of feeder road projects:** Sum of indicators for new constructions in a given year (from VE 5.4a) and indicators for improvements taking place in a given year (VE 5.23a)
- **5.5 Number of health clinic dispensary projects:** Sum of indicators for new constructions in a given year (AC 4.4a) and indicators for improvements taking place in a given year (AC 4.23a)
- **5.6 Number of market center projects:** Sum of indicators for new constructions in a given year (AC 5.4a) and indicators for improvements taking place in a given year (AC 5.23a) for projects that are market centers (AC 5.3)
- **5.7 Number of primary school projects:** Sum of indicators for school construction projects in AC survey (AC 6.4a) and the number of new school development projects started by year (SCH 5.3), not counting any duplicates between the surveys.
- **5.8 Number of locally-initiated village projects:** Sum of indicators that starter / initiator of project (VE 4.9a, 4.28, 5.9a, 5.28, 6.9a, 6.28) was “local”, meaning from the village or sublocation. Based on coded response values, this corresponds to one of the following: village elder, assistant chief, sublocation development committee, community groups, individual owner, village members, or sublocation members.
- **5.9 Number of locally-initiated sublocation projects:** Sum of indicators that starter / initiator of project (AC 4.9a, 4.28, 5.9a, 5.28) was “local”, meaning from the village or sublocation. Based on coded response values, this corresponds to one of the following: village elder, assistant chief, sublocation development committee, community groups, individual owner, village members, or sublocation members.

If I find effects on the number of projects, I will investigate whether this is due to new constructions, improvements or repairs. I will also investigate other initiators of projects.

## 4.7 Family 6: Public good quality

Does public good quality increases in treatment areas? I use data from household and local leader surveys to test whether this is the case. Each survey instrument collects slightly different information regarding public good quality: surveys for households are design to capture the quality of public goods they use (or could potentially use), while surveys of local leaders ask about the quality of all public goods in the area that they administer.

My primary outcome related to public good quality (P7) is a mean effects index of a) a VE-reported index of public good quality at the village level (which covers water points and feeder roads), b) village-level mean of household public good quality index for eligible households and c) village-level mean of household public good quality index for ineligible households. The construction of this index is described in Section 4.1. For this family, I focus on the VE and household indices, and estimate effects at the village and household level, respectively. This provides a more nuanced picture of the direct and spillover effects on different types of households than averaging to the village level would provide.

In constructing the village elder and household public good indices, I calculate a mean effects index in order to give equal weighting to different types of public goods; I have no a priori reason to think that some types may be more important than others. However, as a secondary outcome, I will construct ICW indices to represent an underlying latent variable of public good quality in the village. The VE-reported index is an index of the mean water point and feeder road quality within the village (outcomes 6.3 and 6.4). I elect to focus on water point and feeder road quality because these are public goods that are reported in almost all villages. The household index is an index of water points, feeder roads and bridges, and health clinics facing the household. For all questions, I code responses of very good as 5, good as 4, fair as 3, poor as 2, and very poor as 1, so that higher values correspond to better-quality public goods. I do not create an index of sublocation-level projects due to the fact that not every sublocation will have a health clinic and market center. Instead, I look at sublocation-level outcomes on health clinics and market centers for the sublocations that have these facilities.

- **6.1 VE Public Good Quality Index:** Mean effects index of outcome 6.3 & 6.4
- **6.2 Household Public Good Quality Index:** Mean effects index of the following questions:
  - (10.1.4) Now I'd like you to think about the water points that your household uses. How would you rate the quality of these water points?
  - (10.1.5) Now I'd like you to think about the feeder roads, bridges and footpaths within this village your household uses. How would you rate the quality of these feeder roads, bridges and footpaths?

- (10.1.6) Now I'd like you to think about the nearest public health clinic/dispensary. How would you rate the quality of the nearest public health clinic/dispensary?
- **6.3 VE-reported quality of water points:** Mean of VE 4.7 for all water points currently operational in the village. If no water points within the village, I code this as 0.
- **6.4 VE-report quality of feeder roads:** Mean of VE 5.7 for all feeder roads and bridges within the village. If no feeder roads or bridges, I code this as 0.
- **6.5 Household-reported water point quality:** Answer to 10.1.4
- **6.6 Household-reported feeder road quality:** Answer to 10.1.5
- **6.7 Household-reported health clinic quality:** Answer to 10.1.6
- **6.8 AC-reported health clinic quality:** Answer to AC 4.7. Set to missing for sublocations with no health clinic
- **6.9 AC-reported quality of market center:** Answer to AC 5.7 for market centers. Set to missing for sublocations with no market centers.

## 4.8 Family 7: Primary School Outcomes

Primary schools are a key source of spending for localities and households. Here, I look at outcomes related to both school development (funding and expenditure) and student outcomes; Table 8 provides a full list.

There are several potential channels through which cash transfers to households can influence these schooling outcomes. Greater household wealth may provide additional funding for schools, either due to additional fundraising, greater payment of school fees, or more on-time payment of school fees. Schools may then invest the additional funding in ways that help improve student learning, and thus improve enrollment and test scores. Alternatively (but not mutually exclusively), improving the home life of students via increased wealth may lead to better school performance, either through greater attendance, greater time spent studying, more money spent on school supplies, improved nutrition, etc.

Given the relatively short time frame and the smaller share of households receiving transfers as a portion of the whole student population, I have a weaker prior for seeing effects on student outcomes, in particular on test scores, compared to outcomes such as school fees collected, as it may take a number of years before test score gains appear. As such, while measures of the number of school development expenditure and school projects are components of the sublocation-level expenditure and projects primary outcomes, I do not include a measure of student outcomes as a primary outcome.

Within this family, I first look at total school fees collected, converting this to a per-student measure by dividing by enrollment to have a comparable measure across schools of different size. I next look specifically at development fees, as these fees are generally directly tied to specific projects that the school is undertaking, and are able to respond more easily.<sup>30</sup> My last school funding measure looks at all funding except for that provided by the national government on a per-pupil basis. I then turn to total school expenditures, and then to the number of locally-funded teachers, a source of expenditures covered by the school that may also be more easily adaptable.

In terms of student outcomes, I look at the number of students enrolled, mean KCPE (primary completion exam) test scores, and the number of students sitting the KCPE exam.

I construct outcomes within this family as follows:

*School Funding & Expenditure:*

- **7.1 Total School Fees Collected (per student):** Sum of amount collected for PTA fees (4.13a-d), DEB fees (4.17), Exam fees (4.25a-d, 4.26a-d), Admission fees 4.28, and school development fees (4.31a-c), and other fee collections (4.35a-c), divided by total regular enrollment (3.5)
- **7.2 Total School Development Fees Collected (per student):** School development fees (4.31a-c), divided by total regular enrollment (3.5)
- **7.3 Total School Funding, excluding national government funding (per student):** This totals funding for the school from sources other than the national government's formula-based funding amount. The national government provides a set amount per enrolled pupil, so this measures funding from all other sources. It is made up of contributions both towards the school's general operation and towards development projects. It is constructed by summing total school fees (from hypothesis 7.1), county government funds (4.3), CDF funds (4.5), other sources of school income and donations (4.36aii-fii), then dividing by the total regular enrollment (3.5)
- **7.4 Total School Expenditure (per student):** This totals both regular and development expenditure. 5.16 plus project expenses when not controlled by the school (sum of 5.7 when 5.9 is not school administration), divided by total regular enrollment (3.5). If 5.16 is missing for many schools, I will instead construct this as a total of the different expenditures reported by the head teacher.
- **7.5 Number of locally hired teachers:** 3.3

*Student-related Outcomes:<sup>31</sup>*

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30. This differs from school development expenditures (hypothesis 4.7) in that it focuses on the revenue raised, rather than expenditure.

31. As surveys were conducted before KCPE exams in 2016, survey data is only available on this variable through 2015. I will seek to get administrative records on 2016 scores and the number of students sitting the exam.

- **7.6 Total regular enrollment** (3.5)
- **7.7 Mean KCPE test score** (6.3)
- **7.8 Number of students sitting for KCPE** (6.2)

For all outcomes within this family, if I find effects on these variables, I will look more in depth at the components to try to better understand mechanisms. For instance, if I find effects on enrollment, I'll then investigate if increases are coming from male students or female students, and if there are more students entering (higher class 1 enrollment) or progressing to class 8. In addition, Section 5.1 looks in more detail at whether school fee compliance increases in high saturation areas.

As noted in Section 2, records from the Ministry of Education can be used to help fill in missing values, especially for enrollment and testing outcomes. However, they do not contain information about parent fees and contributions.

#### **4.9 Family 8: Political Attitudes**

Political attitudes and preferences for redistribution for both eligible and ineligible households in both treatment and control villages may be affected by redistribution in cash to poor households in treatment villages. Table 9 lists the set of outcomes that make up this family, all of which come from household survey data. I select respondent support for redistribution as the primary outcome from this family, as this is most directly related to the public finance literature. However, I note that questions about support for incumbents is another key topic in the political science literature, and has been the focus of a number of papers. For instance, Blattman, Emeriau, and Fiala (2017) find that recipients of an anti-poverty program in Uganda were more likely to support the opposition. Given the interest in this topic, I may focus in more depth on this outcome in a separate paper.

While the experimental setup is well-suited to identify if there are changes in support for redistribution (and changes in political attitudes more broadly), it is more difficult to disentangle the mechanisms behind any observed effects. For instance, if I find a decrease in support for redistribution, this could be due to changing preferences or households' believing there is less need for redistribution due to the increase in wealth for poor households.

I have no strong priors on the direction in which any effects on household attitudes should go. Even question by question, individuals may support redistribution but say only by the national government, rather than local authorities. I will also use each individual component of the indices as a separate regression and report the results in the appendix. If I find there are any outcomes with no variance, I will exclude these, as they do not contribute to the index. I will calculate and report FDR q-values across all components within an outcome. My main specification will use OLS, but I may also check for consistency with logit regressions (including ordered logit for outcomes that take an ordinal ranking).

For ease of interpretability, my primary method for outcome construction uses mean effects indices and converts most outcomes into indicator variables.

- **8.1 Support for Redistribution:** A mean effects index of the following variables

1. Indicator for agree (completely or somewhat) that the government should take measures to reduce differences in income levels (13.1)
2. Indicator for agree (completely or somewhat) that local leaders (chiefs, assistant chiefs, and village elders) should take measures to reduce differences in income levels within the village (13.2)
3. Indicator for agree that “B. Households that are able to pay more should pay more for goods that benefit the whole community”, versus “A. All households in a community should pay equal amounts for items that benefit the whole community” (13.3)
4. Indicator for view closer to (a response of 1 - 4) that “incomes should be made more equal”, where 1 means “incomes should be made more equal” and 10 means “income differences should be larger as an incentive for individual effort” (13.4)
5. Indicator for view closer to (a response of 1 - 4) that “government should take more responsibility to ensure that everyone is provided for”, where 1 means “government should take more responsibility to ensure that everyone is provided for” and 10 means “people should take more responsibility to ensure that everyone is provided for”. (13.5)
6. Indicator for view closer to (a response of 1 - 4) that “communities should take more responsibility to ensure that everyone is provided for”, where 1 means “communities should take more responsibility to ensure that everyone is provided for” and 10 means “individuals should take more responsibility to ensure that everyone is provided for” (13.6)
7. (13.8a-d) Progressivity of preferred tax plan: respondents were asked a series of questions about their preferred tax rate for individuals earning 5,000 KSH per month, 10,000 KSH per month, 20,000 KSH per month and 40,000 KSH per month.<sup>32</sup> I calculate whether the preferred tax schedule is progressive (coded as 1), or otherwise (coded as 0).

- **8.2 Support for incumbent:** A mean effects index of the following outcomes:

- Indicator for county government performance better than two years ago (13.20)
- Indicator for national government performance better than two years ago (13.21)
- Indicator for your Member of Parliament’s performance better than two years ago (13.22)

- **8.3 Social Trust Index:** A mean effects index of the following 7 questions:

- (13.11) Trusts people in general (Indicator = 1 if responded “most people can be trusted”)

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32. The format for these questions was based off of the European Social Survey used in Singhal (2013).

- (13.12a) Trust members of one's own ethnic group (1=Yes, 0=No)
- (13.12b) Trust members of other ethnic groups (1=Yes, 0=No)
- (13.13a) Trust members of one's own church/mosque (1=Yes, 0=No)
- (13.13b) Trust members of other church/mosques (1=Yes, 0=No)
- (13.14a) Trust members of one's own village (1=Yes, 0=No)
- (13.14b) Trust members of other villages (1=Yes, 0=No)

- **8.4 Political participation Index:** A mean effects index of the following 5 indicators:

- (13.15a) Indicator for having attended rally in the last 12 months
- (13.15b) Indicator for having attended a demonstration in the last 12 months
- (13.15c) Indicator for having a political discussion in the last 12 months
- (13.15d) Indicator for engaging in political campaigning activities in the last 12 months
- (13.16) Indicator for planning on voting in upcoming election

- **8.5 Community Involvement Index:** The total number of “yes” answers to questions about involvement in the following types of community groups:

- women's/men's group;
- farmer/agricultural group;
- youth group;
- water group/well committee;
- religious study group;
- burial committee;
- school committee or club;
- sports team;
- another community group.

- **8.6 Community Group Indicator:** An indicator for a member of the household being involved in at least one community group (i.e. answering yes to any of the questions in the community involvement index.) The questions on community groups were not included in the baseline survey. If there is very little variation in this outcome because over 90% of households are members of at least one community group, then I will drop this outcome.

- **8.7 Support for Democracy:** A mean effects index of the following questions:

- An indicator for “democracy is preferable to any other kind of government” (13.17)
- An indicator for “B. We need multiple parties who can stand for election and hold office”, versus “A. Only one political party should be allowed to stand for election and hold office.”(13.23)

- An indicator for “A. As citizens, we should be more active in questioning the actions of our leaders”, versus “B. In our country these days, we should show more respect for authority. (0)”

As a secondary analysis, I explore constructing outcomes that take into account variation in the strength of responses, and utilizing ICW indices, for the following outcomes:

- **8.1A Support for Redistribution:** An ICW index of the following questions, coded so that higher values represent positions further to the left on the political spectrum:

1. (13.1) The government should take measures to reduce differences in income levels. (5=completely agree, 1=completely disagree)
2. (13.2) Local leaders (chiefs, assistant chiefs, and village elders) should take measures to reduce differences in income levels within the village. (5=completely agree, 1=completely disagree)
3. (13.3) For the following pair of statements, tell me which statement is closest to your view. A. All households in a community should pay equal amounts for items that benefit the whole community. B. Households that are able to pay more should pay more for goods that benefit the whole community. (5=strongly agree with B, 1=strongly agree with A)
4. (13.4) Some people believe that people’s incomes should be made more equal, while others believe that income differences are needed as an incentive for individual effort. Please tell me which comes closest to your view on this scale where 1 means “incomes should be made more equal” and 10 means “income differences should be larger as an incentive for individual effort”. (reverse coded)
5. (13.5) Some people believe that the government should take more responsibility to ensure that everyone is provided for, while others believe that individuals should take more responsibility themselves to ensure that everyone is provided for. Please tell me which comes closest to your view on this scale where 1 means “government should take more responsibility to ensure that everyone is provided for” and 10 means “people should take more responsibility to ensure that everyone is provided for”. (reverse coded)
6. (13.6) Some people believe that the communities should take more responsibility to ensure that everyone is provided for, while others believe that individuals should take more responsibility themselves to ensure that everyone is provided for. Please tell me which comes closest to your view on this scale where 1 means “communities should take more responsibility to ensure that everyone is provided for” and 10 means “individuals should take more responsibility to ensure that everyone is provided for”.
7. (13.8a-d) Progressivity of preferred tax plan: respondents were asked a series of questions about their preferred tax rate for individuals earning 5,000 KSH per month, 10,000 KSH per month, 20,000 KSH per month and 40,000 KSH per month.

- **8.2A Support for incumbent:** An ICW index of the following questions:

Compared to 2 years ago, is performance of [unit] better (1), same (1/2) or worse (0), where the units are:

- (13.20) County government
- (13.21) National government
- (13.22) Your Member of Parliament

- **8.3A Social Trust Index:** An ICW index of the following 7 questions:

- (13.11) Trusts people in general (Indicator = 1 if responded “most people can be trusted”)
- (13.12a) Trust members of one’s own ethnic group (1=Yes, 0=No)
- (13.12b) Trust members of other ethnic groups (1=Yes, 0=No)
- (13.13a) Trust members of one’s own church/mosque (1=Yes, 0=No)
- (13.13b) Trust members of other church/mosques (1=Yes, 0=No)
- (13.14a) Trust members of one’s own village (1=Yes, 0=No)
- (13.14b) Trust members of other villages (1=Yes, 0=No)

- **8.4A Political participation Index:** An ICW index of the following 5 indicators:

- (13.15a) Indicator for having attended rally in the last 12 months
- (13.15b) Indicator for having attended a demonstration in the last 12 months
- (13.15c) Indicator for having a political discussion in the last 12 months
- (13.15d) Indicator for engaging in political campaigning activities in the last 12 months
- (13.16) Indicator for planning on voting in upcoming election

- **8.7A Support for Democracy:** An ICW index of the following questions:

- (13.17). Which of these three statements is closest to your own opinion? Read statements aloud. Only one option should be chosen. 1 = Democracy is preferable to any other kind of government. (coded as 1) 2 = In some circumstances, a non-democratic government can be preferable. (coded as 0) 3 = For someone like me, it doesn’t matter what kind of government we have. (coded as 1/2)
- (13.23) Read: For each of the following pairs of statements, tell me which of the following statements is closest to your view about Kenyan politics? A. Only one political party should be allowed to stand for election and hold office. (0) B. We need multiple parties who can stand for election and hold office. (1)

- (13.26) Read: For each of the following pairs of statements, tell me which of the following statements is closest to your view about Kenyan politics? A. As citizens, we should be more active in questioning the actions of our leaders. (1) B. In our country these days, we should show more respect for authority. (0)

## 4.10 Heterogeneous Effects

The type of heterogeneity of interest varies based on the level of data analysis and the family of outcomes. I group dimensions of heterogeneity into six categories of heterogeneous effects: i) leader characteristics; ii) diversity; iii) general household; iv) household taxes; v) schooling; and vi) enterprise. These are all captured in Table 10, and the following subsections describe the motivation for each category.

The regression equations for estimating heterogeneous effects are specified in Section 3; the exact equation depends on the level at which the outcome variable is collected. Outcomes at the sublocation level use equation (6), those at the village level use equation (5), those at the household level use equation (10), those at the school level use equation (12) and those at the enterprise level use equation (15). Multiple testing corrections will follow Section 3.6.

In addition to the outcomes and empirical specifications outlined here, I may also take advantage of new methods in supervised machine-learning for an exploratory analysis of heterogeneous effects. In particular, Athey and Imbens (2015) describe the causal tree (CT) method, which takes a machine-learning approach to finding interaction terms of interest and uses cross-validation to reduce the risk of overfitting. This offers the advantage of not needing to specify baseline covariates while still being able to conduct valid inference without concerns about multiple inference. If new methods along these lines are developed, I will also consider them.

I note that interest in a number of these dimensions are conditional on finding treatment effects; I will report all tests outlined here either in the paper or the appendix. As previously noted, there may be other sources of heterogeneity that I will also explore, and this document is not meant to preclude additional analyses.

### 4.10.1 Local Leader Characteristics

As part of surveys of village elders, assistant chiefs, and school head teachers, we collect information on the demographics of survey respondents. This allows me to look at heterogeneity in these dimensions to address whether particular characteristics of local leaders lead to greater revenue raising, increased public good spending and projects, or increased public good quality, after transfers are distributed. If I find differences, I can identify the types of characteristics that lead to differential outcomes.

As local leaders can change over time, my primary specification will code leader characteristics

in the following way. We only have information about the local leaders that are in office at the time of our two interviews. Given the fixed effects in equations (6) and (5), identification comes from post-treatment characteristics of leaders. For this, I need information on local leader characteristics in the post-treatment period; any pre-treatment differences will be absorbed in the fixed effect. Turnover for local leaders is likely to be lower in this period than during the full 2010 to 2016 period. For cases where leaders do change between the start of treatment and when we conducted the second round of surveys, if I have no information on the previous leader, I count leaders if they were serving in their position for at least part of the year in question. If I do have information on both leaders, I use the leader that served the greater number of months in the overlapping year. As a secondary check, I will also look only at villages in which local leaders have not changed. This could give different results if the set of villages in which leaders have not changed differ from those where leaders have had turnover.

While most of the variables for heterogeneous effects are defined in Table 10, here I note how I define years of past experience by position. For ACs, this is the number of years as village elder. For VEs, this is the number years as miji kumi (leader of group of households). For school head teachers, this is the number of years as a head teacher at other schools.

#### 4.10.2 Diversity

Ethnic diversity has been shown to have negative effects on public goods (Easterly and Levine 1997; Alesina, Baqir, and Easterly 1999), and the ability to impose social sanctions within one's may be important for the ability to raise funds for local development projects (Miguel and Gugerty 2005; Olken and Singhal 2011). The study area is historically Luo, and due to this there is less diversity across tribes in many study villages. Because of this, I explore whether clan and subtribe diversity matters for the funding of local public goods. In an area of with a common tribe, clan and/or subtribe may be more salient and relevant for enforcing social sanctions, and may influence the number of disputes (a secondary outcome). It will also shed more light on the role of different kinship goods in the development process.

I will construct diversity variables based on the number of subtribes per sublocation/village, the number of clans per village, and the number of unrelated clans (clans that are permitted to intermarry) per village, as outlined in Table 10.<sup>33</sup> I will look for heterogeneity in diversity for families 1 (revenue), 4 (public good expenditure), 5 (number of projects), 6 (school development), 7 (public good quality) and 8 (primary school student outcomes).

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33. These questions were only included in the first round of the village elder and assistant chief surveys.

#### **4.10.3 General Household**

The general household category of heterogeneous effects captures a number of standard sources of heterogeneity in household surveys (including categories outlined in pre-analysis plans on household welfare as part of the GE project).<sup>34</sup> These will apply to families of outcomes at the household level. These are all based on values at baseline; hence these will focus on households that we were able to baseline. The baseline values of household income and assets follow the construction outlined in Section 4.3.

#### **4.10.4 Household Taxes**

To better understand potential mechanisms behind informal taxation and the production of local public goods, I look at the interaction between treatment status and the relationship between local leaders and households. In particular, I look at whether household members are of the same clan as the village elder or the assistant chief, and whether households live in the same village as the assistant chief. If I find that individuals from the same clan pay less in taxes, this would be suggestive that local leaders are extracting rents from those they are less close with, or that in some other way members of the same kinship group are able to hide income or avoid paying taxes. I use the local leader that is in place at the time of the second round of local leader surveys for creating these variables.

#### **4.10.5 Schooling**

I check for heterogeneous effects by pre-treatment school characteristics in the following dimensions: a) school enrollment, a measure of school size; b) number of teachers (both from the national government and those hired locally), a proxy for school size and inputs; and c) school KCPE test scores, a measure of school quality. For each school, I calculate the mean across 2010 to 2013, and create an indicator equal to one for schools above the median in each of these categories. Heterogeneity in these dimensions will be investigated as part of the primary school outcomes family (7).

#### **4.10.6 Enterprise**

I look for heterogeneous effects for the main endline sample by the following dimensions, which generally follow the sources of heterogeneity specified in Haushofer et al. (2016) for the enterprise phone survey analysis.

- Enterprise owner gender (indicator for primary owner female)

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<sup>34</sup> I may adjust the variable construction to maintain consistency with the household welfare pre-analysis plan, but not the concepts of interest.

- Distance to nearest town (km): distance to Siaya, Ugunja, Segaa, or Ukwala Towns
- Distance to nearest weekly market center (km): distance to nearest market center included in GE market survey sample (61 weekly markets)
- Indicator for whether located within market center: Indicator for being located within 400m of weekly market in GE sample

I include the latter distance measures as my hypothesis is that enterprises located closer to towns and market centers are more likely to become formalized or pay more in taxes after treatment because they are easier to target by tax collectors.

In addition, for the sample of enterprises surveyed at both baseline and endline, I will also look for heterogeneity by:

- Baseline enterprise size, measured by a) baseline revenues (indicator for above median) and b) baseline number of employees (indicator for 1 employee, indicator for 2-5 employees, and indicator for 6+ employees)
- Baseline enterprise formality, measured by whether the enterprise has a business permit from the county government.

## 5 Secondary Hypotheses

The following hypotheses are ones that are judged to be either less important, or, in some cases, where there is theoretical justification and interest from past work, but that findings in general would be more speculative.

### 5.1 S1: Compliance and Revenue Gaps

An increase in expenditure on public goods in treatment areas could be due to local leaders holding additional fundraisers and imposing more taxes, or it could come via greater “compliance” with informal taxes. For example, while local leaders may set targets for different households to contribute to, households do not always meet these targets. Are treatment areas more likely to meet revenue targets set by local leaders? Are revenue targets increasing in treatment areas?

I am able to construct the following measures of tax compliance:

- **Household informal tax compliance rate:** Difference between total household target (sum of 10.1.8) and total household contributions to targets (sum of 10.1.10) divided by total household target.

- **Village Elder tax compliance rate:** Difference between total tax target (7B.7c) and total actually collected (7B.7b), divided by total tax target
- **Assistant Chief tax compliance rate:** Difference between total tax target (7B.7c) and total actually collected (7B.7b), divided by total tax target
- **School Fee compliance rate:** For all schools, I can construct a measure of the school fee compliance rate for District Education Board fees, School Development fees, and collections for other school programs. In the interest of head teacher time, we did not collect information on enrollment in every class; when PTA/PA fees and exam fees vary by class, I am unable to construct a measure of expected fees.

As an exploratory analysis, I look at compliance rates fee-by-fee:

- PTA/PA fees: For schools with a single PTA/PA fee: Difference between PTA/PA target per household/student (sum of 4.12a-d) times number of households/students (4.15/3.3) and amount actually collected (4.13a-d), divided by PTA/PA target, for schools with a single PTA/PA fee rate for all classes
- DEB fees: Difference between total target (4.15 (number of households) times 4.16 (amount that should be paid per household)) and total actually collected (4.17), divided by total target
- School development fees: Difference between sum of 4.30a-c and 4.31a-c
- Other fees/collections: Difference between sum of 4.34a-c and 4.35a-c

I estimate effects on compliance rates using the corresponding primary regression equation for each data source, and adjusting p-values for multiple testing using an FDR correction over these four outcomes.

In a different, but related, vein, as an exploratory exercise, I can also look at whether the amount of formal tax paid by households and enterprises “should” have increased in a counterfactual environment in which there was full compliance with the county and national tax code. If the cash transfers spur an increase in economic activity, this captures the potential gains associated with such an increase in activity under the strong assumption of no additional behavioral changes would occur due to a change in the compliance environment. To do this, I use information collected from households (such as total income), enterprise creation (from the enterprise census), and survey information on information on enterprises’ reported profits, revenues and enterprise type. I then compare these to the Kenyan tax code, and assume that households and enterprises fully comply. For example, I will determine whether household’s total income (as constructed in Section 4.3) is greater than the personal income tax exemption, and if so, will assign taxes to the income above the exemption. As an example for enterprises, most enterprises (small enterprises that are not limited

liability corporations)<sup>35</sup> would be subject to turnover taxes, a flat tax on 3% of their gross sales, so I assign taxes based on enterprises' annual revenues. To this I add the cost of county business license, as well as potential license costs from ministries for certain enterprise types (such as the department of health, if running a butcher's shop).

## 5.2 S2: Disputes

A key responsibility of village elders and assistant chiefs involves dispute resolution. Do cash transfers increase disputes, both within and between villages? Does this depend on the density of treatment? Haushofer and Shapiro (2016) did not find significant evidence of within-village social conflict, but between-village conflict may also be a potentially important source of disputes that may be exacerbated by village treatment status. I investigate this in two stages. First, I use data from the second round of surveys at the village and sublocation to construct the following outcomes:

- Number of disputes at the village level in the last 12 months (VE 9.2)
- Number of within-village disputes at the village level in the last 12 months (VE 9.3a)
- Number of disputes at the sublocation level in the last 12 months (AC 9.2)
- Number of within-sublocation disputes at the sublocation level in the last 12 months (AC 9.3a)

I estimate equations (3) and (4) without yearly fixed effects and look at the following coefficients, conducting a multiple-testing adjustment over these tests and 4 outcomes:  $\gamma_1$ ,  $\gamma_2$  and  $\beta$ . If I find effects at the village or sublocation level, I will investigate whether these are being driven by marital disputes within the village (9.3b) or civil disputes (9.3c).

I then turn to data from the first round of surveys, which collected information the number of disputes settled in 2014 and 2015. I construct measures of the total number of disputes at the village and sublocation level (sum of VE 7C.3, 7C.6, 7C.9, 7C.14, 7C.17, 7C.20; AC 8.3), as well as the total number of within village disputes, by year. As with the data from round 2, I use equations (3) and (4) (without fixed effects) to estimate effects and examine the same coefficients of interest. As a more exploratory analysis, I look at whether the total amount of restitution / compensation and total appreciation paid for within-village / sublocation disputes (VE ) increases in treatment villages. I look into these changes more fully in the dispute-level analysis that follows.

Next, I create a dispute-level dataset; round 2 of the VE and AC surveys collected more detailed information about the three most recent disputes settled by village elders and assistant chiefs. I collect information on the village(s) from which individuals involved in the dispute are

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35. For corporations, I anticipate ignoring some potential deductions (such as business investment and depreciation) that enterprises may be entitled to due to limitations in survey time. However, based on baseline data, corporations are rare in our study area since it excludes towns.

from. For a dispute between individuals from village  $i$  and village  $j$  (note that  $i = j$  indicates a within-village dispute, and  $i \neq j$  indicates a between village dispute), I create a set of indicators to estimate the following effects:

- $T_{ij}^{both}$ , an indicator equal to one when village  $i$  and  $j$  are both treatment villages
- $T_{ij}^{one}$ , an indicator equal to one when only one of village  $i$  and village  $j$  is a treatment village
- $T_{ij}^{none}$ , an indicator equal to one when both  $i$  and  $j$  are control villages

I construct the following variables at a dispute level:

- Indicator for compensation / restitution paid as part of the dispute (VE & AC 9.8)
- Total amount of compensation / restituion paid (0 if none was paid) (VE & AC 9.8a)
- Indicator for any punishment / fine (VE & AC 9.9)
- Indicator for any appreciation paid to the village elder / assistant chief for resolving the dispute (VE & AC 9.10)
- Total amount of appreciation paid to the village elder / assistant chief for resolving the dispute (VE & AC 9.10a)

Note that in piloting exercises, the last two questions were found to be sensitive for the VEs and ACs. If there are high levels of missing values, then I will not include these. I note in advance that they may be subject to reporting bias, though it is not immediately clear why this might differ across treatment and control villages.

I plan to estimate the following regression equation for observations at the dispute level, restricting the sample to disputes that have come after the “experimental” start of treatment, as outlined in Haushofer et al. (2016).<sup>36</sup>

$$y_{dijv} = \omega_1 T_{ij}^{both} + \omega_2 T_{ij}^{one} + \omega_3 T_{ij}^{none} + \omega_4 (T_{ij}^{both} \times I_{i=j}) + \omega_5 (T_{ij}^{none} \times I_{i=j}) + \epsilon_{ijvs}, \quad (30)$$

where  $y_{ijvs}$  is an outcome for a dispute  $d$  taking place between individuals in village  $i$  and village  $j$  in sublocation  $s$ , and  $I_{i=j}$  is an indicator for a within-village dispute.<sup>37</sup>  $\omega_4$  captures effects for within-village disputes in treatment villages,  $\omega_5$  captures effects for within-village disputes in control villages, while  $\omega_1$ ,  $\omega_2$  and  $\omega_3$  captures effects for between-village disputes in which both villages are

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36. Given the number of disputes reported by local leaders in piloting activities, I do not anticipate this constraint binding: most local leaders solved at least 3 disputes in the last 12 months, and surveys generally took place over 12 months after the experimental start of treatment. However, a possibility is that almost all disputes are within-village disputes. If that is the case, my main specification will be the alternate within-village specification outlined in equation (31).

37. In cases where villages involved in the dispute span sublocations, I use the sublocation in which the survey was undertaken to cluster standard errors.

treatment, one village is a treatment village and the other is control, and both villages are control, respectively. I am interested in whether the  $\omega$  coefficients from equation (30) are different from one another, and whether they are significantly different than zero.

As an alternate specification, I restrict attention to within-village disputes and estimate the following regression:

$$y_{dvs} = \psi_1 T_v + \psi_2 H_s + \psi_3 (T_v \times H_s) + \epsilon_{dvs}, \quad (31)$$

where  $y_{dvs}$  is an outcome for within-village dispute  $d$  in village  $v$  in sublocation  $s$ , and  $T_v$  and  $H_s$  are indicators for village treatment status and sublocation saturation status. Here, I test for whether within-village disputes vary between treatment and control villages ( $\psi_1$ ), and whether there are spillover effects from being in a high-saturation sublocation for control villages ( $\psi_2$ ) or treatment villages ( $\psi_3$ ).

One point to note is that disputes may behave like crime statistics: if there is an increase in reported disputes, this could be due to either an actual increase in the number of disputes, or to greater reporting. Greater reporting could occur, for instance, if eligible households feel more empowered to bring forth disputes after the transfer, yet the underlying number of disputes may remain the same. In addition, while anecdotally rare, in some cases assistant chiefs and village elders will be invited to adjudicate disputes outside of their village/sublocation. If the social standing of village elders in treatment villages or high saturation sublocations has changed, this could result in changes in the rates at which they are invited to adjudicate external disputes. Thus, some caution must be taken in interpreting the measures, but I believe that these will still provide some important insights. It will also be closely tied to outcomes on crime and safety constructed from household survey data and included in the household welfare pre-analysis plan.

I will look for heterogeneity in terms of differential treatment effects, local leader characteristics and diversity. The diversity measures may be of special interest.

### 5.3 S3: Recipient households contribute more in cash, less in-kind/labor to public goods

Olken and Singhal (2011) find a pattern that poorer households are more likely to contribute in-kind or labor to local public goods than cash. I test to see if there is evidence of this in the household data by constructing indicators for whether households have contributed labor, in-kind or cash to any projects. If this holds, I would expect to see recipient households are less likely to contribute in-kind and labor relative to eligible households in control villages, and more likely to contribute cash to projects. I also look at coefficients on the interaction terms with household income and assets.

If there is no difference in the number of of harambees and projects between treatment and control villages, then I can interpret the rates of contributing cash, labor and in-kind directly.

However, if there are a greater number of public goods projects in treatment villages, then this increase in the number of projects could cause changes in the way in which households are making contributions in addition to any changes due to increased wealth. If I find effects on the number of projects, I will attempt to get around this in three ways: first, by including indicator variables for the number of projects undertaken within the village, so that I am comparing households in treatment and control villages with a similar number of total projects; second, doing the same but by binning amounts of total village revenue (outcome 1.1), so that I am comparing between villages that raised a similar amount of revenue; and third, taking the same approach but binning based on village-level means of households' expected contributions to targets (outcome 2.8), so that I am comparing villages in which households were expected to contribute similar amounts.

I will also explore the relationship between household's expected contributions, household informal tax compliance and the method of contributing (labor, in-kind, cash) to local public goods.

## 6 Exploratory Analyses

This section describes some additional exploratory analyses that I am planning on conducting. As these analyses are designed to be exploratory, this section outlines the broad goals of these exploratory analyses, and does not include exact variable construction for all of the outcomes included below.

### 6.1 Benchmarking Effect Sizes

If I find positive effects on revenue and public good spending from wealth shocks, I will try to benchmark the magnitude of these effects against past shocks. As part of the endline local leader survey, I collect information on whether the village experienced any major shocks from:

- crop destruction from pests/animals
- plant/animal disease epidemic
- too much rain
- too little rain

This information on shocks can also be used with information on public goods and revenues from local leader surveys to test if there is less revenue and spending in “bad” years with shocks. I will develop an indicator for “bad” years, exploring alternative definitions based on the aforementioned shocks, and examine whether bad years are associated with declines in revenue, public good expenditure and the number of projects.

## 6.2 Household Demand for Public Goods

If I find an increase in public goods, a key follow-up question is whether the preferences for these increases match the demands of households in the area. As part of endline household surveys, we ask households to think back two years ago, and to name the greatest need in terms of development projects in their village. We also ask households to name their current greatest need for their village. We can use this to see if projects that have been carried out match with household self-reports of the village's greatest need.

## 6.3 Heterogeneity by Subcounty

As noted in Section 1.3, GD had previously worked in Alego subcounty, while had not conducted any activities in Ugunja and Ukwala subcounties in advance of the GE study. I will explore how effects compare across these two sets of subcounties, noting that power will be substantially reduced, as the number of villages will be much smaller based on these divisions. This may be of interest for two reasons. First, the amount of information that local leaders have about GD prior to their village being treated will be higher in Alego compared to Ugunja and Ukwala. Information plays a key role in the informal taxation model of Olken and Singhal (2011), so if there are differences across subcounties, and within subcounties based on the randomized ordering of where GD worked, this may allow me to distinguish between various mechanisms related to informal taxation.

Second, I will explore whether there is any evidence of effects of previous GD campaigns at the sublocation level by matching information on when these campaigns occurred to the sublocation in which these villages were located by creating an indicator equal to 1 for sublocation-years in which GD operated a past campaign, and focusing on sublocations within Alego. Again, as this affects a smaller number of sublocations, ex-ante I believe it is unlikely that effects will be large enough for me to detect a statistically significant difference, but I will explore whether point estimates are higher in sublocations with past campaigns.

# 7 Details on Outcome Construction

This section provides some additional details on the manner in which I will construct variables, with each subsection dealing with a specific issue faced across multiple outcome families.

## 7.1 Generating Per-Capita Outcomes

For per-capita outcomes at the village and sublocation level, I follow the construction of population measures outlined in the GE midline PAP (Haushofer et al. 2016). These methods provide population counts at the village and sublocation level, including methods for addressing cases where only

a subset of the villages within a sublocation are part of the GE study. In general, I can use GE census data (combined with the number of members per household from GE baseline household survey data) to generate a per-capita measure for all GE villages. For sublocations with all GE villages, I simply total the population of each village. For sublocations in which GE only partially worked, I assume the remaining villages are of a similar size to the average size of GE villages within the sublocation, and aggregate accordingly. For secondary spatial analyses, Haushofer et al. (2016) also outline methods for constructing population estimates for areas bordering the GE study area.

For outcomes collected as part of the AC and school surveys, I total amounts (or project counts) for the full sublocation and divide by the sublocation population. In this way, both the numerator and denominator will include non-GE villages.

## 7.2 Valuing Labor and In-Kind Materials

### 7.2.1 Labor

Beginning in July 2016, as part of monthly market surveys outlined in Haushofer et al. (2016), three individuals per market were asked about daily wages for basic labor and skilled construction work.<sup>38</sup>

I will use the average daily wage of skilled construction workers (known as *fundis*) across all months in which I have data from the market survey to value skilled labor. I will impose this value for all time periods and for both treatment and control villages. Similarly, I will use the average wage for basic construction work across all months for which I have data to value unskilled labor contributions. This captures the cost the project would have incurred if, instead of using volunteer labor, it tried to hire workers for the project. As a robustness check, I will compare the average daily wage for basic construction work to the average daily wage for agricultural work.<sup>39</sup>

The market survey and village elder survey collect information about daily wages. In the local leader surveys, labor contributions are reported in terms of man-hours. I will assume a 6 hour workday (anecdotally, this is common, and is the same assumption made by Olken and Singhal (2011)) to convert man-hours into man-days, and will then multiply the number of man-days by the average daily wage.

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38. In addition, endline surveys of village elders collect information on different types of agricultural wages. This could be brought in as a check if the basic construction wage is very different than the average agricultural wage. Average agricultural wage may more accurately represent the opportunity cost/reservation wage of workers in the villages, compared to basic construction in market centers, but I'd expect these to be similar.

39. In the local leader survey, I collect information on the following types of agricultural activities: clearing, ploughing, sowing, weeding, and harvesting maize. The work intensity and season in which the labor is undertaken may vary. I take an unweighted mean over the different types of activities as my main measure of daily agricultural wages.

### **7.2.2 In-Kind Materials**

I take several approaches for valuing materials contributed in-kind. In round 2 of the local leader surveys, all respondents are asked about the total estimated value of all materials contributed in-kind for each project. When available, I will take these as given. In round 1, the quantity of materials contributed in-kind was captured. Market surveys captured prices for cement, iron sheets, timber, and nails; I will use the overall mean price from August 2014 (when we first have market data) to December 2015 (when the first round of local leader surveys concluded) for these items, and apply this to both treatment and control villages. Enterprise surveys capture prices for metal doors, wooden doors, sand, and bricks; when available at baseline, I use baseline values, else I use endline values. I take the mean across all enterprises and apply this to all villages regardless of treatment status. For any common items that are not covered by this, we will contact local businesses and market vendors to get additional prices in order to value the materials, and I will use these prices for all villages. As an additional check, I can use the characteristics of the construction/improvement to estimate the likely value of in-kind contributions.

## **7.3 Constructing Indices**

### **7.3.1 Mean Effects Index**

I construct summary Mean Effects Indices following Kling, Liebman, and Katz (2007) and the references therein. I use Mean Effects Indices for outcomes in a similar domain for which I expect effects to move in the same direction, but where they do not necessarily correspond to a single underlying latent variable of interest.

The mean effects index is calculated as an equally-weighted average of the z-scores of component variables. I standardize component outcomes by subtracting the mean of observations in control villages in low saturation sublocations and dividing by the standard deviation of observations in control villages in low saturation sublocations.

### **7.3.2 Inverse-Covariance Weighted (ICW) Index**

Here, I provide additional details on the manner in which I will construct inverse-covariance weighted (ICW) indices, which follows closely from Anderson (2008). Following Anderson (2008), I standardize The principle difference is that I standardize variables by values from control villages in low saturation sublocations, so that all standardized effect sizes are in reference to this group.

First, for each outcome variable  $y_{jk}$ , where  $j$  indexes the outcome group and  $k$  indexes variables within outcome groups, variables are coded (as noted in this plan) such that higher values correspond to positive outcomes. I compute the covariance matrix  $\hat{\Sigma}_j$  for outcomes in outcome group  $j$ :

$$\hat{\Sigma}_{jmn} = \sum_{i=1}^{N_{jmn}} \frac{y_{ijm} - \bar{y}_{jm}}{\sigma_{jm}^y} \frac{y_{ijn} - \bar{y}_{jn}}{\sigma_{jn}^y}, \quad (32)$$

where  $N_{jmn}$  is the number of non-missing observations for outcomes  $m$  and  $n$  in outcome group  $j$ ,  $\bar{y}_{jm}$  and  $\bar{y}_{jn}$  are the means for outcomes  $m$  and  $n$ , respectively, in outcome group  $j$ , and  $\sigma_{jm}^y$  and  $\sigma_{jn}^y$  are the standard deviations of observations in control villages in low saturation sublocations for the same outcomes. Next, I invert the covariance matrix, and define weight  $w_{jk}$  for each outcome  $k$  in outcome group  $j$  by summing the entries in the row of the inverted covariance matrix corresponding to that outcome:

$$\hat{\Sigma}_j^{-1} = \begin{bmatrix} c_{j11} & c_{j12} & \cdots & c_{j1K} \\ c_{j21} & c_{j22} & \cdots & \cdots \\ \vdots & \vdots & \ddots & \ddots \\ c_{jK1} & \vdots & \ddots & c_{jKK} \end{bmatrix} \quad (33)$$

$$w_{jk} = \sum_{l=1}^{K_j} c_{jkl} \quad (34)$$

Here,  $K_j$  is the total number of outcome variables in outcome group  $j$ . Finally, I transform each outcome variable by subtracting its mean and dividing by the standard deviation of observations in control villages in low saturation sublocations, and then weighting it with the weights obtained as described above. I denote the result  $\hat{y}_{ij}$  because this transformation yields a generalized least squares estimator.

$$\hat{y}_{ij} = \left( \sum_{k \in \mathbb{K}_{ij}} w_{jk} \right)^{-1} \sum_{k \in \mathbb{K}_{ij}} w_{jk} \frac{y_{ijk} - \bar{y}_{jk}}{\sigma_{jk}^y} \quad (35)$$

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## **8   Outcome Tables**

Table 1: Primary Outcomes: Direct &amp; Spillover Effects

<b>Outcomes</b>	<b>Family Ref.</b>	<b>Data Source</b>	<b>Description</b>	<b>Regression Equations</b>	<b>Hypothesis Tests</b>	
					<i>Direct Effects</i>	<i>Spillover Effects</i>
P1: Total Village Informal Tax Revenue (per-capita)	1.1	VE	Sum of harambee contributions, tax collections, village public good contributions and the value of village labor for regular upkeep and maintenance, by year	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
P2: Households' Total Taxes Paid	2.1	HH	Sum of household direct formal taxes and informal taxes in the last 12 months	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
P3: Enterprises' Total Taxes Paid	3.1	ENT	Sum of formal taxes (national taxes, county taxes, licenses, market fees) and informal taxes	(14)	$\beta_1 = 0$	$\beta_2 = 0$ $\beta_3 = 0$
P4: Total Village Tax Revenue Elasticity wrt transfer amount	n/a	AC, VE, HH, ENT	Total formal and informal tax revenue at the village level, sum of village informal tax revenue (1.1), scaled village-level household formal taxes (2.1), scaled village-level enterprise formal taxes (3.1a-d), and converted to per-capita measure	(17)	$\phi_1 = 0$	$\phi_2 = 0$
P5: Village-level Public Good Expenditure and Projects Index	4.1, 5.1	VE	Mean effects index of i) total per-capita village-level public good expenditures (4.1) and ii) village-level number of projects (5.1)	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$

P6:	Sublocation-Level Public Good Expenditure and Projects Index	4.2, 5.2	AC, SCH	Mean effects index of i) sublocation-level per-capita public good expenditures (4.2) and ii) sublocation-level number of projects (5.2)	(2)	$\beta = 0$	n/a
P7:	Village Public Good Quality Index	6.1	VE & HH	Mean effects index of i) VE quality index, ii) village-level mean of household quality index for eligible households and iii) village-level mean of household quality index for ineligible households	(1)	$\gamma_1 = 0$ $\gamma_3 = 0$	$\gamma_2 = 0$
P8:	Support for redistribution	8.1	HH	Mean effects index of 7 indicator variables on household support for redistribution	(9)	$\beta_3 = 0$ $\beta_4 = 0$ $\beta_5 = 0$	$\beta_1 = 0$

**Total Direct Tests: 8      Total Indirect Tests: 15**

Numbers in parentheses refer to regression equations in Section 3.

Data source key: HH=Household survey, VE=Village Elder survey, AC=Assistant Chief Survey, SCH=School Head Teacher Survey, ENT=Enterprise Survey.

Table 2: Family 1: Revenue for Local Public Goods

<b>Outcome(s)</b>	<b>Data Source</b>	<b>Description</b>	<b>Regression Equations</b>	<b>Hypothesis Tests</b>	
				<i>Direct Effects</i>	<i>Spillover Effects</i>
1.1 Total Village Informal Tax Revenue (per-capita), by year*	VE, AC	Sum of harambee contributions, tax collections, village public good contributions and the value of village labor for regular upkeep and maintenance, by year	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
1.2 Total amount raised via harambees (per-capita), by year	VE, AC	Sum of harambee contributions for public goods by year, at the village level	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
1.3 Number of Harambees by year	VE, AC	Count of the number of harambees for public goods by year, at the village level	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
1.4 Total VE tax revenue raised for public goods in the last 12 months, per capita	VE	Sum of tax collections by VE for public goods in the last 12 months	(3)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
1.5 Total village public good contributions (per-capita), by year	VE	Sum of cash, in-kind, labor and land contributions to new constructions and improvements of village public goods, by year	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
1.6 Total value of village labor for regular upkeep of village public facilities in the last 12 months, per capita	VE	Estimated monetary value of village labor to the upkeep of village public facilities in the last 12 months, converted to per-capita measure	(3)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$

1.7	Sublocation-level public good contributions from local sources (per-capita)	AC, VE, SCH	Total value of cash, land, labor and in-kind contributions to public goods from local sources, defined to be those from the village / sublocation	(2)	$\beta = 0$	n/a
1.8	Sublocation-level public good contributions from the CDF (per-capita)	AC, VE, SCH	Total value of cash, land and in-kind contributions to public goods from the CDF	(2)	$\beta = 0$	n/a
1.9	Sublocation-level public good contributions from the County Government (per-capita)	AC, VE, SCH	Total value of cash, land and in-kind contributions to public goods from the county government	(2)	$\beta = 0$	n/a

I also test for equality of the  $\beta$  coefficients in 1.7, 1.8 and 1.9 ( $\beta_{local} = \beta_{CDF} = \beta_{county}$ ) using a SUR framework for each regression. This tests that there is no difference in direct effect size for local revenue, CDF revenue and county gov't revenue in high saturation sublocations.

**Total direct tests: 10      Total indirect tests: 12**

Notes: \*: Included in primary outcomes.

Table 3: Family 2: Redistribution/Tax Burden

<b>Outcomes</b>	<b>Data Source</b>	<b>Description</b>	<b>Regression Equations</b>	<b>Hypothesis Tests</b>	
				<i>Direct Effects</i>	<i>Spillover Effects</i>
2.1 Household Total Taxes Paid*	HH	Sum of direct formal taxes (2.3) and informal taxes (2.4) in the last 12 months	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
2.2 Household tax rates	HH	Total taxes paid (2.1) divided by total household income	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
2.3 Total formal taxes paid	HH	Total value of formal taxes paid (such as self-employment taxes & license fees, market fees, and income taxes) in the last 12 months	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
2.4 Total informal taxes paid	HH	Total value of informal taxes paid (such as harambees, public good contributions, local leader taxes, and the value of labor contributions) in the last 12 months	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
2.5 Total school fees	HH	Total school fees (activity and development fees, not counting uniforms/supplies) for all children over 3 most recent school terms	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
2.6 Heterogeneous effects on total taxes paid by income	HH	Outcome 2.1 with $W_{hvs}$ as i) eligible & above median income for eligible households and ii) ineligible & above median income for ineligible households	(10)	$\phi_7 = 0 \times 2$	$\phi_5 = 0 \times 2$

2.7	Heterogeneous effects on total taxes paid by assets	HH	Outcome 2.1 with $W_{hvs}$ as i) eligible & above median assets for eligible households and ii) ineligible & above median assets for ineligible households	(10)	$\phi_7 = 0 \times 2$	$\phi_5 = 0 \times 2$
2.8	Expected household contribution to all public facilities	HH	Sum of the household “targets” given by local leaders for each type of public good, regardless of whether or not household paid	(9) with no baseline covariates	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$

**Total direct tests: 10**

**Total indirect tests: 22**

Notes: \*: Included in primary outcomes. All household tax variables calculated over the last 12 months.

Table 4: Family 3: Enterprise Taxes and Formality

Outcomes	Data Source	Description	Regression Equations	Hypothesis Tests	
				Direct Effects	Spillover Effects
3.1 Total enterprise taxes paid, last 12 months*	ENT	Sum of formal taxes (national taxes, county taxes, licenses, market fees) and informal taxes	(14)	$\beta_1 = 0$	$\beta_2 = 0$ $\beta_3 = 0$
3.2 Enterprise Tax Rates	ENT	Total taxes paid divided by enterprise reported revenues in the last 12 months	(14)	$\beta_1 = 0$	$\beta_2 = 0$ $\beta_3 = 0$
3.3 Enterprise Licensed with County Government	ENT	Indicator for having business license	(14)	$\beta_1 = 0$	$\beta_2 = 0$ $\beta_3 = 0$
3.4 Enterprise name registered with national government	ENT	Indicator for enterprise name registered	(14)	$\beta_1 = 0$	$\beta_2 = 0$ $\beta_3 = 0$

**Total direct tests: 4      Total spillover tests: 8**

Notes: \*: Included in primary outcomes.

Table 5: Family 4: Public good expenditure

<b>Outcome(s)</b>	<b>Data Source</b>	<b>Description</b>	<b>Regression Equations</b>	<b>Hypothesis Tests</b>	
				<i>Direct Effects</i>	<i>Spillover Effects</i>
4.1 Total Village-level Expenditure on Local Public Goods (per-capita)*	VE	Total value of cash, labor, land and in-kind contributions to village public facilities (water points, feeder roads/bridges, and other), converted to per-capita measure	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
4.2 Total Sublocation-Level Expenditure on Local Public Goods (per-capita)*	AC	Total value of cash, labor, land and in-kind contributions for sublocation public goods (health clinic/dispensaries, market centers, primary schools, and other), converted to per-capita measure	(2)	$\beta = 0$	n/a
4.3 Water Point Expenditure (per-capita)	VE	Total value of cash, labor, land and in-kind contributions to water points, converted to per-capita measure	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
4.4 Feeder Road/Bridge Expenditure (per-capita)	VE	Total value of cash, labor, land and in-kind contributions to feeder roads and bridges, converted to per-capita measure	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
4.5 Health Clinic/Dispensary Expenditure (per-capita)	AC	Total value of cash, labor, land and in-kind contributions to health clinics / dispensaries, converted to per-capita measure	(2)	$\beta = 0$	n/a
4.6 Market Center Expenditure (per-capita)	AC	Total value of cash, labor, land and in-kind contributions to market centers, converted to per-capita measure	(2)	$\beta = 0$	n/a

4.7	School Construction/Development Expenditure (per-capita)	AC, SCH	Total construction and development expenditure, based on school head teacher reports and estimates of construction costs from AC when school data missing, converted to per-capita measure	(2)	$\beta = 0$	n/a
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**Total direct tests: 7      Total spillover tests: 6**

Notes: \*: Included in primary outcomes.

Table 6: Family 5: Number of Projects

<b>Outcomes</b>	<b>Data Source</b>	<b>Description</b>	<b>Regression Equations</b>	<b>Hypothesis Tests</b>	
				<i>Direct Effects</i>	<i>Spillover Effects</i>
5.1 Total Number of Village Projects*	VE	Total number of repairs, improvements and new constructions for village public facilities (water points, feeder roads, and other)	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
5.2 Total Number of Sublocation Projects*	AC, SCH	Total number of repairs, improvements and new constructions for sublocation public facilities (health clinics/dispensaries, market centers, primary schools and other)	(2)	$\beta = 0$	n/a
5.3 Number of Water Point Projects	VE	Total number of repairs, improvements and new constructions for water points	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
5.4 Number of Feeder Road / Bridge Projects	VE	Total number of repairs, improvements and new constructions for feeder road and bridge projects	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
5.5 Number of Health Clinic / Dispensary Projects	AC	Total number of repairs, improvements and new constructions for health clinics / dispensaries	(2)	$\beta = 0$	n/a
5.6 Number of Market Center Projects	AC	Total number of repairs, improvements and new constructions for market centers	(2)	$\beta = 0$	n/a
5.7 Number of School Construction Projects	AC, SCH	Total number of repairs, improvements and new constructions for school construction projects, as reported by AC & school head teacher	(2)	$\beta = 0$	n/a

5.8	Number of locally-initiated village projects	VE	Total number of village projects initiated by “local” actors (from the village or sublocation)	(1)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
5.9	Number of locally-initiated sublocation projects	AC	Total number of sublocation projects initiated by “local” actors (from the village or sublocation)	(1)	$\beta = 0$	n/a

**Total direct tests: 9      Total spillover tests: 8**

Notes: \*: Included in primary outcomes.

Table 7: Family 6: Public Good Quality

<b>Outcomes</b>	<b>Data Source</b>	<b>Description</b>	<b>Regression Equations</b>	<b>Hypothesis Tests</b>	
				<i>Direct Effects</i>	<i>Spillover Effects</i>
6.1 VE Public Good Quality Index*	VE	Mean effects index of mean water point quality (6.3) & mean feeder road quality (6.4) reported by village elder	(3)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
6.2 Household-reported index of public good quality*	HH	Mean effects index of households' report of quality of water points they use, roads within the village, and nearest public health clinic/dispensary	(9) w/o baseline variables	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
6.3 VE-reported quality of water points	VE	Mean of VE-reported quality for water points within the village	(3)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
6.4 VE-reported quality of feeder roads/bridges	VE	Mean of VE-reported quality of feeder roads & bridges within the village	(3)	$\gamma_1 = 0$	$\gamma_2 = 0$ $\gamma_3 = 0$
6.5 Household reported quality of water points	HH	Household report of quality of water points they use	(9) w/o baseline variables	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
6.6 Household-reported quality of roads	HH	Household report of the quality of roads within their village	(9) w/o baseline variables	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
6.7 Household-reported quality of health clinic	HH	Household report of the quality of nearest health clinic	(9) w/o baseline variables	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
6.8 AC-reported quality of health clinic	AC	AC reported quality of health clinic for sublocations with a health clinic	(4)	$\beta = 0$	n/a
6.9 AC-reported quality of market centers	AC	AC reported quality of market centers for sublocations with a market center	(4)	$\beta = 0$	n/a

**Total direct tests: 9      Total spillover tests: 18**

Notes: \*: Included in primary outcomes.

Table 8: Family 7: Primary School Outcomes

<b>Outcomes</b>	<b>Data Source</b>	<b>Description</b>	<b>Hypothesis Tests</b>	
			<b>Regression Equations</b>	<i>Direct Effects</i>
<i>School Funding &amp; Expenditure</i>				
7.1 Total school fees collected (per-student)	SCH	Sum of all school fees collected, divided by total regular student enrollment	(11)	$\beta = 0$
7.2 Total school development fees collected (per student)	SCH	Total amount raised in school development fees (from parents), divided by the total regular student enrollment	(11)	$\beta = 0$
7.3 Total School Funding excluding national government funding (per student)	SCH	Total amount of school funding from sources other than the national government, divided by the total regular student enrollment	(11)	$\beta = 0$
7.4 Total school expenditure (per student)	SCH	Total reported school expenditure by year, divided by total regular student enrollment	(11)	$\beta = 0$
7.5 Number of locally-hired teachers	SCH	Number of Board of Governors teachers (those hired by the PTA/ school board)	(11)	$\beta = 0$
<i>Student-related outcomes</i>				
7.6 Enrollment	SCH	Total number of regular students enrolled at the school, by year	(11)	$\beta = 0$
7.7 Mean KCPE Test Score	SCH	Mean KCPE score for students taking the exam	(11)	$\beta = 0$
7.8 Number of KCPE test-takers	SCH	Count of the number of students sitting the KCPE exam, by year	(11)	$\beta = 0$

**Total direct tests: 8**

Notes: \*: Included in primary outcomes.

Table 9: Family 8: Political Attitudes

<b>Outcomes</b>	<b>Data Source</b>	<b>Description</b>	<b>Regression Equations</b>	<b>Hypothesis Tests</b>	
				<i>Direct Effects</i>	<i>Spillover Effects</i>
8.1 Support for redistribution*	HH	Mean effects index of 7 indicator variables on preferences for redistribution, coded so that 1 represents support for more redistribution	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
8.2 Support for incumbent	HH	Mean effects index of support for county gov't, national gov't and MP	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
8.3 Social Trust Index	HH	Mean effects index of 7 variables on trust (general, ethnic group, church, village)	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
8.4 Political participation Index	HH	Mean effects index of 5 indicators: i) attending a rally, ii) demonstration, iii) discussing politics, or iv) political campaign activities in the last 12 months; v) planning on voting in the upcoming election	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
8.5 Community Involvement Index	HH	The total number of "yes" answers to questions about involvement in 9 types of community groups	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$
8.6 Indicator for community group membership	HH	Indicator for a member of the household being involved in at least one community group	(9)	$\beta_3 = 0$	$\beta_1 = 0$ $\beta_4 = 0$ $\beta_5 = 0$

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8.7	Support for Democracy	HH	Mean effects index of 3 questions on preferability of democracy, support for multiple political parties and respect for authority	(9)	$\beta_3 = 0$	$\beta_1 = 0$
					$\beta_4 = 0$	$\beta_5 = 0$

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**Total direct tests: 7      Total spillover tests: 21**

Notes: \*: Included in primary outcomes. As these outcomes all are based on indices, I will also run each individual component of the index as a separate regression and report the results in the appendix. I also explore using an ICW index instead of a mean effects index; see Section 4.9 for full details.

Table 10: Heterogeneous Effects

Category	Concept	Variable Construction	Applicable Families
Leader Characteristics (VE, AC, School Head Teacher)	Gender	Indicator for female	
	Age	Indicators for age under 40, 40-60, and over 60	1 (revenue) 4 (PG expenditure) 5 (Number of projects) 6 (PG quality) 7 (Primary school)
	Years of Education	Indicators for completed primary, completed secondary, and any ter- tiary	
	Years in current posi- tion	Indicators for quartiles of the years of experience distribution	
Diversity	Years of past leader- ship position	Indicators for > 0 years, and above median years of experience condi- tional on > 0 years of experience	
	Ever held a formal sector job	Indicator	
	Number of subtribes	Indicator for more than one sub- tribe within the sublocation/village	1 (revenue) 4 (PG expenditure) 5 (number of projects) 6 (PG quality) 7 (Primary school)
General Household	Number of clans	Indicators for more than 1 clan within the village, and for above median number conditional on more than 1	
	Number of unrelated (ie clans permitted to intermarry) clans per village	Indicators for more than 1 clan within the village, and for above median number conditional on more than 1	
	HH size	Indicators for 0-2 hh members, 3-4 hh members, and 5+ hh members	
General Household	Years of education	Indicator for completed primary, some secondary, and completed sec- ondary	2 (Tax burden / redistribution) 8 (political attitudes)
	Baseline household assets <sup>a</sup>	Indicators for above median for to- tal household assets, by eligibility status	
	Baseline household income <sup>a</sup>	Indicators for above median for to- tal household assets, by eligibility status	
	Marital status	Indicator for single, married, and widow/widower	
	Time since transfer	Indicator for living in village above median in terms of endline survey order	
	Differential effects for eligible households in high saturation sublocations	Indicator	

Household Taxes	Same clan as VE	Indicator for whether VE and household clan are the same	2 (Tax burden / redistribution)
	Same village as AC	Indicator for whether the household lives in the village the AC is from	
	Same clan as AC	Indicator for whether the household is in the same clan as the AC	
Schooling	School enrollment	Calculate pre-treatment	6 (School development) 8 (Primary school)
	Number of teachers	(2010-2013) mean, create indicator	
	School test scores	for whether value is above median	
Enterprise	Enterprise owner gender	Indicator for primary owner female	3 (Enterprise taxes & formality)
	Distance to nearest town (km)	Direct distance (as the crow flies)	
	Distance to nearest weekly market center (km)	Direct distance (as the crow flies)	
	Indicator for whether located within market center	Indicator for whether enterprise is within 400m of market center	

Notes: <sup>a</sup>: These are included as outcomes within family 2.

# Appendices

## A Survey Instruments

This appendix contains references for the survey questions included in this pre-analysis plan. In the interest of space, some questions that are not used have been omitted.

In order:

1. Village Elder (VE) Survey Questions, Round 2
2. Assistant Chief (AC) Survey Questions, Round 2
3. School Head Teacher (SCH) Survey Questions, Round 2
4. Household Endline Survey Questions
5. Enterprise Baseline Survey Questions

## GE VE Survey, Round 2

### SECTION 1: Survey Information and Informed consent

Greetings! You are about to begin the 'Local Leaders-Village Elders survey'. Please fill in the following questions before engaging the respondent.

0a. Please select your name:

0b. Please enter your IPA ID number:

1a. Enter subcounty name:

1b. Enter location name:

1c. Enter sublocation name:

1d. Enter village name:

1e. Please select the village/VE (from round 1) combination:

1f. Is this a subvillage?

1g. Enter the name of the "sub-village" you are surveying:

1h. Did we survey this village in round 1?

Great! We are set to go. FO: begin the interview. Good luck!

FO: This is targeted towards Village Elders (VEs). Please be sure you are interviewing the current village elder for \${vill\_name} village.

1i. Survey Start time

### INFORMED CONSENT:

READ: Hello, I am \${yrname} from Innovations for Poverty Action, in Siaya town. IPA is an organization that works on research projects in Kenya and around the world. IPA is collaborating with researchers at the University of California, Berkeley and University of California, San Diego in the USA on a research study, which I invite you to take part in.

You are being invited to participate in this study because we are interested in the economic activities of this community and being a leader of this community you were selected to participate.

The purpose of this study is to better understand the current economic conditions and economic livelihoods of communities and institutions in Kenya.

If you agree to this study, I would like to ask you some questions about your village and many different aspects of life here. We would like to ask you detailed questions about your community leadership as well as community development projects. Study participation will take approximately one hour. We will also follow up with you in the future to ask similar questions in order to see how

There is no direct benefit to you anticipated from participating in this study. However, it is hoped that the information gained from the study will help researchers to better understand the work and livelihoods of communities in Kenya, and how these may change over time.

We anticipate minimal risks associated with participating in this survey. If any questions make you feel uncomfortable, you are free to decline to answer any question you do not wish to or to end the interview at any time.

As with all research, there is a chance that confidentiality could be compromised; however, we are taking precautions to minimize this risk. All answers will be kept as confidential as possible and to the degree permitted by the technology used. Any information that identifies you will be separated from your other answers, so that only our researchers will be able to track your answers back to you. We will never identify you in any report or publication about the research.

When the research is completed, we may retain the study data for use in future research by ourselves or others. The same measures described above will be taken to protect confidentiality of this study data.

Furthermore, if you do decide to participate, we would like to offer you a small gift at the end of the survey for your time. This is solely a research project and is independent of any other governments or NGOs working in this area. Do you have time to talk with me for one hour? We would appreciate your assistance in filling out the questionnaire, but participation is voluntary and there is no need to answer any question you do not want to answer. If you wish to end the interview at any time, you may do so. If you have any questions, please contact Meshack Okello at 0795 209 911 or the IPA Office in Siaya town. If you have any questions or concerns about your rights and treatment as a research subject, you may contact The Secretary, Maseno University Ethics Review Committee,

## 2. Do you consent to take part in this research?

Informed Consent obtained:

2a. Please select your name to indicate FR's acceptance:

2b. Please enter your IPA ID to indicate FR's acceptance:

Informed Consent NOT obtained: Please go to the conclusion

## SECTION 2: Background information

Respondent Name

1a. Respondent first name:

1b. Respondent second/ middle name:

1c. Respondent last name:

1d. What is your common name/nickname?

1e. What subtribe do you belong to?

1f. What is the name of your clan?

Do not ask the following question. Simply record your impression.

2. What is the respondent's gender?

3. What is your date of birth?

What day of the month were you born?

What month were you born?

What year were you born?

3a. Is this an estimated year of birth?

4. What is your age now in years?

5. Is there a phone number where I can reach you, even if you do not have your own phone?

If VE has phone:

6a. Please give me that number.

6b. Whose phone is this?

6c. What is this person's relationship to you?

FO comments on Section 2:

### SECTION 3: Leadership/ Personal detail

1a. In what year did you begin serving in your position as village elder of \${vill\_name}?

1b. What are the total number of years you have held the position of village elder in this village?

If 1a and 1b do not agree:

Based on the year the FR began serving as VE in the absence of a tenure break, the FR would have served for \${servechk1} or \${servechk2} years as VE. The FR answered \${q1\_pyrs}.

READ:

1c. Have there been any breaks in your tenure as village elder of this village?

FO: If NO, please go back and ensure that the year the FR started serving as an VE and the total number of years holding the position of VE are correct.

2. Did you ever serve as a miji kumi (leader of a village sub unit) prior to your current position of village elder in this village?

2a. For how many years did you previously hold this position of mijikumi prior to your current position of village elder?

3. Have you ever been employed by the government, any organization or company? In other words, have you ever held a formal sector job?

4. Did you participate in the previous (7-4-2-3) or the current (8-4-4) school system?

5. What is the highest level of education you completed?

FO comments on Section 3:

### SECTION 4: Community Development Projects - Water Points

READ: We would now like to discuss public water points located in this village (i.e. springs, wells, boreholes, water tanks, rivers/streams, ponds/lakes). By a public water point, we mean water sources for household consumption to which the community has unrestricted access, even if they must pay to use the water. Please include water points meeting these criteria that are currently operational, as well as any water points meeting these criteria that have been operational at some

1. How many water points are located within \${vill\_name}?

(Do not read): You have entered \${q0\_numwp} as the current number of water points in the village. In the last round, we recorded \${cl\_nwt} water points in this village. Please keep this in mind in the

`${vill_name}:  
 ${wt_lst}`

1a. Are all of these water points located within the boundaries of  `${vill_name}`?

1b. Which of these water points are not located within the boundaries of  `${vill_name}`?

1c. Are there any other water points located within the boundaries of village  `${vill_name}`?

1d. How many are they? - total of missed and new water points

The total number of water points the FR gave above in question 1 is  `${q0_numwp}`, while the total number from round 1, misclassified water points and new/missed water points is  `${wptot}`. Please go back and correct this discrepancy.

Please give me the names of any new or missed water points.

FO: Use the following repeat group to enter the names of the new or missed water points.

Water resources: new and missed

1e. What is the name of this water point?

Water resources: new and missed

**Community Development Projects - Water: New and missed projects**

Confirming Village Water Points

2. Are the following water points located within the boundaries of village  `${vill_name}`?

FO: select all water points (both from round 1, and the new and missed water points) that are located within the village boundaries.

Disagreement in Count of Water Points

FO: The number of water points selected does not equal the total number of water points in the village from above. Kindly confirm if you have selected all the water projects located in the village:  `${vill_name}`, or go back and correct previous answers.

**Water Point Repeat Group: The following questions are asked for each water point located within**

**Part A: Basic Water Point Information**

Let's discuss about the  `${wtnm}` water point

3. What type is water point  `${wtnm}`?

3a. Who runs this water point?

Please specify other;

3b. Is there a fee or charge to use this water point?

3c. Is payment charged per jerrican or per month?

3d. How much is charged per jerrican? KSH

3e. How much is charged per month? KSH

3f. Is  `${wtnm}` permanent water source or a seasonal water source?

**Water Point Dates**

4a. Year water point physically initiated

4aa. Was this water point physically initiated:

4b. Month water point physically initiated

5a. Year first operational

5aa. Was this water point first operational:

5b. Month first operational

6. Is this water point \${wtnm} still operational?

If no longer operational:

6a. In which year did this water point \${wtnm} cease to be operational?

6b. In which month did this water point \${wtnm} cease to be operational?

7. How would you rate the current overall quality of this waterpoint \${wtnm}?

**Part B: Initial Construction:**

**If water point not collected in round 1 (either new or missing) and began operating since 2010, collect the following information:**

Please think back on the characteristics of this water point at the time of its construction. I'd like to ask you a few questions about the characteristics of the water point when it first became

**Well Characteristics**

8a. What were the characteristics of the well / borehole when it first became operational?

8ai. Pump characteristics - first operational:

8aii. Cover characteristics - first operational:

8aiii. Fence characteristics - first operational:

8iv. Other characteristics of the well / borehole when first operational:

**Spring Characteristics**

8b. What were the characteristics of the spring at the initial time of construction?

8bi. Water source characteristics - initial construction:

8bii. Fence characteristics - initial construction:

8biii. Other characteristics of the spring at the initial time of construction?

**Water tank characteristics**

8c. What were the characteristics of the water tank at the initial time of construction?

8ci. Tank material - initial construction:

8cii. Tank size - initial construction:

8ciii. Tank accessories - initial construction:

8civ. Other tank characteristics - initial construction:

**Streams/River and Lake/Pond Characteristics**

8d. Were there any manmade features (such as stairs, slabs, pipes, drainage ditches) at this water point at its initial construction?

8di. Features at the initial construction:

**Tap water characteristics**

8e. What were the characteristics of the tap water at the initial time of construction?

8ei. Tap water material - initial construction:

8eii. Tank size - initial construction:

8eiii. Tap accessories - initial construction:

8ev. Other tap characteristics - initial construction:

9. How much in total was spent on the initial construction of this water point?

9a. Who started / initiated the initial construction of this water project/ facility?

9b. Please specify the other initiator(s):

10. Who financed or contributed money to the initial construction of this water point?

10a. Please specify other source(s):

In-Kind Materials List

How much did each of the following sources provide in money / cash to the initial construction of water point \${wtnm}?

11a. Individual Owner (KSH):

11b. Village Members (KSH)?

11c. Individuals outside of \${vill\_name} (KSH):

11d. CDF (KSH):

11e. MP or MCA (or aspirant) (KSH):

11f. NGO (KSH):

11g. Government Ministry (KSH):

11h. County Government (KSH):

11i. Total amount, other sources (KSH):

12. Were there any materials that were contributed in-kind by any sources for the initial construction of this water point \${wtnm}?

13. Who provided materials in-kind for the initial construction of \${wtnm}?

Please specify other source(s):

In-Kind Materials List

Individual Owner In-Kind Contribution

14ai. What materials did the individual owner provide for the initial construction of \${wtnm}?

14aii. What is the total estimated cost of materials provided by the individual owner?

Village In-Kind Contribution

14bi. What materials did members of this village provide for the initial construction of \${wtnm}?

14bii. What is the total estimated cost of materials provided by village members?

Individuals Outside the Village In-Kind Contribution

14ci. What materials did individuals outside of \${vill\_name} provide for the initial construction of

14cii. What is the total estimated cost of materials provided by individuals outside of \${vill\_name} for the initial construction of \${wtnm}?

CDF In-Kind Contribution

14di. What materials did the CDF provide in-kind for the initial construction of \${wtnm}?

14dii. What is the total estimated cost of materials provided by the CDF for the initial construction of

MP/MCA or Aspirant In-Kind Contribution

14ei. What materials did MPs/MCAs and aspirants provide in-kind for the initial construction of

14eii. What is the total estimated cost of materials provided by MPs/MCAs and aspirants for the initial construction of \${wtnm}?

NGO In-Kind Contribution

14fi. What materials did NGOs provide in-kind for the initial construction of \${wtnm}?

14fii. What is the total estimated cost of materials provided by NGOs for the initial construction of

Government Ministry In-Kind Contribution

14gi. What materials did government ministries provide in-kind for the initial construction of

14gii. What is the total estimated cost of materials provided by government ministries for the initial construction of \${wtnm}?

County Government In-Kind Contribution

14hi. What materials did the county government provide in-kind for the initial construction of  
14hii. What is the total estimated cost of materials provided by the county government for the initial  
construction of \${wtnm}?

#### Other In-Kind Contribution

14iii. What materials did other sources provide for the initial construction of \${wtnm}?

14iv. What is the total estimated cost of materials provided by other sources for the initial  
construction of \${wtnm}?

15. Was any land provided for the initial construction of this water point \${wtnm}?

16. Who provided land for the initial construction of this water point?

16a. Please specify other source(s):

#### Land Contribution List

##### Individual Owner Land Contribution

17ai. How much land did the individual owner provide for the initial construction of \${wtnm}? (Acres)

17aii. What is the total estimated cost of land provided by the individual owner?

##### Village Land Contribution

17bi. How much land did members of this village provide for the initial construction of \${wtnm}?

17bii. What is the total estimated cost of land provided by village members?

##### Individuals Outside the Village Land Contribution

17ci. How much land did individuals outside of \${vill\_name} provide for the initial construction of

17cii. What is the total estimated cost of land provided by individuals outside of \${vill\_name} for the  
initial construction of \${wtnm}?

##### CDF Land Contribution

17di. How much land did the CDF \${vill\_name} provide for the initial construction of \${wtnm}?

17dii. What is the total estimated cost of land provided the CDF of \${vill\_name} for the initial  
construction of \${wtnm}?

##### MP/MCA or Aspirant Land Contribution

17ei. How much land did MPs/MCAs and aspirants provide for the initial construction of \${wtnm}?

17eii. What is the total estimated cost of land provided by MPs/MCAs and aspirants for the initial  
construction of \${wtnm}?

##### NGO Land Contribution

17fi. How much land did NGOs provide for the initial construction of \${wtnm}?

17fii. What is the total estimated cost of land provided by NGOs for the initial construction of

##### Government Ministry Land Contribution

17gi. How much land did government ministries provide for the initial construction of \${wtnm}?

17gii. What is the total estimated cost of land provided by government ministries for the initial  
construction of \${wtnm}?

##### County Government Land Contribution

17hi. How much land did the county government provide for the initial construction of \${wtnm}?

17hii. What is the total estimated cost of land provided by the county government for the initial  
construction of \${wtnm}?

##### Other Land Contribution

17ii. How much land did other sources provide for the initial construction of \${wtnm}?

17iii. What is the total estimated cost of land provided by other sources for the initial construction of

18. Was any volunteer / unpaid labor provided for the initial construction of \${wtnm}?

18a. Who provided volunteer / unpaid labor for the initial construction of \${wtnm}?

#### Labor Contribution List

##### Unpaid or Volunteer Labor by Individual Owner

19a. How many total man-hours of unpaid labor did the individual owner provide for the initial construction of \${wtnm}?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19b. How many of these man-hours involved specialized/skilled labor?

19c. What is the estimated total cost of the unpaid labor provided by the individual owner of

##### Unpaid or Volunteer Labor by Village Members

19d. How many total man-hours of unpaid labor did members of this village provide for the initial construction of \${wtnm}?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19e. How many of these man-hours involved specialized/skilled labor?

19f. What is the estimated total cost of the unpaid labor provided by village members of

##### Unpaid or Volunteer Labor by Individuals Outside of the Village

19g. How many total man-hours of unpaid labor did individuals outside of this village provide to the initial construction of \${wtnm}?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19h. How many of these man-hours involved specialized/skilled labor?

19i. What is the estimated total cost of the unpaid labor provided by individuals from outside the village \${vill\_name}?

#### Water project renovations/improvements

##### The following questions are asked of all water points

READ: Now I'd like to ask you about improvements, repairs or renovations that have been undertaken at this water source. By improvements, we mean projects that increased the value of the water point, for instance by adding new features or expanding the size or capacity of the water point. By repairs and renovations, we mean one-time projects that fixed a feature of water point. We will discuss regular upkeep, things that are done on a regular basis, of the water point later.

READ: I'd now like to ask about improvements, renovations and repairs for the water point \${wtnm} conducted since August 2014.

20. Have there been any improvements, repairs or renovations done on this water point since since

#### Recent Improvements

Now I'd like to talk about each time the water point was improved, renovated or repaired. By 'each time' we mean asking the questions on each improvement, renovation or repair distinctly. For instance, in 2015 improvement may have been done twice, first in January and once again in August.

21. How many times has this water point been improved, renovated or repaired since August 2014?

#### Recent Improvements Repeat

Now I'd like to talk about the (next) improvement, renovation or repair.

22. Was this an improvement or a renovation/repair?

23a. Year water point \${imp\_rep\_c} initiated

23b. Month water point \${imp\_rep\_c} initiated

24a. Year water point \${imp\_rep\_c} first operational / completed

24b. Month water point \${imp\_rep\_c} first operational / completed

#### Characteristics after improvement

25ai. What type of improvement was this for this well / borehole?

25bi. What type of improvement was this for this spring?

25ci. What type of improvement was this for this water tank?

25di. What type of improvement was this for this stream, river, lake or pond?

25ei. What type of improvement was this for this tap water?

25aii. What type of repair was this for this well / borehole?

25bii. What type of repair was this for this spring?

25cii. What type of repair was this for this water tank?

25dii. What type of repair was this for this stream, river, lake or pond?

25eii. What type of repair was this for this tap water?

26. Please briefly describe this water source above. Be sure to note quantities where applicable.

#### Well Characteristics

27a. What features of the well were modified as part of this \${imp\_rep\_c}?

27ai. Pump characteristics that were modified:

27aii. Cover characteristics that were modified:

27aiii. Fence characteristics that were modified:

27aiv. Other characteristics of the well / borehole that were modified:

#### Spring Characteristics

27b. What features of the spring were modified as part of this \${imp\_rep\_c}?

27bi. Water source characteristics that were modified:

27bii. Fence characteristics that were modified:

27biii. Other characteristics of the spring that were modified:

#### Water tank characteristics

27c. What features of the water tank were modified as part of this \${imp\_rep\_c}?

27ci. Tank material that was modified:

27cii. Tank size that was modified:

27ciii. Tank accessories - initial construction:

27civ. Other tank characteristics that were modified:

#### Streams/River and Lake/Pond Characteristics

27d. Features modified as part of this \${imp\_rep\_c}?

#### Tap water characteristics

27e. What features of the tap water were modified as part of this \${imp\_rep\_c}?

27ei. Tap water material that was modified:

27eii. Tank size to the tap water that was modified:

27eiii. Tap accessories that were modified:

27eiv. Other tap characteristics that were modified:

28. Who started / initiated this \${imp\_rep\_c}?

Please specify other initiator(s):

29. How much in total (money/cash) was spent on this \${imp\_rep\_c}?

30. Who financed or contributed money to this \${imp\_rep\_c} of this water point \${wtnm}?

Please specify other source(s):

Monetary Contributions List

How much did each of the following sources provide in money / cash to this \${imp\_rep\_c} of water

31a. Individual Owner

31b. Village Members (KSH)?

31c. Individuals outside of \${vill\_name} (KSH):

31d. CDF (KSH):

31e. MP or MCA (or aspirant) (KSH):

31f. NGO (KSH):

31g. Government Ministry (KSH):

31h. County Government (KSH):

31i. Total amount, other sources (KSH):

32. Were there any materials that were contributed in-kind from any sources for \${imp\_rep\_c} of this water point \${wtnm}?

33. Who provided materials in-kind for the \${imp\_rep\_c} of this water point \${wtnm}?

Please specify other source(s):

In-Kind Materials List

Individual Owner In-Kind Contribution

34ai. What materials did the owner provide for this \${imp\_rep\_c} of \${wtnm}?

34aii. What is the total estimated cost of materials provided by the owner?

Village In-Kind Contribution

34bi. What materials did members of this village provide for this \${imp\_rep\_c} of \${wtnm}?

34bii. What is the total estimated cost of materials provided by village members?

Individuals Outside the Village In-Kind Contribution

34ci. What materials did individuals outside of \${vill\_name} provide for this \${imp\_rep\_c} of

34cii. What is the total estimated cost of materials provided by individuals outside of \${vill\_name} for the \${imp\_rep\_c} of \${wtnm}?

CDF In-Kind Contribution

34di. What materials did the CDF \${vill\_name} provide in-kind for this \${imp\_rep\_c} of \${wtnm}?

34dii. What is the total estimated cost of materials provided the CDF of \${vill\_name} for the \${imp\_rep\_c} of \${wtnm}?

MP/MCA or Aspirant In-Kind Contribution

34ei. What materials did MPs/MCAs and aspirants provide for this \${imp\_rep\_c} of \${wtnm}?

34eii. What is the total estimated cost of materials provided by MPs/MCAs and aspirants for the \${imp\_rep\_c} of \${wtnm}?

NGO In-Kind Contribution

34fi. What materials did NGOs provide for this \${imp\_rep\_c} of \${wtnm}?

34fii. What is the total estimated cost of materials provided by NGOs for the \${imp\_rep\_c} of Government Ministry In-Kind Contribution

34gi. What materials did government ministries provide for this \${imp\_rep\_c} of \${wtnm}?

34gii. What is the total estimated cost of materials provided by government ministries for the \${imp\_rep\_c} of \${wtnm}?

#### County Government In-Kind Contribution

34hi. What materials did the county government provide for this \${imp\_rep\_c} of \${wtnm}?

34hii. What is the total estimated cost of materials provided by the county government for the \${imp\_rep\_c} of \${wtnm}?

#### Other In-Kind Contribution

34ii. What materials did other sources provide for this \${imp\_rep\_c} of \${wtnm}?

34iii. What is the total estimated cost of materials provided by other sources for the \${imp\_rep\_c} of \${wtnm}?

35. Was any land provided for the \${imp\_rep\_c} of this water point \${wtnm}?

36. Who provided land for this \${imp\_rep\_c} of this water point \${wtnm}?

Please specify other source(s):

#### Land Contribution List

##### Individual Owner Land Contribution

37ai. How much land did the owner provide for this \${imp\_rep\_c} of \${wtnm}? (Acres)

37aii. What is the total estimated cost of land provided by the owner?

##### Village Land Contribution

37bi. How much land did members of this village provide for this \${imp\_rep\_c} of \${wtnm}? (Acres)

37bii. What is the total estimated cost of land provided by village members?

##### Individuals Outside the Village Land Contribution

37ci. How much land did individuals outside of \${vill\_name} provide for this \${imp\_rep\_c} of \${wtnm}?

37cii. What is the total estimated cost of land provided by individuals outside of \${vill\_name} for the \${imp\_rep\_c} of \${wtnm}?

##### CDF Land Contribution

37di. How much land did the CDF \${vill\_name} provide for this \${imp\_rep\_c} of \${wtnm}?

37dii. What is the total estimated cost of land provided by the CDF of \${vill\_name} for the \${imp\_rep\_c} of \${wtnm}?

##### MP/MCA or Aspirant Land Contribution

37ei. How much land did MPs/MCAs and aspirants provide for this \${imp\_rep\_c} of \${wtnm}?

37eii. What is the total estimated cost of land provided by MPs/MCAs and aspirants for the \${imp\_rep\_c} of \${wtnm}?

##### NGO Land Contribution

37fi. How much land did NGOs provide for this \${imp\_rep\_c} of \${wtnm}?

37fii. What is the total estimated cost of land provided by NGOs for the \${imp\_rep\_c} of \${wtnm}?

##### Government Ministry Land Contribution

37gi. How much land did government ministries provide for this \${imp\_rep\_c} of \${wtnm}?

37gii. What is the total estimated cost of land provided by government ministries for the \${imp\_rep\_c} of \${wtnm}?

##### County Government Land Contribution

37hi. How much land did the county government provide for this \${imp\_rep\_c} of \${wtnm}?

37hii. What is the total estimated cost of land provided by the county government for the \${imp\_rep\_c} of \${wtnm}?

##### Other Land Contribution

37ii. How much land did other sources provide for this \${imp\_rep\_c} of \${wtnm}?

37iii. What is the total estimated cost of land provided by other sources for the \${imp\_rep\_c} of

38. Was any volunteer / unpaid labor provided for this \${imp\_rep\_c} of \${wtnm}?

39. Who provided volunteer / unpaid labor for this \${imp\_rep\_c} of \${wtnm}?

#### Labor Contribution List

##### Individual Owner Labor Contribution

40a. How many total man-hours of unpaid labor did the owner provide?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

40b. How many of these man-hours involved specialized/skilled labor?

40c. What is the estimated total cost of the unpaid labor provided by the owner?

#### Unpaid or Volunteer Labor by Village Members

40d. How many total man-hours of unpaid labor did members of this village \${vill\_name} provide?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

40e. How many of these man-hours involved specialized/skilled labor?

40f. What is the estimated total cost of the unpaid labor provided by village members of

#### Unpaid or Volunteer Labor by Individuals Outside of the Village

40g. How many total man-hours of unpaid labor did individuals outside of this village \${vill\_name} provide?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3

40h. How many of these man-hours involved specialized/skilled labor?

40i. What is the estimated total cost of the unpaid labor provided by individuals from outside the village \${vill\_name}?

#### Regular Upkeep

Read: Now I'd like to ask you about some regular upkeep that have been undertaken at this water

41. What are the regular upkeep activities for this water point \${wtnm} that have been undertaken at least once in the last 12 months?

Specify the other upkeep:

42. How much money in total was spent on regular upkeep activities in the last 12 months?

#### Upkeep Activities Frequency

43ai. How frequently is slashing done at this water point?

43aii. How many times was slashing done in the last 12 months?

43bi. How frequently is drainage maintenance done at this water point?

43bii. How many times was drainage maintenance done in the last 12 months?

43ci. How frequently is plastering done at this water point?

43cii. How many times was plastering done in the last 12 months?

43di. How frequently is greasing / oiling done at this water point?

43dii. How many times was greasing/oiling done at this water point in the last 12 months?

43ei. How frequently is chlorinating done at this water point?

43eii. How many times was chlorinating done at this water point in the last 12 months?

43fi. How frequently is dredging done at this water point?

- 43fii. How many times was dredging done at this water point in the last 12 months?
- 43gi. How frequently is cleaning done at this water point?
- 43gii. How many times was cleaning done at the water point in the last 12 months?
- 43hi. How frequently is mopping done at this water point?
- 43hii. How many times was mopping done at this water point in the last 12 months?
- 43iii. How frequently is murraming done at this water point?
- 43ji. How many times was murraming done at this water point in the last 12 months?
- 43jii. How frequently is grading done at this water point?
- 43kii. How many times was grading done at this water point in the last 12 months?
- 43ki. How frequently is painting/ repainting done at this water point?
- 43kii. How many times was painting/ repainting done at this water point in the last 12 months?
- 43li. How frequently is the bucket or rope replaced or patched at this water point?
- 43lii. How many times was the bucket or rope replaced or patched at this water point in the last 12 months?
- 43mi. How frequently is the other upkeep done at this water point?
- 43mii. How many times was other upkeep done at this water point in the last 12 months?

44. Who are the people responsible for doing upkeep at this water source?

45a. How many people have been employed at this water source to do the regular upkeep activities?

45b. How much in total was paid on salaries/ wages in the last one month?

Workers from the village

46a. How many households from this village have worked at this water source in the last month?

46b. How many man-hours did they work in total?

47. Do households from outside this village collect water from this water point?

48a. How many households from outside this village worked on upkeep in the last month?

48b. How many man-hours in total did households from outside this village that use this water source work on maintenance of this water source in the last month?

49. Have there been groups from within this village that worked on this water source in the last one

50a. What is the name of this group from within the village?

50b. How many members of this group worked on this water source on maintenance in the last

50c. How many man-hours in total did they work in the last month?

FO comments on Section 4:

## SECTION 5: Community Development Projects - Feeder road and bridges

READ: Now we are going to talk about feeder roads and bridges that the community can access.

Please include existing (completed) and ongoing projects, as well as any that are no longer in use but were in use at some point since 2010.

1. How many feeder roads and bridges are located within the boundaries of this village?

In the first round of our survey, we collected information that the following \${cl\_nf} Feeder road and bridges are located within the boundaries of village \${vill\_name}: \${f\_lst}

1c. Are there any other Feeder road and bridges located within the boundaries of village

1d. How many are they? - total of missed and new Feeder road/ bridges

Feeder road/ bridges: new and missed

1e. What is the name of this Feeder road or bridge?

Confirming Village Feeder Roads and Bridges

2. Are the following Feeder roads and bridges located within the boundaries of village \${vill\_name}?

FO: select all Feeder road and bridges that are located within the village boundaries

FO: Kindly confirm if you have selected all the Feeder roads and bridges located in the village: \${vill\_name}. In the following questions, we are only interested in the portion of these located within

**Feeder road/ bridges Repeat Group: The following questions are asked about each feeder road / bridge within the village**

Let's discuss about \${fnm}

#### **Part A: Basic Information**

3. Is this a feeder road or bridge?

In the following questions, when we refer to your village please only include amounts contributed by members of your village \${vill\_name}. When we refer to feeder roads please only consider the Dates

4a. Year \${fdisp} physically initiated

4b. Month \${fdisp} physically initiated

5a. Year first operational

5b. Month first operational

6. Is this \${fdisp} \${fnm} still operational?

If no longer operational:

6a. In which year did this \${fdisp} cease to be operational?

6b. In which month did this \${fdisp} cease to be operational?

7. How would you rate the current overall quality of this \${fdisp} ... \${fnm}?

#### **Part B: Initial Construction**

Please think back on the characteristics of this \${fdisp}. I'd like to ask you a few questions about the characteristics of the \${fdisp} at the time it was first operational.

Feeder road/ Bridge Characteristics

8. What were the characteristics of the \${fdisp} ... \${fnm} at the time it was first operational?

8i. Of what materials was the \${fdisp} ... \${fnm} made at the time it was first operational?

8ii. How wide was the \${fdisp} ... \${fnm} at the time it was first operational?

8iii. How long was the \${fdisp} ... \${fnm} WITHIN THIS VILLAGE at the first time it was operational?

8iv. Other characteristics of the \${fdisp} ... \${fnm} at the time it was first operational?

9. How much money in total was spent on the initial construction of \${fdisp} ... \${fnm}?

9a. Who started / initiated the initial construction of this \${fdisp} ... \${fnm}?

9b. Please specify other initiator(s):

10. Who financed or contributed money to the initial construction of this \${fdisp} ... \${fnm}?

10a. Please specify other source(s):

#### Initial Construction - Money Contribution List

How much did each of the following sources provide in money / cash to the initial construction of \${fdisp} ... \${fnm}?

11b. Village Members (KSH)?

11c. Individuals outside of \${vill\_name} (KSH):

11d. CDF (KSH):

11e. MP or MCA (or aspirant) (KSH):

11f. NGO (KSH):

11g Government Ministry (KSH):

11h. County Government (KSH):

11i. Total amount, other sources (KSH):

12. Were there any materials that were contributed in-kind by any sources for the initial construction of this \${fdisp} ... \${fnm}?

13. Who provided materials in-kind for the initial construction of \${fdisp} ... \${fnm}?

Please specify other source(s):

#### In-Kind Materials List

##### Village In-Kind Contribution

14bi. What materials did members of this village provide for the initial construction of \${fdisp} ... \${fnm}?

14bii. What is the total estimated cost of materials provided by village members?

##### Individuals Outside the Village In-Kind Contribution

14ci. What materials did individuals outside of \${vill\_name} provide for the initial construction of \${fdisp} ... \${fnm}?

14cii. What is the total estimated cost of materials provided by individuals outside of \${vill\_name} for the initial construction of \${fdisp} ... \${fnm}?

##### CDF In-Kind Contribution

14di. What materials did the CDF \${vill\_name} provide in-kind for the initial construction of \${fdisp} ... \${fnm}?

14dii. What is the total estimated cost of materials provided by the CDF of \${vill\_name} for the initial construction of \${fdisp} ... \${fnm}?

##### MP/MCA or Aspirant In-Kind Contribution

14ei. What materials did MPs/MCAs and aspirants provide in-kind for the initial construction of \${fdisp} ... \${fnm}?

14eii. What is the total estimated cost of materials provided by MPs/MCAs and aspirants for the initial construction of \${fdisp} ... \${fnm}?

##### NGO In-Kind Contribution

14fi. What materials did NGOs provide in-kind for the initial construction of \${fdisp} ... \${fnm}?

14fii. What is the total estimated cost of materials provided by NGOs for the initial construction of \${fdisp} ... \${fnm}?

##### Government Ministry In-Kind Contribution

14gi. What materials did government ministries provide in-kind for the initial construction of \${fdisp} ... \${fnm}?

14gii. What is the total estimated cost of materials provided by government ministries for the initial construction of \${fdisp} ... \${fnm}?

##### County Government In-Kind Contribution

14hi. What materials did the county government provide in-kind for the initial construction of \${fdisp} ... \${fnm}?

14hii. What is the total estimated cost of materials provided by the county government for the initial construction of \${fdisp} ... \${fnm}?

#### Other In-Kind Contribution

14iii. What materials did other sources provide for the initial construction of \${fdisp} ... \${fnm}?

14iv. What is the total estimated cost of materials provided by other sources for the initial construction of \${fdisp} ... \${fnm}?

15. Was any land provided for the initial construction of this \${fdisp} ... \${fnm}?

16. Who provided land for the initial construction of this water point?

16a. Please specify other source(s):

#### Land Contribution List

##### Village Land Contribution

17bi. How much land did members of this village provide for the initial construction of \${fdisp} ... \${fnm}?

17bii. What is the total estimated cost of land provided by village members?

##### Individuals Outside the Village Land Contribution

17ci. How much land did individuals outside of \${vill\_name} provide for the initial construction of \${fdisp} ... \${fnm}?

17cii. What is the total estimated cost of land provided by individuals outside of \${vill\_name} for the initial construction of \${fdisp} ... \${fnm}?

#### CDF Land Contribution

17di. How much land did the CDF \${vill\_name} provide for the initial construction of \${fdisp} ... \${fnm}?

17dii. What is the total estimated cost of land provided the CDF of \${vill\_name} for the initial construction of \${fdisp} ... \${fnm}?

#### MP/MCA or Aspirant Land Contribution

17ei. How much land did MPs/MCAs and aspirants provide for the initial construction of \${fdisp} ... \${fnm}?

17eii. What is the total estimated cost of land provided by MPs/MCAs and aspirants for the initial construction of \${fdisp} ... \${fnm}?

#### NGO Land Contribution

17fi. How much land did NGOs provide for the initial construction of \${fdisp} ... \${fnm}?

17fii. What is the total estimated cost of land provided by NGOs for the initial construction of \${fdisp} ... \${fnm}?

#### Government Ministry Land Contribution

17gi. How much land did government ministries provide for the initial construction of \${fdisp} ... \${fnm}?

17gii. What is the total estimated cost of land provided by government ministries for the initial construction of \${fdisp} ... \${fnm}?

#### County Government Land Contribution

17hi. How much land did the county government provide for the initial construction of \${fdisp} ... \${fnm}?

17hii. What is the total estimated cost of land provided by the county government for the initial construction of \${fdisp} ... \${fnm}?

#### Other Land Contribution

17ii. How much land did other sources provide for the initial construction of \${fdisp} ... \${fnm}?

17iii. What is the total estimated cost of land provided by other sources for the initial construction of \${fdisp} ... \${fnm}?

18. Was any volunteer / unpaid labor provided for the initial construction of \${fdisp} ... \${fnm}?

18a. Who provided volunteer / unpaid labor for the initial construction of \${fdisp} ... \${fnm}?

## Labor Contribution List

### Unpaid or Volunteer Labor by Village Members

19d. How many total man-hours of unpaid labor did members of this village provide for the initial construction of \${fdisp} ... \${fnm}?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19e. How many of these man-hours involved specialized/skilled labor?

19f. What is the estimated total cost of the unpaid labor provided by village members of

### Unpaid or Volunteer Labor by Individuals Outside of the Village

19g. How many total man-hours of unpaid labor did individuals outside of this village provide to the initial construction of \${fdisp} ... \${fnm}?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19h. How many of these man-hours involved specialized/skilled labor?

19i. What is the estimated total cost of the unpaid labor provided by individuals from outside the village \${vill\_name}?

## Part C: Feeder roads/bridges renovations/improvements

READ: Now I'd like to ask you about improvements, repairs or renovations that have been undertaken at this \${fdisp}

READ: I'd now like to ask about improvements, renovations and repairs for the \${fdisp} \${fnm} conducted since August 2014.

20. Have there been any improvements, repairs or renovations done on this \${fdisp} ... \${fnm} since

21. How many times has this \${fdisp} ... \${fnm} been improved, renovated or repaired since August

### Feeder Roads and Bridges Projects Improvement Repeat

Now I'd like to talk about the (next) improvement, renovation or repair.

22. Was this an improvement or a renovation/repair?

23a. Year \${fdisp} s5\_imp\_rep initiated

23b. Month \${fdisp} \${s5\_imp\_rep} initiated

24a. Year \${fdisp} \${s5\_imp\_rep} first operational / completed

24b. Month \${fdisp} \${s5\_imp\_rep} first operational / completed

### Characteristics after improvement

#### Feeder road / bridge characteristics

27. What features of the \${fdisp} ... \${fnm} were modified as part of this \${s5\_imp\_rep}?

27i. What were the materials after \${s5\_imp\_rep}?

27ii. What was the width after \${s5\_imp\_rep}?

27iii. What was the length after \${s5\_imp\_rep}?

27iv. What were other features after \${s5\_imp\_rep}?

28. Who started / initiated this \${s5\_imp\_rep}?

29 . How much money in total was spent on this \${s5\_imp\_rep} for this \${fdisp}?

30. Who financed or contributed money to this \${s5\_imp\_rep} on this \${fdisp}?

Please specify other initiator(s):

Monetary Contributions List

How much money did each of the following sources provide to the \${s5\_imp\_rep} of this \${fdisp}

31b. Village Members (KSH)?

31c. Individuals outside of \${vill\_name} (KSH):

31d. CDF (KSH):

31e. MP or MCA (or aspirant) (KSH):

31f. NGO (KSH):

31g. Government Ministry (KSH):

31h. County Government (KSH):

31i. Total amount, other sources (KSH):

32. Were there any materials that were contributed in-kind from any sources for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm} ?

33. Who provided materials in-kind for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}

Please specify other source(s):

In-Kind Materials List

Village In-Kind Contribution

34bi. What materials did members of this village provide for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

34bii. What is the total estimated cost of materials provided by village members?

Individuals Outside the Village In-Kind Contribution

34ci. What materials did individuals outside of \${vill\_name} provide for this \${s5\_imp\_rep} of \${fdisp}

34cii. What is the total estimated cost of materials provided by individuals outside of \${vill\_name} for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

CDF In-Kind Contribution

34di. What materials did the CDF \${vill\_name} provide in-kind for this \${s5\_imp\_rep} of \${fdisp} ...

34dii. What is the total estimated cost of materials provided by the CDF of \${vill\_name} for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

MP/MCA or Aspirant In-Kind Contribution

34ei. What materials did MPs/MCAs and aspirants provide for this \${s5\_imp\_rep} of \${fdisp} ...

34eii. What is the total estimated cost of materials provided by MPs/MCAs and aspirants for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

NGO In-Kind Contribution

34fi. What materials did NGOs provide for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

34fii. What is the total estimated cost of materials provided by NGOs for the \${s5\_imp\_rep} of

Government Ministry In-Kind Contribution

34gi. What materials did government ministries provide for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

34gii. What is the total estimated cost of materials provided by government ministries for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

County Government In-Kind Contribution

34hi. What materials did the county government provide for this \${s5\_imp\_rep} of \${fdisp} ...

34hii. What is the total estimated cost of materials provided by the county government for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

Other In-Kind Contribution

34ii. What materials did other sources provide for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

34iii. What is the total estimated cost of materials provided by other sources for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

35. Was any land provided for this \${s5\_imp\_rep} of this \${fdisp} ... \${fnm}?

36. Who provided land for this \${s5\_imp\_rep} of this \${fdisp}?

#### Land Contribution List

##### Village Land Contribution

37bi. How much land did members of this village provide for this \${s5\_imp\_rep} of \${fdisp} ...

37bii. What is the total estimated cost of land provided by village members?

##### Individuals Outside the Village Land Contribution

37ci. How much land did individuals outside of \${vill\_name} provide for this \${s5\_imp\_rep} of

37cii. What is the total estimated cost of land provided by individuals outside of \${vill\_name} for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

##### CDF Land Contribution

37di. How much land did the CDF \${vill\_name} provide for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

37dii. What is the total estimated cost of land provided the CDF of \${vill\_name} for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

##### MP/MCA or Aspirant Land Contribution

37ei How much land did MPs/MCAs and aspirants provide for this \${s5\_imp\_rep} of \${fdisp} ...

37eii. What is the total estimated cost of land provided by MPs/MCAs and aspirants for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

##### NGO Land Contribution

37fi. How much land did NGOs provide for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

37fii. What is the total estimated cost of land provided by NGOs for the \${s5\_imp\_rep} of \${fdisp} ...

##### Government Ministry Land Contribution

37gi. How much land did government ministries provide for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

37gii. What is the total estimated cost of land provided by government ministries for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

##### Other Land Contribution

37hi. How much land did other sources provide for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

37hii. What is the total estimated cost of land provided by other sources for the \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

38. Was any volunteer / unpaid labor provided for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

39. Who provided volunteer / unpaid labor for this \${s5\_imp\_rep} of \${fdisp} ... \${fnm}?

#### Labor Contribution List

##### Unpaid or Volunteer Labor by Village Members

40d. How many total man-hours of unpaid labor did members of this village provide?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

40e. How many of these man-hours involved specialized/skilled labor?

40f. What is the estimated total cost of the unpaid labor provided by village members of

##### Unpaid or Volunteer Labor by Individuals Outside of the Village

40g. How many total man-hours of unpaid labor did individuals outside of this village \${vill\_name} provide?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 40h. How many of these man-hours involved specialized/skilled labor?

40i. What is the estimated total cost of the unpaid labor provided by individuals from outside the village \${vill\_name}?

#### Regular Upkeep

Read: Now I'd like to ask you about some regular upkeep that have been undertaken on this

41. What are the regular upkeep activities for this \${fdisp} that have been undertaken at least once in the last 12 months?

Please specify the other upkeep:

42. How much money in total was spent on regular upkeep activities in the last 12 months?

#### Upkeep Frequency List

43ai. How frequently is slashing done for this \${fdisp} .. \${fnm}?

43aii. How many times was slashing done in the last 12 months at \${fdisp} .. \${fnm}?

43bi. How frequently is drainage maintenance done for this \${fdisp} .. \${fnm}?

43bii. How many times was drainage maintenance done in the last 12 months for \${fdisp} .. \${fnm}?

43ci. How frequently is plastering done for this \${fdisp} .. \${fnm}?

43cii. How many times was plastering done in the last 12 months for \${fdisp} .. \${fnm}?

43di. How frequently is greasing / oiling done for this \${fdisp} .. \${fnm}?

43dii. How many times was greasing/oiling done in the last 12 months for \${fdisp} .. \${fnm}?

43ei. How frequently is chlorinating done for this \${fdisp} .. \${fnm}?

43eii. How many times was chlorinating done in the last 12 months for \${fdisp} .. \${fnm}?

43fi. How frequently is dredging done for this \${fdisp} .. \${fnm}?

43fii. How many times was dredging done in the last 12 months for \${fdisp} .. \${fnm}?

43gi. How frequently is cleaning done for this \${fdisp} .. \${fnm}?

43gii. How many times was cleaning done in the last 12 months for \${fdisp} .. \${fnm}?

43hi. How frequently is mopping done for this \${fdisp} .. \${fnm}?

43hii. How many times was mopping done in the last 12 months for \${fdisp} .. \${fnm}?

43ii. How frequently is Murralling done for this \${fdisp} .. \${fnm}?

43iii. How many times was murraming done in the last 12 months for \${fdisp} .. \${fnm}?

43ji. How frequently is grading done for this \${fdisp} .. \${fnm}?

43jii. How many times was grading done in the last 12 months for \${fdisp} .. \${fnm}?

43ki. How frequently is painting/ repainting done for this \${fdisp} .. \${fnm}?

43kii. How many times was painting/ repainting done in the last 12 months for \${fdisp} .. \${fnm}?

43li. How frequently is the bucket/rope replaced for this \${fdisp} .. \${fnm}?

43lii. How many times was the bucket/rope replaced in the last 12 months for \${fdisp} .. \${fnm}?

43mi. How frequently is other upkeep done at this \${fdisp} .. \${fnm}?

43mii. How many times was other upkeep done in the last 12 months for \${fdisp} .. \${fnm}?

44. Who are the people responsible for doing these regular upkeeps on this \${fdisp} .. \${fnm}?

Specify other:

45a. How many people have been employed to do the regular maintenance activities?

45b. How much in total was paid on salaries/ wages in the last one month?

Workers from the village

46a. How many households from this village have worked on this \${fdisp} .. \${fnm} in the last month?

46b. How many man-hours did they work in total?

47. Have there been workers from outside this village that worked on this \${fdisp} .. \${fnm} in the

48a. How many households from outside this village that use this \${fdisp} .. \${fnm} worked on maintenance in the last month?

48b. How many man-hours in total did households from outside this village that use this \${fdisp} work on maintenance of this \${fdisp} in the last one month?

49. Have there been groups from within this village that worked on this \${fdisp} .. \${fnm} in the last

50a. What is the name of this group from within the village?

50b. How many members of this group worked on this \${fdisp} .. \${fnm} on maintenance in the last

50c. How many man-hours in total did they work in the last month?

FO comments on Section 5:

## SECTION 6: Other Public Facilities

READ: Now we are going to talk about any other public facilities in your village. By public facilities, we mean - a public facility that all households have access to and which the community manages and utilizes, and is located within the village boundaries. Please include completed and ongoing projects, as well as any that are no longer operational but were operational at some point since 2010.

READ: We would now like to discuss public Other Public Facilities located in this village.

Other Public Facilities

Does your village have any of the following?

1ai. Public toilets

1aii. Meeting hall

1aiii. Cattle dip

1aiv. Library / Resource Center

1av. Any other public facilities?

Please specify other public facilities:

1bi. How many public toilets are in your village \${vill\_name}?

1bii. How many meeting halls are in your village \${vill\_name}?

1biii. How many cattle dips are in your village \${vill\_name}?

1biv. How many library or resources centers are in your village \${vill\_name}?

1bv. How many other public facilities are in your village \${vill\_name}?

Do not read: There are a total of \${othtot} other facilities based on the questions above. Please ensure these are all captured in the following questions.

When we last visited, we received information on \${cl\_nof} other public facilities located within the boundaries of village \${vill\_name}: \${of\_lst}

1c. Are there any other Other Public Facilities located within the boundaries of village \${vill\_name}?

1d. How many are they? - total of missed and new Other Public Facilities

Other Public Facilities: new and missed

1e. What is the name of this Other Public Facilities?

Other Public Facilities: new and missed

**Community Development Projects - other public facilities**

Conforming Village Other Public Facilities

2. Are the following Other Public Facilities located within the boundaries of village \${vill\_name}?

FO: select all Other Public Facilities that are located within the village boundaries

FO: Kindly confirm if you have selected all the Other Public Facilities located in the village:

**Other Public Facilities Repeat Group: The following questions are asked for each water point located within the village.**

Let's discuss about \${ofnm} public facility

3. What type of facility is \${ofnm}?

In the following questions, when we refer to your village please only include amounts contributed by members of your village \${vill\_name}.

4a. In which year was this facility \${ofdisp} .. \${ofnm} initiated?

4b. In which month of the year was \${ofdisp} .. \${ofnm} initiated?

5a. In which year did this facility \${ofdisp} .. \${ofnm} first become operational?

5b. In which month of the year did this facility \${ofdisp} .. \${ofnm} first become operational?

6. Is this facility \${ofdisp} .. \${ofnm} still operational?

If no longer operational:

6a. In which year did this facility \${ofdisp} .. \${ofnm} cease to be operational?

6b. In which month of the year did this facility \${ofdisp} .. \${ofnm} cease to be operational?

7. How would you rate the current overall quality of this \${ofdisp} ... \${ofnm}?

**Initial Construction - Other Projects**

Please think back on the characteristics of this public facility \${ofdisp} .. \${ofnm} at the time of construction. I'd like to ask you a few questions about the characteristics of the facility at the time of Public toilets

8a. What were the characteristics of the public toilet facility at the time it was first operational?

8ai. What type of toilets were at this public toilet facility?

8aii. How many separate toilet rooms did this public toilet \${ofnm} have at the time it was first

8aiii. Of what material were the walls made at the initial time of construction?

8aiv. Of what material was the roof made at the initial time of construction?

8av. Of what material was the floor made - at the initial time of construction?

8avi. What other features did this public toilet have at the initial time of construction?

Meeting hall

8b. What were the characteristics of this meeting hall at the time it was first operational?

8bi. Of what material were the walls made at the time it was first operational?

8bii. Of what material was the roof made at the time it was first operational?

8biii. Of what material was the floor made at the time it was first operational?

8biv. What other features did this meeting hall have at the time it was first operational?

Cattle Dip

8c. What were the characteristics of this cattle dip at the initial time of construction?

Of what material were the walls made at the initial time of construction?

Of what material was the roof made at the initial time of construction?

Of what material was the floor made - at hte initial time of construction?

What other features did this cattle dip have at the initial time of construction?

**Library/ Resouce center**

8d. What were the characteristics of this library/ resource center at the initial time of construction?

Of what material were the walls made at the initial time of construction?

Of what material was the roof made at the initial time of construction?

Of what material was the floor made - at hte initial time of construction?

What other features did this library have at the initial time of construction?

**Other facility**

8e. What were the characteristics of this public facility \${ofnm} at the initial time of construction?

Please describe the characteristics in detail. Probe for any notable features of the facility, such as number of rooms, building materials, etc.

9. How much in total was spent on the initial construction of this facility \${ofnm}?

9a. Who started / initiated the initial construction of this public facility?

Please specify the other initiator:

10. Who financed or contributed money to the initial construction of this public facility?

Please specify other source(s):

**Initial Construction - Money Contribution List**

How much did each of the following sources provide in money / cash to the initial construction of

11b. Village Members (KSH)?

11c. Individuals outside of \${vill\_name} (KSH):

11d. CDF (KSH):

11e. MP or MCA (or aspirant) (KSH):

11f. NGO (KSH):

11g. Government Ministry (KSH):

11h. County Government (KSH):

11i. Total amount, other sources (KSH):

12. Were there any materials that were contributed in-kind by any sources for the initial construction of this public facility?

13. Who provided materials in-kind for the initial construction of this public facility?

Please specfy other source(s):

**In-Kind Materials List**

**Village In-Kind Contribution**

14bi. What materials did members of this village provide for the initial construction of this public

14bii. What is the total estimated cost of materials provided by village members?

**Individuals Outside the Village In-Kind Contribution**

14ci. What materials did individuals outside of \${vill\_name} provide for the initial construction of this public facility \${ofnm}?

14cii. What is the total estimated cost of materials provided by individuals outside of \${vill\_name} for the initial construction of this public facility \${ofnm}?

**CDF In-Kind Contribution**

14di. What materials did the CDF \${vill\_name} provide in-kind for the initial construction of this public facility \${ofnm}?

14dii. What is the total estimated cost of materials provided the CDF of \${vill\_name} for the initial construction of this public facility \${ofnm}?

#### MP/MCA or Aspirant In-Kind Contribution

14ei. What materials did MPs/MCAs and aspirants provide in-kind for the initial construction of this public facility \${ofnm}?

14eii. What is the total estimated cost of materials provided by MPs/MCAs and aspirants for the initial construction of this public facility \${ofnm}?

#### NGO In-Kind Contribution

14fi. What materials did NGOs provide in-kind for the initial construction of this public facility

14fii. What is the total estimated cost of materials provided by NGOs for the initial construction of this public facility \${ofnm}?

#### Government Ministry In-Kind Contribution

14gi. What materials did government ministries provide in-kind for the initial construction of this public facility \${ofnm}?

14gii. What is the total estimated cost of materials provided by government ministries for the initial construction of this public facility \${ofnm}?

#### County Government In-Kind Contribution

14hi. What materials did the county government provide in-kind for the initial construction of this public facility \${ofnm}?

14hii. What is the total estimated cost of materials provided by the county government for the initial construction of this public facility \${ofnm}?

#### Other In-Kind Contribution

14ii. What materials did other sources provide for the initial construction of this public facility

14iii. What is the total estimated cost of materials provided by other sources for the initial construction of this public facility \${ofnm}?

15. Was any land provided for the initial construction of this public facility?

16. Who provided land for the initial construction of this public facility?

16a. Please specify other source(s):

#### Land Contribution List

##### Village Land Contribution

17bi. How much land did members of this village provide for the initial construction of this public

17bii. What is the total estimated cost of land provided by village members?

##### Individuals Outside the Village Land Contribution

17ci. How much land did individuals outside of \${vill\_name} provide for the initial construction of this public facility?

17cii. What is the total estimated cost of land provided by individuals outside of \${vill\_name} for the initial construction of this public facility?

#### CDF Land Contribution

17di. How much land did the CDF \${vill\_name} provide for the initial construction of this public

17dii. What is the total estimated cost of land provided the CDF of \${vill\_name} for the initial construction of this public facility?

#### MP/MCA or Aspirant Land Contribution

17ei. How much land did MPs/MCAs and aspirants provide for the initial construction of this public facility?  
17eii. What is the total estimated cost of land provided by MPs/MCAs and aspirants for the initial construction of this public facility?

#### NGO Land Contribution

17fi. How much land did NGOs provide for the initial construction of this public facility?  
17fii. What is the total estimated cost of land provided by NGOs for the initial construction of this public facility?

#### Government Ministry Land Contribution

17gi. How much land did government ministries provide for the initial construction of this public facility?  
17gii. What is the total estimated cost of land provided by government ministries for the initial construction of this public facility?

#### County Government Land Contribution

17hi. How much land did the county government provide for the initial construction of this public facility?  
17hii. What is the total estimated cost of land provided by the county government for the initial construction of this public facility \${ofnm}?

#### Other Land Contribution

17ii. How much land did other sources provide for the initial construction of this public facility?  
17iii. What is the total estimated cost of land provided by other sources for the initial construction of this public facility?

18. Was any volunteer / unpaid labor provided for the initial construction of this public facility?

18a. Who provided volunteer / unpaid labor for the initial construction of this public facility?

#### Labor Contribution List

##### Unpaid or Volunteer Labor by Village Members

19d. How many total man-hours of unpaid labor did members of this village provide for the initial construction of this public facility?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19e. How many of these man-hours involved specialized/skilled labor?

19f. What is the estimated total cost of the unpaid labor provided by village members of this public facility?

##### Unpaid or Volunteer Labor by Individuals Outside of the Village

19g. How many total man-hours of unpaid labor did individuals outside of this village provide to the initial construction of this public facility?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19h. How many of these man-hours involved specialized/skilled labor?

19i. What is the estimated total cost of the unpaid labor provided by individuals from outside this community?

#### Other project renovations/improvements

READ: I'd now like to ask about improvements, renovations and repairs for the facility \${ofnm} conducted since August 2014.

20. Have there been any improvements, repairs or renovations done on this public facility since August 2014?

21. How many times have this facility been improved, renovated or repaired since August 2014?

## Other improvements

Now I'd like to talk about the (next) improvement, renovation or repair.

22. Was this an improvement or a renovation/repair?

23a. Year facility \${s6\_imp\_rep} initiated

23b. Month facility \${s6\_imp\_rep} initiated

24a. Year facility \${s6\_imp\_rep} first operational / completed

24b. Month facility \${s6\_imp\_rep} first operational / completed

## Characteristics after improvement

### Public toilets

27a. What were the characteristics of the public toilet facility after the \${s6\_imp\_rep}?

What features of the public toilets were modified as part of this \${s6\_imp\_rep}?

Whst type of toilets were at this public toilet facility after the \${s6\_imp\_rep}?

How many separate toilet rooms were added as part of this \${s6\_imp\_rep}?

Of what material were the walls made after the \${s6\_imp\_rep}?

Of what material was the roof made after the \${s6\_imp\_rep}?

Of what material was the floor made after this \${s6\_imp\_rep}?

What other features did this public toilet have after this \${s6\_imp\_rep}?

### Meeting hall

27b. What were the characteristics of this meeting hall after this \${s6\_imp\_rep}?

Of what material were the walls made after this \${s6\_imp\_rep}?

Of what material was the roof made after this \${s6\_imp\_rep}?

Of what material was the floor made after this \${s6\_imp\_rep}?

What other features did this meeting hall have after this \${s6\_imp\_rep}?

### Cattle Dip

27c. What were the characteristics of this cattle dip after this \${s6\_imp\_rep}?

Of what material were the walls made after this \${s6\_imp\_rep}?

Of what material was the roof made after this \${s6\_imp\_rep}?

Of what material was the floor made after this \${s6\_imp\_rep}?

What other features did this cattle dip have after this \${s6\_imp\_rep}?

### Library/ Resource center

27d. What were the characteristics of this library/ resource center after this \${s6\_imp\_rep}?

Of what material were the walls after this \${s6\_imp\_rep}?

Of what material was the roof made after this \${s6\_imp\_rep}?

Of what material was the floor made after this \${s6\_imp\_rep}?

What other features did this library have after this \${s6\_imp\_rep}?

### Other facility

27e. What were the characteristics of this public facility after this \${s6\_imp\_rep}?

Please describe the characteristics in detail. Probe for any notable features of the facility, such as number of rooms, building materials, etc. after this \${s6\_imp\_rep}?

28. Who started / initiated this \${s6\_imp\_rep}?

29. How much in total was spent on this \${s6\_imp\_rep} at this facility?

30. Who financed or contributed money to this \${s6\_imp\_rep} on this facility?

Please specify other initiator(s):

Monetary Contributions List

How much money did each of the following sources provide to the \${s6\_imp\_rep} of this facility?

31b. Village Members (KSH)?

31c. Individuals outside of \${vill\_name} (KSH):

31d. CDF (KSH):

31e. MP or MCA (or aspirant) (KSH):

31f. NGO (KSH):

31g. Government Ministry (KSH):

31h. County Government (KSH):

31i. Total amount, other sources (KSH):

32. Were there any materials that were contributed in-kind from any sources for this \${s6\_imp\_rep}

33. Who provided materials in-kind for this \${s6\_imp\_rep} of this facility?

Please specify other source(s):

In-Kind Materials List

Village In-Kind Contribution

34bi. What materials did members of this village provide for this \${s6\_imp\_rep} of this facility?

34bii. What is the total estimated cost of materials provided by village members?

Individuals Outside the Village In-Kind Contribution

34ci. What materials did individuals outside of \${vill\_name} provide for this \${s6\_imp\_rep} of this

34cii. What is the total estimated cost of materials provided by individuals outside of \${vill\_name} for the \${s6\_imp\_rep} of this facility?

CDF In-Kind Contribution

34di. What materials did the CDF \${vill\_name} provide in-kind for this \${s6\_imp\_rep} of this facility?

34dii. What is the total estimated cost of materials provided the CDF of \${vill\_name} for the \${s6\_imp\_rep} of this facility?

MP/MCA or Aspirant In-Kind Contribution

34ei. What materials did MPs/MCAs and aspirants provide for this \${s6\_imp\_rep} of this facility?

34eii. What is the total estimated cost of materials provided by MPs/MCAs and aspirants for the \${s6\_imp\_rep} of this facility?

NGO In-Kind Contribution

34fi. What materials did NGOs provide for this \${s6\_imp\_rep} of this facility?

34fii. What is the total estimated cost of materials provided by NGOs for the \${s6\_imp\_rep} of this

Government Ministry In-Kind Contribution

34gi. What materials did government ministries provide for this \${s6\_imp\_rep} of this facility?

34gii. What is the total estimated cost of materials provided by government ministries for the \${s6\_imp\_rep} of this facility?

County Government In-Kind Contribution

34hi. What materials did the county government provide for this \${s6\_imp\_rep} of this facility?

34hii. What is the total estimated cost of materials provided by the county government for the \${s6\_imp\_rep} of this facility?

Other In-Kind Contribution

34iii. What materials did other sources provide for this \${s6\_imp\_rep} of this facility?

34iv. What is the total estimated cost of materials provided by other sources for the \${s6\_imp\_rep}

35. Was any land provided for this \${s6\_imp\_rep} of this facility?

36. Who provided land for this \${s6\_imp\_rep} of this facility?

**Land Contribution List**

**Village Land Contribution**

37bi. How much land did members of this village provide for this \${s6\_imp\_rep} of this facility?

37bii. What is the total estimated cost of land provided by village members?

**Individuals Outside the Village Land Contribution**

37ci. How much land did individuals outside of \${vill\_name} provide for this \${s6\_imp\_rep} of this

37cii. What is the total estimated cost of land provided by individuals outside of \${vill\_name} for the \${s6\_imp\_rep} of this facility?

**CDF Land Contribution**

37di. How much land did the CDF \${vill\_name} provide for this \${s6\_imp\_rep} of this facility?

37dii. What is the total estimated cost of land provided the CDF of \${vill\_name} for the \${s6\_imp\_rep} of this facility?

**MP/MCA or Aspirant Land Contribution**

37ei. How much land did MPs/MCAs and aspirants provide for this \${s6\_imp\_rep} of this facility?

37eii. What is the total estimated cost of land provided by MPs/MCAs and aspirants for the \${s6\_imp\_rep} of this facility?

**NGO Land Contribution**

37fi. How much land did NGOs provide for this \${s6\_imp\_rep} of this facility?

37fii. What is the total estimated cost of land provided by NGOs for the \${s6\_imp\_rep} of this

**Government Ministry Land Contribution**

37gi. How much land did government ministries provide for this \${s6\_imp\_rep} of this facility?

37gii. What is the total estimated cost of land provided by government ministries for the \${s6\_imp\_rep} of this facility?

**County Government Land Contribution**

37hi. How much land did the county government provide for this \${s6\_imp\_rep} of this facility?

37hii. What is the total estimated cost of land provided by the county government for the \${s6\_imp\_rep} of this facility?

**Other Land Contribution**

37ii. How much land did other sources provide for this \${s6\_imp\_rep} of this facility?

37iii. What is the total estimated cost of land provided by other sources for the \${s6\_imp\_rep} of this

38. Was any volunteer / unpaid labor provided for this \${s6\_imp\_rep} of this facility?

39. Who provided volunteer / unpaid labor for this \${s6\_imp\_rep} of this facility?

**Labor Contribution List**

**Unpaid or Volunteer Labor by Village Members**

40d. How many total man-hours of unpaid labor did members of this village provide?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

40e. How many of these man-hours involved specialized/skilled labor?

40f. What is the estimated total cost of the unpaid labor provided by village members of

**Unpaid or Volunteer Labor by Individuals Outside of the Village**

40g. How many total man-hours of unpaid labor did individuals outside of this village \${vill\_name} provide?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 40h. How many of these man-hours involved specialized/skilled labor?

40i. What is the estimated total cost of the unpaid labor provided by individuals from outside the village \${vill\_name}?

#### Regular Maintenance

Read: Now I'd like to ask you about some regular upkeep that has been undertaken for this public

41. What are the regular upkeep activities that have been done at least once in the last 12 months at this facility \${ofnm}?

Please specify the other maintenance:

42. How much money in total was spent on regular upkeep activities in the last 12 months?

#### Upkeep frequency list

43ai. How frequently is slashing done at this water point?

43aii. How many times was slashing done in the last 12 months?

43bi. How frequently is drainage maintenance done at this water point?

43bii. How many times was drainage maintenance done in the last 12 months?

43ci. How frequently is plastering done at this water point?

43cii. How many times was plastering done in the last 12 months?

43di. How frequently is greasing / oiling done at this water point?

43dii. How many times was greasing/oiling done at this water point in the last 12 months?

43ei. How frequently is chlorinating done at this water point?

43eii. How many times was chlorinating done at this water point in the last 12 months?

43fi. How frequently is dredging done at this water point?

43fii. How many times was dredging done at this water point in the last 12 months?

43gi. How frequently is cleaning done at this water point?

43gii. How many times was cleaning done at the water point in the last 12 months?

43hi. How frequently is mopping done at this water point?

43hii. How many times was mopping done at this water point in the last 12 months?

43ii. How frequently is murraming done at this water point?

43iii. How many times was murraming done at this water point in the last 12 months?

43ji. How frequently is grading done at this water point?

43jii. How many times was grading done at this water point in the last 12 months?

43ki. How frequently is painting/ repainting done at this water point?

43kii. How many times was painting/ repainting done at this water point in the last 12 months?

43li. How frequently is the bucket or rope replaced or patched at this water point?

43lii. How many times was the bucket or rope replaced or patched at this water point in the last 12

43mi. How frequently is the other upkeep done at this water point?

43mii. How many times was other upkeep done at this water point in the last 12 months?

44. Who are the people responsible for doing this kind of maintenance at this public facility?

Please specify other:

45a. How many people have been employed at this public facility to do the regular maintenance

45b. How much was paid on salaries/ wages in the last one month?

Workers from the community/ village

46a. How many households from this village have worked at this public facility in the last month?

46b. How many man-hours did they work in total?

47. Do households from outside this village use this public facility?

48a. How many households from outside this village that use this public facility worked on maintenance in the last month?

48b. How many man-hours in total did households from outside this village that use this public facility work on maintenance of this facility in the last month?

49. Have there been groups from within this village that worked on this public facility in the last one

50a. What is the name of this group from within the village?

50b. How many members of this group worked on this public facility on maintenance in the last

50c. How many man-hours in total did they work in the last month?

Section 6 FO comments:

#### SECTION 7A: Harambees and Collections

1. Have any harambees for public facilities (water points, schools, health clinics/dispensaries, meeting halls, etc) been held in this village \${vill\_name} since August 2014?

2. How many harambees for public facilities (water points, schools, health clinics/dispensaries, meeting halls, etc) have been held in this village since August 2014?

How many harambees have been held in your village since August 2014?

3. In what year was this harambee held?

4. How much money was raised in this harambee?

5. What was the purpose of the fundraising in this harambee?

5a. Please specify other project:

#### SECTION 7B: Tax collections

1. Did you have any targets or collections (i.e. taxes) for village members for public facilities for public facilities (water points, schools, health clinics/dispensaries, meeting halls, etc) in the last 12

2. How many targets or collections did you have in this village in the last 12 months?

Tax collected

Now I'd like to talk about the (next) target or collection.

3. Which type of tax is this (i.e. health clinic, cattle tax, etc)?

4. Was there a specific amount expected to be collected per household, adult, males, etc?

4a. Amount of tax per unit:

5. How frequently is this type of tax collected?

5a. How many times in the last 12 months has this tax been collected?

6. Was this collected per (household, adult males, etc)

7a. What was the number of units collected?

7b. What was the total amount collected?

7c. What was the total amount that should have been collected, if all units paid in full?

## Section 7 FO comments:

### SECTION 8A: Major events

#### Crop destruction

1. Has your village \${vill\_name} experienced any crop destruction from pests/animals in the following 2010?
- 2011?
- 2012?
- 2013?
- 2014?
- 2015?
- 2016?

2a. Please briefly describe the crop destruction from pests/animals in 2010:

2b. Please briefly describe the crop destruction from pests/animals in 2011:

2c .Please briefly describe the crop destruction from pests/animals in 2012:

2d. Please briefly describe the crop destruction from pests/animals in 2013:

2e. Please briefly describe the crop destruction from pests/animals in 2014:

2f. Please briefly describe the crop destruction from pests/animals in 2015:

2g. Please briefly describe the crop destruction from pests/animals in 2016:

#### Animal / Plant Disease Epidemic

3. Has your village \${vill\_name} experienced any plant / animal disease epidemic in the following 2010?
- 2011?
- 2012?
- 2013?
- 2014?
- 2015?
- 2016?

4a. Please briefly describe the plant / animal disease epidemic in 2010:

4b. Please briefly describe the plant / animal disease epidemic in 2011:

4c. Please briefly describe the plant / animal disease epidemic in 2012:

4d. Please briefly describe the plant / animal disease epidemic in 2013:

4e. Please briefly describe the plant / animal disease epidemic in 2014:

4f. Please briefly describe the plant / animal disease epidemic in 2015:

4g. Please briefly describe the plant / animal disease epidemic in 2016:

#### Too much rain

5. Has your village \${vill\_name} experienced too much rain affecting crops during any of the 2010?
- 2011?
- 2012?
- 2013?
- 2014?

2015?

2016?

6a. Please briefly describe the too much rain affecting crops in 2010:

6b. Please briefly describe the too much rain affecting crops in 2011:

6c. Please briefly describe the too much rain affecting crops in 2012:

6d. Please briefly describe the too much rain affecting crops in 2013:

6e. Please briefly describe the too much rain affecting crops in 2014:

6f. Please briefly describe the too much rain affecting crops in 2015:

6g. Please briefly describe the too much rain affecting crops in 2016:

#### Too little rain

7. Has your village \${vill\_name} experienced too little rain affecting crops during any of the following 2010?

2011?

2012?

2013?

2014?

2015?

2016?

7a. Please briefly describe the too little rain affecting crops in 2010:

7b. Please briefly describe the too little rain affecting crops in 2011:

7c. Please briefly describe the too little rain affecting crops in 2012:

7d. Please briefly describe the too little rain affecting crops in 2013:

7e. Please briefly describe the too little rain affecting crops in 2014:

7f. Please briefly describe the too little rain affecting crops in 2015:

7g. Please briefly describe the too little rain affecting crops in 2016:

### SECTION 8B: Agricultural Wages

Now, I'd like to ask you about the normal daily wage rate for certain types of agricultural work in your village \${vill\_name}.

1. Clearing

Daily wage rate (KSH)

Please enter -99 if the FR doesn't know

2. Ploughing

Daily wage rate (KSH)

Please enter -99 if the FR doesn't know

3. Sowing

Daily wage rate (KSH)

Please enter -99 if the FR doesn't know

4. Weeding

Daily wage rate (KSH)

Please enter -99 if the FR doesn't know

**5. Harvesting maize**

Daily wage rate (KSH)

Please enter -99 if the FR doesn't know

Section 8 FO comments

**SECTION 9: DISPUTES**

FO Read: We understand that resolving disputes is an important part of your job. We'd now like to talk about disputes that you have resolved in the last 12 months.

1. Did you resolve any disputes in the last 12 months?
2. How many disputes in total have you been involved with resolving in the last 12 months?
- 3a. How many of these disputes were between members of your village \${vill\_name}? By this we mean that both parties in the dispute are members of \${vill\_name}.
- 3b. How many of these disputes between village members were marital disputes?
- 3c. How many of these disputes between village members were civil disputes?
4. How many disputes have you resolved in the last 12 months involving one member of your village and someone outside of your village \${vill\_name}?

READ: Now I'd like to ask you some more detailed questions about the most recent disputes that you have helped resolve where at least one of the parties was a member of your village.

**Dispute Details**

Now let's talk about the (next) dispute.

5. What type of dispute was this?

Please specify other:

**Dispute Date**

When did you settle this dispute?

- 6a. Year:

- 6b. Month:

7. Were both parties in this dispute members of your village?

- 7a. From which village was the other party?

8. Was there any compensation/restitution paid as part of this dispute?

- 8a. How much compensation/restitution was paid? KSH

9. Was there any punishment or fine for the party found to be in the wrong?

- 9a. Please briefly describe the punishment/fine:

10. Was there any appreciation paid by either party involved in the dispute?

- 10a. How much was paid in total (ie from both parties) in appreciation from resolving the dispute?

Section 9 FO Comments:

**Section 10: Conclusion and GPS**

Read: Thank you for your time.

Before leaving the respondent, be sure to give them the GE Effects Phone number card, and ask them to flash the number listed on the card if their contact information changes.

Be sure to fill in the remaining information. Do not read the questions allowed. Simply record your own impressions.

- A. Did the respondent terminate the survey early?

B. Why did the respondent terminate the survey early?

1. Time end interview

2. In what language was the survey administered?

2a. How was the respondent's skill in speaking and understanding the survey language?

3. Were any people present during all or part of this interview (other than the respondent and IPA staff)? (1 = Yes, 2 = No)

3a. What is their relationship to the respondent?

4. Are you very confident, somewhat confident or not very confident in the overall quality and truthfulness of this respondent's responses?

4a. If SOMEWHAT or NOT CONFIDENT: Why?

5. Where is the interview being performed?

5a. Please Specify the other place:

6. Are you taking GPS coordinates within SurveyCTO or from another application?

6a. Please record a GPS reading now.

Ensure that you are at the doorstep to the house or office for best accuracy. Please try to obtain an accuracy of 6 meters.

7a. Latitude:

7b. Longitude:

7c. Elevation:

7d. Accuracy:

Please note any other comments on the survey at this point in time.

You have reached the end of the survey. Thank you.

## GE AC Survey: Round 2

### SECTION 1: Survey Information and Informed consent

Greetings! You are about to begin the "Assistant Chief survey". Please fill in the following questions before engaging the respondent.

0a. Please select your name:

0b. Please enter your IPA ID number:

1a. Enter subcounty name:

1b. Enter location name:

1c. Enter sublocation name:

1e. Did we survey this sublocation in round 1?

Great! We are set to go. FO: begin the interview. Good luck!

1i. Survey Start Time

### INFORMED CONSENT:

READ: Hello, I am \${yrname\_txt} from Innovations for Poverty Action, in Siaya town. IPA is an organization that works on research projects in Kenya and around the world. IPA is collaborating with researchers at the University of California, Berkeley and University of California, San Diego in the USA on a research study, which I invite you to take part in. You are being invited to participate in this study because we are interested in the economic activities of this community and being a leader of this community you were selected to participate.

The purpose of this study is to better understand the current economic conditions and economic livelihoods of communities and institutions in Kenya.

If you agree to this study, I would like to ask you some questions about your sublocation and many different aspects of life here. We would like to ask you detailed questions about your community leadership as well as community development projects. Study participation will take approximately one hour. We will also follow up with you in the future to ask similar questions in order to see how economic conditions and your community have changed.

There is no direct benefit to you anticipated from participating in this study. However, it is hoped that the information gained from the study will help researchers to better understand the work and livelihoods of communities in Kenya, and how these may change over time.

We anticipate minimal risks associated with participating in this survey. If any questions make you feel uncomfortable, you are free to decline to answer any question you do not wish to or to end the interview at any time.

As with all research, there is a chance that confidentiality could be compromised; however, we are taking precautions to minimize this risk. All answers will be kept as confidential as possible and to the degree permitted by the technology used. Any information that identifies you will be separated from your other answers, so that only our researchers will be able to track your answers back to you. We will never identify you in any report or publication about the research.

When the research is completed, we may retain the study data for use in future research by ourselves or others. The same measures described above will be taken to protect confidentiality of this study data.

Furthermore, if you do decide to participate, we would like to offer you a small gift at the end of the survey for your time. This is solely a research project and is independent of any other governments or NGOs working in this area. Do you have time to talk with me for one hour? We would appreciate your assistance in filling out the questionnaire, but participation is voluntary and there is no need to answer any question you do not want to answer. If you wish to end the interview at any time, you may do so. If you have any questions, please contact Meshack Odhiambo at 0705301891 or the IPA Office in Siaya town. If you have any questions or concerns about your rights and treatment as a research subject, you may contact The Secretary, Maseno University Ethics Review Committee, Private Bag, Maseno, +254-57 351 622 EXT. 3050, 0722203411, or muerc-secretariate@maseno.ac.ke; or UC Berkeley's Committee for the Protection of Human Subjects, at +1-510-642-7461 or subjects@berkeley.edu.

**2. Do you consent to take part in this research?**

Informed Consent obtained:

2a. Please select your name to indicate FR's acceptance:

2b. Please enter your IPA ID to indicate FR's acceptance:

Informed Consent NOT obtained: Please go to the conclusion

**SECTION 2: Background information**

**1. What is your name?**

1a. Respondent first name:

1b. Respondent second/ middle name:

1c. Respondents last name:

1d. What is your common name/nickname?

Respondent names - new

1e. What subtribe do you belong to?

1f. What is the name of your clan?

Do not ask the following question. Simply record your impression.

**2. What is the respondent's gender?**

**3. What is your date of birth?**

What day of the month were you born?

What month were you born?

What year were you born?

3a. Is this an estimated year of birth?

**4. What is your age now in years?**

From reported year of birth \${q3\_yob}, FR indicates s/he is \${agecalc} or \${agecalc1} years old. Reported age is \${q3a\_age}. If age and date of birth information do not make sense together, please probe further with FR until they agree.

5. Is there a phone number where I can reach you, even if you do not have your own phone?

If VE has phone:

6a. Please give me that number.

6b. Whose phone is this?

6c. What is this person's relationship to you?

FO read: We understand that the boundaries and names of some administrative areas have changed over time. The following questions ask about where you are from. If you are familiar with the names from the 2009 population census, please use those names.

7. What is your home village / neighborhood?

8. Is your current village of residence the same as your home village?

9. What is your village / neighborhood of residence?

FO Comments on Section 2:

### SECTION 3: Leadership/ Personal detail

1a. In what year did you begin serving in your position as Assistant Chief in this sublocation?

1b. What are the total number of years you have held the position of assistant chief in this sublocation?

If 1a and 1b do not agree:

Based on the year the FR began serving as AC, in the absence of a tenure break, the FR would have served for \${servechk1} or \${servechk2} years as AC. The FR answered \${q1b\_pyr}.

READ:

1c. Have there been any breaks in your tenure as assistant chief of this sublocation?

FO: If NO, please go back and ensure that the year the FR started serving as an AC and the total number of years holding the position of AC are correct.

2. Did you ever serve as a village elder prior to your current position as an assistant chief?

2a. For how many years did you previously hold the position of village elder prior to your current position as an assistant chief of \${subloc\_name}?

3. Did you ever serve as a miji kumi (leader of a village sub unit) prior to your current position of Assistant chief in this community?

3a. For how many years did you previously hold this position of mijikumi prior to your current position of assistant chief?

4. Have you ever been employed by the government, any organization or company? In other words, have you held a formal sector job?

5. Did you participate in the previous (7-4-2-3) or the current (8-4-4) school system?

6. What is the highest level of education you completed?

FO comments on Section 3:

#### **SECTION 4: Community Development Projects - Health Clinic/ dispensaries**

READ: We would now like to discuss public health facilities (clinics/ dispensaries) located in this sublocation. Please include clinics/ dispensaries meeting these criteria that are currently operational, as well as any clinics/ dispensaries meeting these criteria that have been operational at some point since 2010.

1. How many Health Clinic/ dispensaries are located within \${subloc\_name}?

(Do not read): You have entered \${q0\_nhd} as the current number of health facilities(clinics/ dispensaries) in the sublocation. In the last round, we recorded \${cl\_nhd} health facilities(clinics/ dispensaries) in this sublocation. Please keep this in mind in the upcoming questions.

READ: When we last visited this sublocation, we were informed of \${cl\_nhd} health facilities(clinics/ dispensaries) within \${subloc\_name}:

\${hd\_lst}

1a. Are all of these health facilities(clinics/ dispensaries) located within the boundaries of \${subloc\_name}?

1b. Which of these health facilities(clinics/ dispensaries) are not located within the boundaries of \${subloc\_name}?

1c. Are there any other health facilities (clinics/ dispensaries) located within the boundaries of sublocation \${subloc\_name}?

1d. How many are they? - total of missed and new health facilities(clinics/ dispensaries)

The total number of health facilities(clinics/ dispensaries) the FR gave in question 0 is \${q0\_nhd}, while the total number from round 1, misclassified health facilities(clinics/ dispensaries) and new/missed health facilities(clinics/ dispensaries) is \${hdtot}. Please go back and correct this discrepancy.

FO: Use the following repeat group to enter the names of the new or missed health facilities(clinics/ dispensaries).

Health facilities names: new and missed

1e. What is the name of this health facility (clinics/ dispensaries)?

#### **Community Development Projects- Health Clinic/ dispensaries**

READ: We would now like to discuss public health facilities(clinics/ dispensaries) located in this sublocation. Please include clinics/ dispensaries meeting these criteria that are currently operational, as well as any clinics/ dispensaries meeting these criteria that have been operational at some point since 2010.

Confirming Health Clinics / Dispensaries

2. Are the following health facilities clinic/ dispensaries within your sublocation?

FO: The number of Health facilities (clinics/ dispensaries) selected does not equal the total number of Health facilities (clinics/ dispensaries) in the sublocation from above. Kindly confirm if you have selected all health clinics located in the sublocation: \${subloc\_name}, or go back and correct previous answers.

**Health facilities (clinics/ dispensaries) Repeat Group: The following questions are asked for each water point located within the village.**

Let's discuss about the \${hdnm} health facility

3. What type of health facility is this?

FO: The type of health facility (\${hdisp}) selected is different from the type selected from round 1 (\${htyp}). Kindly confirm from the VE the type of this health facility located in the sublocation: \${subloc\_name}, or go back and correct previous answer.

**Part A: Basic Health facility Information**

3a. In what village is this health facility \${hdnm} located?

Please specify village name:

In the following questions, when we refer to your sublocation please only include amounts contributed by members of your sublocation \${subloc\_name}.

4a. Year Health facility physically initiated

4aa. Was this health facility physically initiated:

4b. Month Health facility physically initiated

5a. Year first operational

5b. Month first operational

6. Is this health facility still operational?

If no longer operational:

6a. In which year did this health facility cease to be operational?

6b. In which month did this health facility cease to be operational?

7. How would you rate the current overall quality of \${hdnm}?

**Part B: Initial Construction:**

**If health clinic not collected in round 1 (either new or missing) and began operating since 2010, collect the following information:**

Please think back on the characteristics of this health facility \${hdnm} when it first became operational.

8. What were the characteristics of the health facility at time when first operational?

**Clinic/ Dispensary Characteristics**

8i. How many nurses at time when first operational:

8ii. How many Clinical Officers at time when first operational:

8iii. How many Doctors at time when first operational:

8iv. How many VCT units at time when first operational:

8v. How many Ambulance vehicles at time when first operational:

8vi. How many Pharmacy at time when first operational:

8vii. How many rooms were connected to power grid at time when first operational:

8viii. How many wards (male, female) at time when first operational:

8ix. How many Maternity units at time when first operational:  
8x. How many Theatre rooms at time when first operational:  
8xi. How many patient beds at time when first operational:  
8xii. How many scanning machine(s) at time when first operational:  
8xiii. How many ICU unit rooms at time when first operational:  
8xiv. How many Xray machines at time when first operational::  
8xv. How many toilets/ latrines at time when first operational::

9. How much in total was spent on the initial construction of this health facility \${hdnm}?

9a. Who started / initiated the initial construction of this health facility \${hdnm}?

9b. Please specify the other initiator(s):

10. Who financed or contributed money to the initial construction of this health facility \${hdnm}?

10a. Please specify other source(s):

How much did each of the following sources provide in money / cash to the initial construction of health facility \${hdnm}?

11b. Sublocation members (KSH)?

11c. Individuals outside of \${subloc\_name} (KSH):

11d. CDF (KSH):

11e. MP or MCA (or aspirant) (KSH):

11f. NGO (KSH):

11g. Government Ministry (KSH):

11h. County Government (KSH):

11i. Total amount, other sources (KSH):

#### In-Kind materials contribution

12. Were there any materials that were contributed in-kind by any sources for the initial construction of this health facility \${hdnm}?

13. Who provided materials in-kind for the initial construction of \${hdnm}?

13a. Please specify other source(s):

#### Sublocation In-Kind Contribution

14bi. What materials did members of this sublocation provide for the initial construction of \${hdnm}?

14bii. What is the total estimated cost of materials provided by sublocation members?

#### Individuals Outside the sublocation In-Kind Contribution

14ci. What materials did individuals outside of \${subloc\_name} provide for the initial construction of \${hdnm}?

14cii. What is the total estimated cost of materials provided by individuals outside of \${subloc\_name} for the initial construction of \${hdnm}?

#### CDF In-Kind Contribution

14di. What materials did the CDF provide in-kind for the initial construction of \${hdnm}?

14dii. What is the total estimated cost of materials provided by the CDF for the initial construction of \${hdnm}?

**MP/MCA or Aspirant In-Kind Contribution**

14ei. What materials did MPs/MCAs and aspirants provide in-kind for the initial construction of \${hdnm}?

14eii. What is the total estimated cost of materials provided by MPs/MCAs and aspirants for the initial construction of \${hdnm}?

**NGO In-Kind Contribution**

14fi. What materials did NGOs provide in-kind for the initial construction of \${hdnm}?

14fii. What is the total estimated cost of materials provided by NGOs for the initial construction of \${hdnm}?

**Government Ministry In-Kind Contribution**

14gi. What materials did government ministries provide in-kind for the initial construction of \${hdnm}?

14gii. What is the total estimated cost of materials provided by government ministries for the initial construction of \${hdnm}?

**County Government In-Kind Contribution**

14hi. What materials did the county government provide in-kind for the initial construction of \${hdnm}?

14hii. What is the total estimated cost of materials provided by the county government for the initial construction of \${hdnm}?

**Other In-Kind Contribution**

14ii. What materials did other sources provide for the initial construction of \${hdnm}?

14iii. What is the total estimated cost of materials provided by other sources for the initial construction of \${hdnm}?

**Land Contributions**

15. Was any land provided for the initial construction of this health facility \${hdnm}?

16. Who provided land for the initial construction of this health facility?

16a. Please specify other source(s):

**Community Land Contribution**

17ai. How much community land was provided for the initial construction of \${hdnm}? (Acres)

17aii. What is the total estimated cost of community land provided for the initial construction of \${hdnm}?

**Sublocation Land Contribution**

17bi. How much land did members of this sublocation provide for the initial construction of \${hdnm}? (Acres)

17bii. What is the total estimated cost of land provided by sublocation members?

**Individuals Outside the sublocation Land Contribution**

17ci. How much land did individuals outside of \${subloc\_name} provide for the initial construction of \${hdnm}?

17cii. What is the total estimated cost of land provided by individuals outside of \${subloc\_name} for the initial construction of \${hdnm}?

#### CDF Land Contribution

17di. How much land did the CDF provide for the initial construction of \${hdnm}?

17dii. What is the total estimated cost of land provided the CDF for the initial construction of \${hdnm}?

#### MP/MCA or Aspirant Land Contribution

17ei. How much land did MPs/MCAs and aspirants provide for the initial construction of \${hdnm}?

17eii. What is the total estimated cost of land provided by MPs/MCAs and aspirants for the initial construction of \${hdnm}?

#### NGO Land Contribution

17fi. How much land did NGOs provide for the initial construction of \${hdnm}?

17fii. What is the total estimated cost of land provided by NGOs for the initial construction of \${hdnm}?

#### Government Ministry Land Contribution

17gi. How much land did government ministries provide for the initial construction of \${hdnm}?

17gii. What is the total estimated cost of land provided by government ministries for the initial construction of \${hdnm}?

#### County Government Land Contribution

17hi. How much land did the county government provide for the initial construction of \${hdnm}?

17hii. What is the total estimated cost of land provided by the county government for the initial construction of \${hdnm}?

#### Other Land Contribution

17ii. How much land did other sources provide for the initial construction of \${hdnm}?

17iii. What is the total estimated cost of land provided by other sources for the initial construction of \${hdnm}?

#### Labor contribution

18. Was any volunteer / unpaid labor provided for the initial construction of \${hdnm}?

18a. Who provided volunteer / unpaid labor for the initial construction of \${hdnm}?

#### ***Unpaid or Volunteer Labor by sublocation members***

19d. How many total man-hours of unpaid labor did members of this sublocation provide for the initial construction of \${hdnm}?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19e. How many of these man-hours involved specialized/skilled labor?

19f. What is the estimated total cost of the unpaid labor provided by sublocation members of \${subloc\_name}?

### ***Unpaid or Volunteer Labor by Individuals Outside of the sublocation***

19g. How many total man-hours of unpaid labor did individuals outside of this sublocation provide to the initial construction of \${hdnm}?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19h. How many of these man-hours involved specialized/skilled labor?

19i. What is the estimated total cost of the unpaid labor provided by individuals from outside the sublocation \${subloc\_name}?

### ***End Initial Construction Section***

### ***Part C: Health facility renovations/improvements (asked of all facilities)***

Read: Now I'd like to ask you some questions about improvements, renovations or repairs that have been undertaken at this health facility \${hdnm}.

20. Have there been any improvements, renovations or repairs done on this health facility \${hdnm} since August 2014?

21. How many times have this facility \${hdnm} been improved, renovated or repaired since August 2014?

### ***Health facility renovations/improvements - repeat***

Now let's talk about the (next) improvement, renovation or repair at this health facility \${hdnm}.

22. Was this an improvement or a renovation/repair?

23a. Year health facility \${imp\_rep} initiated

23b. Month health facility \${imp\_rep} initiated

24a. Year health facility \${imp\_rep} first operational / completed

24b. Month health facility \${imp\_rep} first operational / completed

### ***Improvement/Repair Characteristics***

25a. What features of the health facility were modified as part of this \${imp\_rep}?

25b. What features of the health facility \${hdnm} were repaired/renovated?

25c. Please specify other \${imp\_rep}:

### ***Construction***

26a. How many rooms were constructed/repaired as part of this \${imp\_rep}?

Please briefly describe the repair/construction:

26ai. How many beds were added as part of this \${imp\_rep}?

### ***Staff Additions***

26b. What type of health staff were added as part of this improvement?

Please specify other health staff:

26bi. How many nurses were added as part of this \${imp\_rep} of this health facility?

26bii. How many Clinical Officers were added as part of this \${imp\_rep} of this health facility?

26biii. How many Doctors were added as part of this \${imp\_rep} of this health facility?

26biv. How many servants were added as part of this \${imp\_rep} of this health facility?

26bv. How many \${q15\_hstaffo} were added as part of this \${imp\_rep} of this health facility?

26c. Who is responsible for the salaries of these workers?

26ca. Please specify other source(s):

26d. How much was spent by the community on the salaries of these new hires in the last month they were working?

26e. How much was spent by other sources on the salaries of these new hires in the last month they were working?

26f. For how many months have these new hires been working? If no longer working, how many months in total did these individuals work?

#### Service & Equipment Additions/Repairs

27a. What services were added or repaired as part of this \${imp\_rep}?

27aa. Please specify other services:

27ai. How many VCT units were added/repaired as part of this \${imp\_rep} of this health facility:

27aii. How many laboratory units were added/repaired as part of this \${imp\_rep}?

27aiii. How many Pharmacy units were added/repaired as part of this \${imp\_rep} of this health facility:

27aiv. How many wards (male, female) were added/repaired as part of this \${imp\_rep} of this health facility?

27av. How many Maternity units were added/repaired as part of this \${imp\_rep} of this health facility?

27avi. How many Theatre rooms were added/repaired as part of this \${imp\_rep} of this health facility?

27avii. How many outpatient rooms were added/repaired as part of this \${imp\_rep}?

27aviii. How many \${q15\_hs servo} units were added/repaired as part of this \${imp\_rep}?

27b. What equipment was added or repaired as part of this \${imp\_rep}?

Please specify other equipment:

27bi. How many refrigerators were added/repaired as part of this \${imp\_rep}?

27bi. How many microscope machines were added/repaired as part of this \${imp\_rep}?

27biii. How many Xray machines were added/repaired as part of this \${imp\_rep}?

27biv. How many \${q15\_hequip} were added/repaired as part of this \${imp\_rep}?

27c. How many Ambulances were added/repaired as part of this \${imp\_rep} of this health facility?

27di. How many meters of fencing were added/repaired as part of this \${imp\_rep}?

27dii. How many gates were erected/repaired as part of this \${imp\_rep}?

27e. How many rooms were connected to power grid as part of the \${imp\_rep} of this health facility?

27f. How many toilets/ latrines were added/repaired as part of this \${imp\_rep}?

#### Contributors - Improvements

28. Who started / initiated the \${imp\_rep} of this health facility \${hdnm}?

28a. Please specify other initiator(s):

29. How much money in total was spent on this \${imp\_rep} of this health facility \${hdnm}?

30. Who financed/ contributed money to the \${imp\_rep} of this health facility \${hdnm}?

30b. Please specify other financer(s) and the amount contributed:

#### Cash Contributions

31. How much was contributed to the \${imp\_rep} of this health facility?

31b. How much did the sublocation members contribute for the improvement of this health facility?

31c. How much did the individuals outside the sublocation contribute for the improvement of this health facility?

31d. How much did the CDF contribute for the improvement of this health facility?

31e. How much did the Local MP/MCA (or aspirant) contribute for the improvement of this health facility?

31f. How much did the NGO contribute for the improvement of this health facility?

31g. How much did the government ministry contribute for the improvement of this health facility?

31h. How much did the county government contribute for the improvement of this health facility?

31i. Total other amount contributed for the improvement of this health facility

32. Were there any materials that were contributed in-kind to the \${imp\_rep} of this health facility?

33. Who contributed in-kind materials to the \${imp\_rep} of this health facility?

#### In-Kind materials contribution

Sublocation In-Kind Contribution

34bi. What materials were contributed in-kind from sublocation members for this \${imp\_rep}?

34bii. What was the total estimated cost of the materials contributed by sublocation members for this \${imp\_rep}?

#### Individuals Outside the Sublocation In-Kind Contribution

34ci. What materials were contributed in-kind from individuals outside of the sublocation for this \${imp\_rep}?

34cii. What was the total estimated cost of the materials contributed by individuals outside of the sublocation for this \${imp\_rep}?

#### CDF In-Kind Contribution

34di. What materials were contributed in-kind from the Constituency Development Fund (CDF) for this \${imp\_rep}?

34dii. What was the total estimated cost of the materials contributed by the Constituency Development Fund (CDF) for this \${imp\_rep}?

**MP/MCA or Aspirant In-Kind Contribution**

34ei. What materials were contributed in-kind from the Local MP/MCA (or aspirant) for this \${imp\_rep}?

34eii. What was the total estimated cost of the materials contributed by the Local MP/MCA (or aspirant) for this \${imp\_rep}?

**NGO In-Kind Contribution**

34fi. What materials were contributed in-kind from NGOs for this \${imp\_rep}?

34fii. What was the total estimated cost of the materials contributed by NGOs for this \${imp\_rep}?

**Government Ministry In-Kind Contribution**

34gi. What materials were contributed in-kind from the government ministry for this \${imp\_rep}?

34gii. What was the total estimated cost of the materials contributed by the government ministry for this \${imp\_rep}?

**County Government In-Kind Contribution**

34hi. What materials were contributed in-kind from the county government for this \${imp\_rep}?

34hii. What was the total estimated cost of the materials contributed by the county government for this \${imp\_rep}?

**Other Sources In-Kind Contribution**

34ii. What materials were contributed by other sources for this \${imp\_rep}?

34iii. What was the total estimated cost of materials contributed by other sources for this \${imp\_rep}?

35. Was any land contributed for the \${imp\_rep} of this facility?

36. Who contributed land for this \${imp\_rep}?

**Land contributions**

**Community Land Contribution**

37ai. How much community land was provided for this \${imp\_rep} of this health facility \${hdnm}? (Acres)

37aii. What is the total estimated value (KSH) of community land provided for this \${imp\_rep} of this health facility \${hdnm}?

**Sublocation Land Contribution**

37bi. How much land was provided by sublocation members for the \${imp\_rep} of this health facility \${hdnm}? Amount (acres)

37bii. What is the total estimated value (KSH) of land provided by sublocation members for the \${imp\_rep} of this health facility \${hdnm}?

**Individuals Outside the Sublocation Land Contribution**

37ci. How much land was provided by individuals outside the sublocation for the \${imp\_rep} of this health facility \${hdnm}? (Acres)

37cii. What is the total estimated value (KSH) of land contributed by individuals outside the sublocation for the \${imp\_rep} of this health facility \${hdnm}? (KSH)

**CDF Land Contribution**

37di. How much land was provided by the CDF for this \${imp\_rep} of this health facility \${hdnm}?

37dii. What is the total estimated value (KSH) of land provided by the CDF for this \${imp\_rep} of this health facility \${hdnm}?

**MP/MCA or Aspirant Land Contribution**

37ei. Amount (acres) contributed by local MP/MCA (or aspirant) for the \${imp\_rep} of this health facility?

37eii. Estimated value (KSH) of land contributed by local MP/MCA (or aspirant) for the \${imp\_rep} of this health facility?

**NGO Land Contribution**

37fi. Amount (acres) contributed by NGOs for the improvement of this health facility?

37fii. Estimated value (KSH) of land contributed by NGOs for the \${imp\_rep} of this health facility?

**Government Ministry Land Contribution**

37gi. Amount (acres) contributed by government ministry for the \${imp\_rep} of this health facility?

37gii. Estimated value (KSH) of land contributed by government ministry for the \${imp\_rep} of this health facility?

**County Government Land Contribution**

37hi. Amount (acres) contributed by county government for the \${imp\_rep} of this health facility?

37hii. Estimated value (KSH) of land contributed by county government for the \${imp\_rep} of this health facility?

**Other Land Contribution**

37ii. Amount (acres) contributed by other sources for the \${imp\_rep} of this health facility?

37iii. Estimated value (KSH) of land contributed by other sources for the \${imp\_rep} of this health facility?

**Land contributions**

38. Was there any volunteer/unpaid labor that was contributed to this \${imp\_rep} of the health facility \${hdnm}?

39. Who contributed labor to this \${imp\_rep} of health facility \${hdnm}?

**Sublocation Labor contribution**

40d. How many total man-hours of unpaid labor did sublocation members provide for this \${imp\_rep} of this health facility?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

40e. How many of these man-hours of were skilled/ specialized labor?

40f. What is the estimated total cost of the unpaid labor provided by sublocation members of \${subloc\_name}?

#### Outside Sublocation Labor Contribution

40g. How many man-hours in total did individuals outside the sublocation contribute for the \${imp\_rep} of this health facility?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

40h. How many of these man-hours were skilled/ specialized labor?

40i. What is the estimated total cost of the unpaid labor provided by individuals from outside the sublocation \${subloc\_name}?

#### Regular Upkeep

Read: Now I'd like to ask you about some regular upkeep that have been undertaken at this health facility.

41. What are the regular upkeep activities for this health facility that have been undertaken at least once in the last 12 months?

41a. Please specify the other upkeep:

42. How much money in total was spent on regular upkeep activities in the last 12 months?

#### Regular upkeep activities

43ai. How frequently is slashing done at this water point?

43aii. How many times was slashing done in the last 12 months?

43bi. How frequently is drainage maintenance done at this water point?

43bii. How many times was drainage maintenance done in the last 12 months?

43ci. How frequently is plastering done at this water point?

43cii. How many times was plastering done in the last 12 months?

43di. How frequently is greasing / oiling done at this water point?

43dii. How many times was greasing/oiling done at this water point in the last 12 months?

43ei. How frequently is chlorinating done at this water point?

43eii. How many times was chlorinating done at this water point in the last 12 months?

43fi. How frequently is dredging done at this water point?

43fii. How many times was dredging done at this water point in the last 12 months?

43gi. How frequently is cleaning done at this water point?

43gii. How many times was cleaning done at this water point in the last 12 months?

43hi. How frequently is mopping done at this water point?

43hii. How many times was mopping done at this water point in the last 12 months?

43ii. How frequently is murraming done at this water point?

43iii. How many times was murraming done at this water point in the last 12 months?

43ji. How frequently is grading done at this water point?

43jii. How many times was grading done at this water point in the last 12 months?

43ki. How frequently is painting/ repainting done at this water point?

43kii. How many times was painting/ repainting done at this water point in the last 12 months?

43li. How frequently is the bucket or rope replaced or patched at this water point?

43lii. How many times was the bucket or rope replaced or patched at this water point in the last 12 months?

43mi. How frequently is the other upkeep done at this water point?

43mii. How many times was other upkeep done at this water point in the last 12 months?

### **Maintenance**

44. Who are the people responsible for doing this kind of upkeep at this health facility?

44a. Please specify other:

### **Maintenance - employment**

45a. How many people have been employed at this health facility to do the regular maintenance activities?

**45b.** How much was paid on salaries/ wages in the last one month?

45c. Who is responsible for the salaries of these workers?

### **Workers from the sublocation**

46a. How many households from this sublocation have worked at this health facility in the last month?

46b. How many man-hours did they work in total?

47. Do households from outside this sublocation visit this health facility?

### **Workers from outside the sublocation**

48a. How many households from outside this sublocation that visit this health facility worked on maintenance in the last month?

48n. How many man-hours in total did households from outside this sublocation that visit this health facility work on maintenance of this health facility in the last month?

49. Have there been groups from within this sublocation that worked on this health facility in the last one month?

### **Groups from the sublocation**

50a. What is the name of this group from within the sublocation?

50b. How many members of this group worked on this health facility on maintenance in the last month?

50c. How many man-hours in total did they work in the last month?

51. Have there been a community health worker from within this sublocation that worked on this health facility in the last one month?

### **Maintenance - Health workers**

52a. How many health workers have worked in this health facility on maintenance in the last month?

52b. How many man-hours in total did they work in the last month?

FO comments on Section 4:

## SECTION 5: Community Development Projects - Other facilities

READ: We would now like to discuss other public facilities located in this sublocation.

Please include other facilities meeting these criteria that are currently operational, as well as any meeting these criteria that have been operational at some point since 2010.

### Other Public Facilities

Does your sublocation have any of the following?

1ai. Market Center

1aii. Public toilets (outside of a market center)

1aiii. Playing grounds

1aiv. Cattle dip

1av. Library / Resource Center

1avi. Any other public facilities?

Please specify other public facilities:

1bi. How many market centers are in your sublocation \${subloc\_name}?

1bii. How many public toilets outside of market centers are in your sublocation \${subloc\_name}?

1biii. How many playing grounds (outside of schools) are in your sublocation \${subloc\_name}?

1biv. How many cattle dips are in your sublocation \${subloc\_name}?

1bv. How many library or resources centers are in your sublocation \${subloc\_name}?

1bvi. How many other public facilities are in your sublocation \${subloc\_name}?

Do not read: There are a total of \${othtot1} other facilities based on the questions above.

Please ensure this is correct and these are all captured in the following questions.

(Do not read): In the last round, we recorded \${cl\_noth} other facilities in this sublocation. Please keep this in mind in the upcoming questions.

READ: When we last visited this sublocation, we were informed of \${cl\_noth} other facilities within \${subloc\_name}:

\${oth\_lst}

1bb. Are all of these facilities located within the boundaries of \${subloc\_name}?

1bc. Which of these other facilities are not located within the boundaries of \${subloc\_name}?

1c. Are there any other other facilities located within the boundaries of sublocation \${subloc\_name}?

1d. How many are they? - total of missed and new public facilities

The total number of other facilities the FR gave in question 0 is \${othtot1}, while the total number from round 1, misclassified other facilitiesand new/missed other facilities is \${othtot}. Please go back and correct this discrepancy.

Please give me the names of any new or missed public facilities.

FO: Use the following repeat group to enter the names of the new or missed public facilities.

#### **Other Public Facilities: new and missed**

1e. What is the name of this public facilities?

#### **Other Public Facilities: new and missed**

READ: Now we are going to talk about any other public facilities in your sublocation. By public facilities, we mean - a public facility that all households have access to and at least 10 households in this sublocation contribute to and utilize, and is located within the sublocation boundaries. Please include completed and ongoing projects, as well as any that are no longer operational but were operational at some point since 2010.

2. Are the following public facilities within your sublocation?

FO: The number of public facilities selected does not equal the total number of public facilities in the sublocation from above. Kindly confirm if you have selected all the other public facilities located in the sublocation: \${subloc\_name}, or go back and correct previous answers.

#### **Other Public Facilities - repeat**

3. What type of public facility is \${othnm}?

Please specify other type:

FO: The type of public facility (\${odisp}) selected is different from the type selected from round 1 (\${otyp}). Kindly confirm from the AC the type of this facility located in the sublocation: \${subloc\_name}, or go back and correct previous answer.

#### **Part A: Basic other public facility Information**

3a. What is the name of the village of this public facility location

FO: Please confirm with the AC that this public facility is located within the boundaries of \${subloc\_name} and within \${vnamo}.

#### **Part A: Basic other public facility Information**

In the following questions, when we refer to your sublocation please only include amounts contributed by members of your sublocation.

3b. Where are these public toilets located?

#### **Date other public facility**

4a. In which year was this facility \${odisp} ... \${othnm} physically initiated?

4aa. Was this facility physically initiated:

4b. In which month of the year was this facility \${odisp} ... \${othnm} physically initiated?

5a. In which year did this facility \${odisp} ... \${othnm} first became operational?

5b. In which month of the year did this facility \${odisp} ... \${othnm} first became operational?

6. Is this facility \${odisp} ... \${othnm} still operational?

**If no longer operational:**

6a. In which year did this facility \${odisp} ... \${othnm} cease to be operational?

6b. In which month of the year did this facility \${odisp} ... \${othnm} cease to be operational?

7. How would you rate the current overall quality of \${odisp} ... \${othnm}?

**Time when first operational - Other Projects**

Please think back on the characteristics of this public facility \${odisp} ... \${othnm} when it first became operational.

**Market Center Characteristics**

8a. What were the characteristics of this market center \${othnm} when it first became operational?

8ai. How many stalls did this market center \${othnm} have when first operational?

8aii. How many shops did this market center \${othnm} have when first operational?

8aiii. What other features did this market center \${othnm} have when first operational?

8aiv. How many solar/ flood lights did this market center \${othnm} have when first operational?

8v. How many Public toilets/ Bath rooms/ Urinal units did this market center \${othnm} have when first operational?

8vi. What type of toilets were at this market center \${othnm} when the market center was first operational?

8vii. Of what material were the walls of the public toilets made at time when the market center was first operational?

8viii. Of what material was the roof of the public toilets made at time when the market center was first operational?

8ix. Of what material was the floor of the public toilets made at the time when the market center was first operational?

8x. What other features did this public toilet have at time when the market center was first operational?

**Playing ground Characteristics**

8b. What were the characteristics of this playing ground \${othnm} when it first became operational?

8bi. How many pitches did this playing ground have at time when first operational?

8bii. Did this playing ground have a basket courts at time when first operational?

8biii. How many basket ball courts at time when first operational?

8biv. Did this playing ground have a netball pitch at time when first operational?

8bv. How many netball pitches at time when first operational?

8bvi. Did this playing ground have a football pitch at time when first operational?

8bvi. How many foot ball pitches at time when first operational?

8bviii. What other features did this playing ground have at time when first operational?

**Public toilets characteristics**

8c. What were the characteristics of the public toilet facility at the time when first operational?

8ci. What type of toilets were at this public toilet facility?

8cii. How many separate toilet rooms did this public toilet have at time when first operational?

8ciii. Of what material were the walls made at time when first operational?

8civ. Of what material was the roof made at time when first operational?

8cv. Of what material was the floor made - at the time when first operational?

8cvi. What other features did this public toilet have at time when first operational?

#### **Cattle Dip characteristics**

8d. What were the characteristics of this cattle dip at time when first operational?

8di. Of what material were the walls made at time when first operational?

8dii. Of what material was the roof made at time when first operational?

8diii. Of what material was the floor made - at the time when first operational?

8div. What other features did this cattle dip have at time when first operational?

#### **Library/ Resource center characteristics**

8e. What were the characteristics of this library/ resource center at time when first operational?

8ei. Of what material were the walls made at time when first operational?

8eii. Of what material was the roof made at time when first operational?

8eiii. Of what material was the floor made - at the time when first operational?

8eiv. What other features did this library have at time when first operational?

#### **Other facility**

8f. What were the characteristics of this public facility at time when first operational?

Please describe the characteristics in detail. Probe for any notable features of the facility, such as number of rooms, building materials, etc.

9. How much in total was spent on the initial construction of this facility \${odisp} ... \${othnm}?

9a. Who started / initiated the initial construction of this public facility \${odisp} ... \${othnm}?

9b. Please specify the other initiator:

10. Who financed or contributed money to the initial construction of this public facility \${odisp} ... \${othnm}?

10a. Please specify other source(s):

#### **Initial Construction - Money Contribution List**

How much did each of the following sources provide in money / cash to the initial construction of this facility?

11b. Sublocation Members (KSH)?

11c. Individuals outside of \${subloc\_name} (KSH):

11d. CDF (KSH):

11e. MP or MCA (or aspirant) (KSH):

11f. NGO (KSH):  
11g. Government Ministry (KSH):  
11h. County Government (KSH):  
11i. Total amount, other sources (KSH):

12. Were there any materials that were contributed in-kind by any sources for the initial construction of this public facility \${odisp} ... \${othnm}?

13. Who provided materials in-kind for the initial construction of this public facility?

Please specify other source(s):

#### In-kind materials contribution - Other projects

##### Sublocation In-Kind Contribution

14bi. What materials did members of this sublocation provide for the initial construction of this public facility?

14bii. What is the total estimated cost of materials provided by sublocation members?

##### Individuals Outside the sublocation In-Kind Contribution

14ci. What materials did individuals outside of \${subloc\_name} provide for the initial construction of this public facility \${othnm}?

14cii. What is the total estimated cost of materials provided by individuals outside of \${subloc\_name} for the initial construction of this public facility \${othnm}?

##### CDF In-Kind Contribution

14di. What materials did the CDF provide in-kind for the initial construction of this public facility \${othnm}?

14dii. What is the total estimated cost of materials provided by the CDF for the initial construction of this public facility \${othnm}?

##### MP/MCA or Aspirant In-Kind Contribution

14ei. What materials did MPs/MCAs and aspirants provide in-kind for the initial construction of this public facility \${othnm}?

14eii. What is the total estimated cost of materials provided by MPs/MCAs and aspirants for the initial construction of this public facility \${othnm}?

##### NGO In-Kind Contribution

14fi. What materials did NGOs provide in-kind for the initial construction of this public facility \${othnm}?

14fii. What is the total estimated cost of materials provided by NGOs for the initial construction of this public facility \${othnm}?

##### Government Ministry In-Kind Contribution

14gi. What materials did government ministries provide in-kind for the initial construction of this public facility \${othnm}?

14gii. What is the total estimated cost of materials provided by government ministries for the initial construction of this public facility \${othnm}?

##### County Government In-Kind Contribution

14hi. What materials did the county government provide in-kind for the initial construction of this public facility \${othnm}?

14hii. What is the total estimated cost of materials provided by the county government for the initial construction of this public facility \${othnm}?

#### Other In-Kind Contribution

14ii. What materials did other sources provide for the initial construction of this public facility \${othnm}?

14iii. What is the total estimated cost of materials provided by other sources for the initial construction of this public facility \${othnm}?

15. Was any land provided for the initial construction of this public facility?

16. Who provided land for the initial construction of this public facility?

16a. Please specify other source(s):

#### Land contribution - Other projects

##### Community Land Contribution

17ai. How much community land was provided for the initial construction of this public facility \${othnm}? (Acres)

17aii. What is the total estimated cost of community land provided for the initial construction of this public facility \${othnm}?

##### Sublocation Land Contribution

17bi. How much land did members of this sublocation provide for the initial construction of this public facility \${othnm}? (Acres)

17bii. What is the total estimated cost of land provided by sublocation members for the initial construction of this public facility \${othnm}?

##### Individuals Outside the sublocation Land Contribution

17ci. How much land did individuals outside of \${subloc\_name} provide for the initial construction of this public facility \${othnm}?

17cii. What is the total estimated cost of land provided by individuals outside of \${subloc\_name} for the initial construction of this public facility \${othnm}?

##### CDF Land Contribution

17di. How much land did the CDF provide for the initial construction of this public facility \${othnm}?

17dii. What is the total estimated cost of land provided the CDF for the initial construction of this public facility \${othnm}?

##### MP/MCA or Aspirant Land Contribution

17ei. How much land did MPs/MCAs and aspirants provide for the initial construction of this public facility \${othnm}?

17eii. What is the total estimated cost of land provided by MPs/MCAs and aspirants for the initial construction of this public facility \${othnm}?

##### NGO Land Contribution

17fi. How much land did NGOs provide for the initial construction of this public facility \${othnm}?

17fii. What is the total estimated cost of land provided by NGOs for the initial construction of this public facility \${othnm}?

**Government Ministry Land Contribution**

17gi. How much land did government ministries provide for the initial construction of this public facility \${othnm}?

17gii. What is the total estimated cost of land provided by government ministries for the initial construction of this public facility \${othnm}?

**County Government Land Contribution**

17hi. How much land did the county government provide for the initial construction of this public facility \${othnm}?

17hii. What is the total estimated cost of land provided by the county government for the initial construction of this public facility \${othnm}?

**Other Land Contribution**

17ii. How much land did other sources provide for the initial construction of this public facility \${othnm}?

17iii. What is the total estimated cost of land provided by other sources for the initial construction of this public facility \${othnm}?

18. Was any volunteer / unpaid labor provided for the initial construction of this public facility \${odisp} ... \${othnm}?

18a. Who provided volunteer / unpaid labor for the initial construction of this public facility \${odisp} ... \${othnm}?

**Labor Contribution****Unpaid or Volunteer Labor by sublocation Members**

19d. How many total man-hours of unpaid labor did members of this sublocation provide for the initial construction of this public facility \${odisp} ... \${othnm}?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19e. How many of these man-hours involved specialized/skilled labor?

19f. What is the estimated total cost of the unpaid labor provided by sublocation members of this public facility \${odisp} ... \${othnm}?

**Unpaid or Volunteer Labor by Individuals Outside of the sublocation**

19g. How many total man-hours of unpaid labor did individuals outside of this sublocation provide to the initial construction of this public facility \${odisp} ... \${othnm}?

Note that by man-hours, we mean the total number of hours worked by all people. For example, If 3 people work for 8 hours each, the total man-hours is 24.

19h. How many of these man-hours involved specialized/skilled labor?

19i. What is the estimated total cost of the unpaid labor provided by individuals from outside this public facility \${odisp} ... \${othnm}?

**Other project renovations/improvements**

Read: Now I'd like to ask you about some improvements or renovations that have been undertaken at this public facility \${odisp} ... \${othnm}.

20. Have there been any improvements or renovations done on this public facility \${odisp} ... \${othnm} since August 2014?

21. How many times have this facility \${odisp} ... \${othnm} been improved since August 2014?

#### **Other improvements - repeat**

Now I'd like to talk about the (next) improvement, renovation or repair.

22. Was this an improvement or a renovation/repair?

#### **Improvement initiation**

23a. Year facility \${s5\_imp\_rep} physically initiated

23b. Month facility \${s5\_imp\_rep} physically initiated

24a. Year facility \${s5\_imp\_rep} first operational / completed

24b. Month facility \${s5\_imp\_rep} first operational / completed

#### **Characteristics after improvement**

##### ***Market Center characteristics***

27a. What features of this market center \${othnm} were modified as part of this \${s5\_imp\_rep}?

27ai. What did this improvement entail?

27aii. What did this repair entail?

27aiii. What features were a part of this \${s5\_imp\_rep}?

27aiv. How many solar/ flood lights were installed / repaired as part of this \${s5\_imp\_rep}?

27av. How many Public toilets/ Bath rooms/ Urinal units were added / repaired as part of this \${s5\_imp\_rep}?

##### ***Playing ground characteristics***

27b. What features of this playing ground \${othnm} were modified as part of this \${s5\_imp\_rep}?

27bi. Were any of the following features modified as part of this \${s5\_imp\_rep}?

27bii. How many football pitches were added/repaired as part of this \${s5\_imp\_rep}?

27biii. How many basket ball courts were added/repaired as part of this \${s5\_imp\_rep}?

27biv. How many netball pitches were added as part of this \${s5\_imp\_rep}?

27bv. What other features of \${othnm} were added/repaired as part of this \${s5\_imp\_rep}?

##### ***Public toilets characteristics***

27ci. What features of the public toilets were modified as part of this \${s5\_imp\_rep}?

27cii. Whst type of toilets were at this public toilet facility after the \${s5\_imp\_rep}?

27ciii. How many separate toilet rooms did this public toilet have after the \${s5\_imp\_rep}?

27civ. Of what material were the walls made after the \${s5\_imp\_rep}?

27cv. Of what material was the roof made after the \${s5\_imp\_rep}?

27cvi. Of what material was the floor made after this \${s5\_imp\_rep}?

27cvii. What other features did this public toilet have after this \${s5\_imp\_rep}?

#### **Cattle Dip characteristics**

27di. What features of this cattle dip \${othnm} were modified as part of this \${s5\_imp\_rep}?

27dii. Of what material were the walls made after this \${s5\_imp\_rep}?

27diii. Of what material was the roof made after this \${s5\_imp\_rep}?

27div. Of what material was the floor made after this \${s5\_imp\_rep}?

27dv. What other features were modified at this cattle dip as part of this \${s5\_imp\_rep}?

#### **Library/ Resource center characteristics**

27e. What were the characteristics of this library/ resource center \${othnm} after this \${s5\_imp\_rep}?

27ei. Of what material were the walls after this \${s5\_imp\_rep}?

27eii. Of what material was the roof made after this \${s5\_imp\_rep}?

27eiii. Of what material was the floor made after this \${s5\_imp\_rep}?

27eiv. What other features did this library have after this \${s5\_imp\_rep}?

#### **Other facility**

27f. What features of this public facility \${odisp} ... \${othnm} were modified as part of this \${s5\_imp\_rep}?

Please describe the \${s5\_imp\_rep} in detail. Probe for any notable features of the facility, such as number of rooms, building materials, etc. that were modified as part of \${s5\_imp\_rep}?

#### **Characteristics after improvement**

29. How much money in total was spent on this \${s5\_imp\_rep} of this facility \${odisp} ... \${othnm}?

28. Who started / initiated the \${s5\_imp\_rep} of this facility \${odisp} ... \${othnm}?

28a. Please specify other initiator(s):

30. Who financed/ contributed money to the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

30a. Please specify other financer(s) and the amount contributed:

#### **Monetary Contributors - Improvements**

How much was contributed to the improvement of this facility?

31b. How much did the sublocation members contribute for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

31c. How much did the individuals outside the sublocation contribute for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

31d. How much did the CDF contribute for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

31e. How much did the Local MP/MCA (or aspirant) contribute for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

31f. How much did the NGO contribute for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

31g. How much did the government ministry contribute for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

31h. How much did the county government contributed for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

31i. Total other amount \${s5\_imp\_rep} for the improvement of this facility \${odisp}... \${othnm}

32. Were there any materials that were contributed in-kind for this \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

33. Who contributed in-kind materials to the \${s5\_imp\_rep} of this facility?

#### In-Kind materials contribution

34bi. What materials were contributed in-kind from sublocation members to the \${s5\_imp\_rep} of \${odisp}... \${othnm}?

34bii. What was the total estimated cost of the materials contributed by sublocation members of \${odisp}... \${othnm}?

34ci. What materials were contributed in-kind from individuals outside of the sublocation for the \${s5\_imp\_rep} of \${odisp}... \${othnm}?

34cii. What was the total estimated cost of the materials contributed by individuals outside of the sublocation of \${odisp}... \${othnm}?

34di. What materials were contributed in-kind from the Constituency Development Fund (CDF) for the \${s5\_imp\_rep} of \${odisp}... \${othnm}?

34dii. What was the total estimated cost of the materials contributed by the Constituency Development Fund (CDF) for the \${s5\_imp\_rep} of \${odisp}... \${othnm}?

34ei. What materials were contributed in-kind from the Local MP/MCA (or aspirant) for the \${s5\_imp\_rep} of \${odisp}... \${othnm}?

34eii. What was the total estimated cost of the materials contributed by the Local MP/MCA (or aspirant) ?

34fi. What materials were contributed in-kind from NGOs for the of \${odisp}... \${othnm}?

34fii. What was the total estimated cost of the materials contributed by NGOs for the \${s5\_imp\_rep} of ?

34gi. What materials were contributed in-kind from the government ministry of the \${s5\_imp\_rep} of \${odisp}... \${othnm}?

34gii. What was the total estimated cost of the materials contributed by the government ministry for the \${s5\_imp\_rep} of \${odisp}... \${othnm}?

34hi. What materials were contributed in-kind from the county government for the \${s5\_imp\_rep} of \${odisp}... \${othnm}?

34hii. What was the total estimated cost of the materials contributed by the county government for the \${s5\_imp\_rep} of \${odisp}... \${othnm}?

34ii. What materials were contributed in-kind from other sources?

34iii. What was the total estimated cost of the materials contributed by other sources?

35. Was any land contributed for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?  
36. Who contributed land for this \${s5\_imp\_rep}

### Land contributions

How much land was contributed to this \${s5\_imp\_rep} of the facility, and what was the estimated value?

37ai. Amount (acres) of community land provided for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37aii. Estimated value (KSH) of community land provided for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37bi. Amount (acres) contributed by sublocation members for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37bii. Estimated value (KSH) of land contributed by sublocation members for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37ci. Amount (acres) contributed by individuals outside the sublocation for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37cii. Estimated value (KSH) of land contributed by individuals outside the sublocation for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37di. Amount (acres) contributed by CDF for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37dii. Estimated value (KSH) of land contributed by CDF for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37ei. Amount (acres) contributed by local mp/mca (or aspirant) for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37eii. Estimated value (KSH) of land contributed by local mp/mca (or aspirant) for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37fi. Amount (acres) contributed by ngo for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37fii. Estimated value (KSH) of land contributed by ngo for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37gi. Amount (acres) contributed by government ministry for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37gii. Estimated value (KSH) of land contributed by government ministry for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37hi. Amount (acres) contributed by county government for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37hii. Estimated value (KSH) of land contributed by county government for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37ii. Amount (acres) contributed by other sources for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

37iii. Estimated value (KSH) of land contributed by other sources for the \${s5\_imp\_rep} of this facility?

38. Was there any volunteer/unpaid labor that was contributed to this \${s5\_imp\_rep} of the facility?

39. Who contributed labor to this \${s5\_imp\_rep}

Other labor contributor (s):

#### **Labor contribution**

How much was contributed in terms of labor to this \${s5\_imp\_rep}?

40d. How many man-hours in total did sublocation members contribute for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

40e. How many of these man-hours of were skilled/ specialized labor?

40f. What is the estimated total cost of the unpaid labor provided by sublocation members for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

40g. How many man-hours in total did individuals outside the sublocation contribute for the \${s5\_imp\_rep} of this facility \${odisp}... \${othnm}?

40h. How many of these man-hours of were skilled/ specialized labor?

40i. What is the estimated total cost of the unpaid labor provided by individuals from outside this \${subloc\_name} for this \${s5\_imp\_rep} of public facility \${odisp} ... \${othnm}?

#### **Regular Maintenance**

Read: Now I'd like to ask you about some regular maintenance that have been undertaken for this public facility

41. What are the regular maintenance activities that are required for this public facility \${odisp}... \${othnm}?

41a. Specify the other maintenance:

42. How much money in total was spent on regular upkeep activities in the last 12 months?

#### **Maintenance frequency**

43ai. How frequently is slashing done at this public facility?

43aii. How many times was slashing done in the last 12 months?

43bi. How frequently is drainage maintenance done at this public facility?

43bii. How many times was drainage maintenance done in the last 12 months?

43ci. How frequently is plastering done at this public facility?

43cii. How many times was plastering done in the last 12 months?

43di. How frequently is greasing / oiling done at this public facility?

43dii. How many times was greasing / oiling done in the last 12 months?

43ei. How frequently is chlorinating done at this public facility?

43eii. How many times was chlorinating done in the last 12 months?

43fi. How frequently is dredging done at this public facility?

43fii. How many times was dredging done in the last 12 months?

43gi. How frequently is cleaning done at this public facility?

43gii. How many times was cleaning done in the last 12 months?

43hi. How frequently is mopping done at this public facility?

43hii. How many times was mopping done in the last 12 months?

- 43iii. How frequently is murraming done at this public facility?
- 43iii. How many times was murraming done in the last 12 months?
- 43ji. How frequently is grading done at this public facility?
- 43jii. How many times was grading done the last 12 months?
- 43ki. How frequently is painting/ repainting done at this public facility?
- 43kii. How many times was painting/ repainting done in the last 12 months?
- 43li. How frequently is fumigation done at this public facility?
- 43lii. How many times was fumigation done in the last 12 months?
- 43mi. How frequently is field marking done at this public facility?
- 43mii. How many times was field marking done in the last 12 months?
- 43ni. How frequently is the other upkeep done at this public facility?
- 43nii. How many times was other upkeep done in the last 12 months?

#### **Maintenance - other**

44. Who are the people responsible for doing this kind of maintenance at this public facility?

Please specify other:

#### **Maintenance employment - other**

- 45a. How many people have been employed at this public facility to do the regular maintenance activities?

- 45b. How much was paid on salaries/ wages in the last one month?

- 45c. Who is responsible for the salaries of these workers?

#### **Workers from within the community/ sublocation**

- 46a. How many households from this sublocation have worked at this public facility in the last month?

- 46b. How many man-hours did they work in total?

47. Do households from outside this sublocation use this public facility?

#### **Workers from outside the community/ sublocation**

- 48a. How many households from outside this sublocation that use this public facility worked on maintenance in the last month?

- 48b. How many man-hours in total did households from outside this sublocation that use this public facility work on maintenance of this facility in the last month?

49. Have there been groups from within this sublocation that worked on this public facility in the last one month?

#### **Groups within sublocation**

- 50a. What is the name of this group from within the sublocation?

- 50b. How many members of this group worked on this facility on maintenance in the last month?

- 50c. How many man-hours in total did they work in the last month?

Section 5 FO comments:

## Schools

Now I'd like to talk about public primary schools located within your sublocation.

1. How many public primary schools are located within your sublocation

`${subloc_name}`?

Please enter the  `${q1_numsch}` schools that are located within your sublocation

List of public primary schools

2. Subcounty:

Please enter part of the school name:

3. School:

Other school:

3a. Have there been any construction projects at this school since 2010?

3b. How many construction projects have taken place at this school since 2010?

School Projects

4a. In what year was this construction project initiated?

4b. In what month was this construction project initiated?

5a. In what year was this construction project first become operational?

5b. In what month was this construction project first become operational?

6. What did this project entail?

Please specify other:

7. How many classrooms were constructed or repaired?

8. Please briefly describe the construction project:

List of public primary schools

FO comments on Section 6:

## SECTION 7A: Harambees

1. Have any harambees for public facilities been held in this sublocation since August 2014?

2. How many harambees have been held for public facilities this sublocation since August 2014?

List of Harambees - repeat

3. In what year was this harambee held?

3a. In which village(s) in your sublocation was the public facility benefiting from this harambee?

4. How much money was raised in this harambee?

5. What was the purpose of the fundraising in this harambee?

List of Harambees - repeat

FO Comments on Section 7 (Harambees):

Harambees

## **SECTION 7B: Tax collections**

1. Did you have any targets or collections (i.e. taxes) for public facilities or community policing in this sublocation in the last 12 months?
2. How many targets or collections did you have in this sublocation in the last 12 months?

### **Tax collected - repeat**

3. Which type of tax is this (i.e. cattle dip, etc)?
4. Was there a specific amount expected to be collected per household, adult, males, etc?

#### **4a. Amount of tax per unit:**

5. How frequently is this type of tax collected?
  6. Was this collected per (household, adult males, etc)
- 7a. Units Collected
- 7b. Total Collected
- 7c. Total/Units supposed to be collected

FO comments on Tax:

## **SECTION 9: DISPUTES**

FO Read: We understand that resolving disputes is an important part of your job. We'd now like to talk about disputes that you have resolved in the last 12 months.

1. Did you resolve any disputes in the last 12 months?
  2. How many disputes in total have you been involved with resolving in the last 12 months?
- 3a. How many of these disputes were between members of your sublocation \${subloc\_name}? By this we mean that both parties in the dispute are members of \${subloc\_name}.
- 3b. How many of these disputes between sublocation members were marital disputes?
- 3c. How many of these disputes between sublocation members were civil disputes?
4. How many disputes have you resolved in the last 12 months involving one member of your sublocation and someone outside of your sublocation \${subloc\_name}?

READ: Now I'd like to ask you some more detailed questions about the \${ds\_num} most recent disputes that you have helped resolve where at least one of the parties was a member of your sublocation

### **Dispute Details**

Now let's talk about the (next) dispute.

5. What type of dispute was this?

Please specify other:

Dispute Date

When did you settle this dispute?

- 6a. Year:

- 6b. Month:

7. Were both parties in this dispute members of your sublocation?
- 7a. From which villages were the parties?
8. Was there any compensation/restitution paid as part of this dispute?
- 8a. How much compensation/restitution was paid? KSH
9. Was there any punishment or fine for the party found to be in the wrong?
- 9a. Please briefly describe the punishment/fine:
10. Was there any appreciation paid by either party involved in the dispute?
- 10a. How much was paid in total (ie from both parties) in appreciation from resolving the dispute?

Section 9 FO Comments:

#### **Section 10: Conclusion and GPS**

Read: Thank you for your time.

Before leaving the respondent, be sure to give them the GE Effects Phone number card, and ask them to flash the number listed on the card if their contact information changes. Be sure to fill in the remaining information. Do not read the questions allowed. Simply record your own impressions.

- A. Did the respondent terminate the survey early?
- B. Why did the respondent terminate the survey early?
1. Time end interview
2. In what language was the survey administered?
- 2a. How was the respondent's skill in speaking and understanding the survey language?
3. Were any people present during all or part of this interview (other than the respondent and IPA staff)? (1 = Yes, 2 = No)
- 3a. What is their relationship to the respondent?
4. Are you very confident, somewhat confident or not very confident in the overall quality and truthfulness of this respondent's responses?
- 4a. If SOMEWHAT or NOT CONFIDENT: Why?
5. Where is the interview being performed?
- 5a. Please Specify the other place:
6. Are you taking GPS coordinates within SurveyCTO or from another application?
- 6a. Please record a GPS reading now.

#### **House location**

Ensure that you are at the doorstep to the house or office for best accuracy. Please try to obtain an accuracy of 6 meters.

- 7a. latitude:
- 7b. longitude:
- 7c. elevation:
- 7d. Accuracy:

#### **House location**

Please note any other comments on the survey at this point in time.

You have reached the end of the survey. Thank you.

## GE SCHOOL SURVEY: ROUND 2

### SECTION 1: Survey Information and Informed consent

FO : On your way into the school, look for evidence of the school's water source and electricity connectivity status.

oa. Please select your name:

ob. Please enter your IPA ID number:

What is the name of the location in which this primary school is located?

1a. Location:

1b. School:

1c. Enter school code:

2a. Enter subcounty name:

2b. Enter location name:

2c. Enter sublocation name:

2d. Enter village name:

You have selected school \${sch\_name}, with school code \${q3a\_schoolcode}, located in \${subcounty\_name}. If this is incorrect, please go back and fix.

3. Did we survey this school in round 1?

Great! We are set to go. FO: begin the interview. Good luck!

Survey Start time

### INFORMED CONSENT:

READ: Hello, I am \${yrname\_txt} from Innovations for Poverty Action, in Siaya town. IPA is an organization that works on research projects in Kenya and around the world. IPA is collaborating with researchers at the University of California, Berkeley and University of California, San Diego in the USA on a research study, which I invite you to take part in.

You are being invited to participate in this study because we are interested in the schooling opportunities of this community and being an administrator in a school in this community you were selected to participate.

The purpose of this study is to better understand the current schooling opportunities of communities and institutions in Kenya.

If you agree to this study, I would like to ask you some questions about your school and many different aspects of running a school here. We would like to ask you detailed questions about your school composition, performance as well as development projects. Study participation will take approximately one hour. We will also follow up with you in the future to ask similar questions in order to see how economic conditions and your school have changed.

There is no direct benefit to you anticipated from participating in this study. However, it is hoped that the information gained from the study will help researchers to better understand the workings of schools in Kenya, and how these may change over time.

We anticipate minimal risks associated with participating in this survey. If any questions make you feel uncomfortable, you are free to decline to answer any question you do not wish to or to end the interview at any time.

As with all research, there is a chance that confidentiality could be compromised; however, we are taking precautions to minimize this risk. All answers will be kept as confidential as possible and to the degree permitted by the technology used. Any information that identifies you will be separated from your other answers, so that only our researchers will be able to track your answers back to you. We will never identify you in any report or publication about the research.

When the research is completed, we may retain the study data for use in future research by ourselves or others. The same measures described above will be taken to protect confidentiality of this study data.

Furthermore, if you do decide to participate, we would like to offer you a small gift at the end of the survey for your time. This is solely a research project and is independent of any other governments or NGOs working in this area. Do you have time to talk with me for one hour? We would appreciate your assistance in filling out the questionnaire, but participation is voluntary and there is no need to answer any question you do not want to answer. If you wish to end the interview at any time, you may do so. If you have any questions, please contact Meshack Okello at 0795 209 911 or the IPA Office in Siaya town. If you have any questions or concerns about your rights and treatment as a research subject, you may contact The Secretary, Maseno University Ethics Review Committee, Private Bag, Maseno, +254-57 351 622 EXT. 3050, 0722203411, or muerc-secretariate@maseno.ac.ke; or UC Berkeley's Committee for the Protection of Human Subjects, at +1-510-642-7461 or subjects@berkeley.edu.

4. Do you consent to take part in this research?

**IF CONSENT OBTAINED:**

5a. Please select your name to indicate FR's acceptance:

5b. Please enter your IPA ID to indicate FR's acceptance:

**IF CONSENT NOT OBTAINED: PLEASE SKIP TO CONCLUSION**

**Section 2: Background information**

FO: This is targeted towards head teachers. Please try to schedule an appointment with the head teacher in order to collect this information, informing them in advance of the information we will need.

oa. What is your leadership position?

ob. If other, please specify:

**Respondent names**

1a. Respondent first name:

1b. Respondent second/ middle name:

1c. Respondent last name:

2. Is there a phone number where I can reach you, even if you do not have your own phone?

3a. Please give me that number.

3b. Whose phone is this?

3c. What is this person's relationship to you?

**Head teacher information (if not interviewing head teacher)**

4a. What is the head teacher's first name:

4b. What is the head teacher's middle/second name:

4c. What is the head teacher's last name:

5. What is the head teacher's phone contact:

6. Is there a phone number where I can reach him/ her, even if he/ she do not have own phone?

6a. Please give me that number.

6b. Whose phone is this?

6c. What is this person's relationship to him/ her?

7a. In what year did this person begin working as head teacher at this school (Year)?

7b. In what month of the year did this person begin working as head teacher at this school?

8a. In which year was this school founded?

8b. In which month of the year was this school founded?

9a. In which year did you become (deputy) head teacher?

9b. In which month of the year did you become (deputy) head teacher?

10. Was this your first head teacher position?

11. How many years did you previously serve at other schools as head teacher?

14. Did you participate in the previous (7-4-2-3) or the current (8-4-4) school system?

15. What is the highest level of education you completed?

Do not ask the following question. Simply record your impression.

16. What is the respondent's gender?

17. What year were you born?

17a. Is this an estimated year of birth?

18. What is your age now in years?

**School characteristics & composition**

19. From how many villages do the students learning in this school come?

20. I'd now like to talk about the villages from which the most students attending this school come from. Please think of the 5 villages from which the most students come from. What is the percentage of students coming from these five villages?

What is the percentage of students coming from the five largest villages?

**Village 1**

Please start with the village in which the largest student population come from.

21a. Enter subcounty name:

21b. Enter location name:

21c. Enter sublocation name:

21d. Enter village name:

22. What is the percentage number of students coming from this village?

**Village 2**

Please give me the village the 2nd most students come from

23a. Enter subcounty name:

23b. Enter location name:

23c. Enter sublocation name:

23d. Enter village name:

24. What is the percentage number of students coming from this village?

### Village 3

Please give me the village the 3rd most students come from

25a. Enter subcounty name:

25b. Enter location name:

25c. Enter sublocation name:

25d. Enter village name:

26. What is the percentage number of students coming from this village?

### Village 4

Please give me the village the 4th most students come from

27a. Enter subcounty name:

27b. Enter location name:

27c. Enter sublocation name:

27d. Enter village name:

28. What is the percentage number of students coming from this village?

### Village 5

Please give me the village the 5th most students come from

29a. Enter subcounty name:

29b. Enter location name:

29c. Enter sublocation name:

29d. Enter village name:

30. What is the percentage number of students coming from this village?

### Village Sum Check

The percentages sum to \${comppct\_check}. The FR reported that the top 5 villages accounted for \${schvillcomp\_perc}. Please investigate, since these do not match.

## Section 3: School Enrollment

FO: For the section below, each year will be recorded separately. The FO must clarify to the administrator that this is the enrollment at the beginning of the year. Please collect information for 2016, as well as any years going back to 2010 that were missed in the first round. The head teacher or someone in the school should be able to provide information back to at least 2014.

FO (READ): Let's first talk about the 2016 school year. Please include information on all enrollment to date.

1. Is the FR able to provide records on enrollment for the year 2016?

### Enrolment information for 2016

**Number of teachers**

2. How many teachers are at this school, hired by the Teacher's Service Commission (TSC) in 2016?

3. How many teachers are at this school, hired by the School Management Committee/Board of Governors (BOG) of this school in 2016?

Read: Now I would like to ask you about enrollment in the various classes at your institution in 2016. Please feel free to consult any enrollment records if necessary.

4. What is the number of physical classrooms in this school in 2016?

5. What is the total enrollment of regular students (separate from special) in 2016?

6a. What is the enrollment of MALE students in 2016?

6b. What is the enrollment of FEMALE students in 2016?

7a. What is/was the total enrollment in class 1 in 2016?

7b. What is the total enrollment in class 8 in 2016?

**Past Enrollment Information, 2010-2015**

When we last spoke with this school, we were able to collect information for the following years:

\${enroll\_list}

8. We'd like to get information for each year going back to 2010. For which of the years (we missed if surveyed in round 1) are you able to provide us with enrollment information?

**Number of Teachers and Enrollment by Year: Repeat Group**

o. What year are these records of?

**Number of teachers**

2. How many teachers were at this school, hired by the Teacher's Service Commission (TSC) in \${s3\_enrollyear}?

3. How many teachers were at this school, hired by the School Management Committee/Board of Governors (BOG) of this school in \${s3\_enrollyear}?

Read: Now I would like to ask you about enrollment in the various classes at your institution in \${s3\_enrollyear}. Please feel free to consult any enrollment records if necessary.

4. What was the number of physical classrooms in this school in \${s3\_enrollyear}?

5. What was the total enrollment of regular students (separate from special) in \${s3\_enrollyear}?

6a. What was the enrollment of MALE students in \${s3\_enrollyear}?

6b. What was the enrollment of FEMALE students in \${s3\_enrollyear}?

7a. What was the total enrollment in class 1 in \${s3\_enrollyear}?

7b. What was the total enrollment in class 8 in \${s3\_enrollyear}?

**End Enrollment Repeat Group**

FO Comments, Section 3:

**Section 4: School funding**

I'd like to remind you that we are from an independent organization, and we are collecting data for research purposes only. None of this information will be reported to your supervisor nor to the Ministry of Education nor to any other government organization.

Now I would like to ask you about sources of funding for your school. Please feel free to consult any record if necessary.

### **2016 Funding**

FO (READ): Let's first talk about the 2016 school year. Please include information on all funding to date.

Let's first talk about funding from national government that your school received for general operations in 2016.

1. How much did your school receive in overhead per student from the national government in 2016?

Now I would like to ask you about monies the school might have received from the CDF or from County governments for general school operations. Here school operations we mean school administration, school extra curriculum activities and other operations that are part of the day-to-day running of the school. We DO NOT mean one-time school projects, such as the construction of a classroom.

2. Did you receive money from the County government or CDF for general operations in 2016?

3. How much funding did your school get from the County government in 2016 for general operations?

4. What is/ was the purpose for the County Government funding amount?

5. How much funding did your school get from the CDF during in 2016 for general operations?

6. What is/ was the purpose for the CDF funding amount?

### **2016 School Fees**

#### **Parents Teachers Association (PTA)/Parents Association (PA)**

Now I'd like to ask you about PTA/PA fees in 2016. Do not include contributions or fees for school development projects here, we will capture this information later.

7. Were PTA/PA fees collected per student or per household in 2016?

8. How many households would you estimate were attending this school in 2016?

9. Were PTA/PA fees collected per term or per year in 2016?

10. How many different PTA/PA fees were charged in 2016?

#### **PTA Fee Repeat Group**

11. For what classes does this PTA/PA fee apply?

12. What is the amount that is supposed to be paid for PTA/PA per \${studenthouseholdpta16} in standards \${classespta16} in 2016?

12a. Cash: TERM 1:

12b. Cash: TERM 2:

12c. Cash: TERM 3:

12d. What was supposed to be paid yearly per \${studenthouseholdpta16} for PTA/PA for standards \${classespta16} in 2016?

13. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for PTA/PA for each term in 2016?

13a. Cash: TERM 1:

13b. Cash: TERM 2:

13c. Cash: TERM 3:

13d. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for PTA/PA in 2016?

#### **District Education Board (DEB)/Subcounty Education Board**

Now I would like to ask you about District Education Board/Subcounty Education Board activity fees in 2016.

14. Were DEB/Subcounty Education Board fees collected per student or per household in 2016?

15. How many households would you estimate were attending this school in 2016?

16. What is the amount that is supposed to be paid for DEB/Subcounty Education Board per \${studenthouseholddeb16} in 2016?

Yearly amount:

We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for DEB fees for each term in 2016?

17. Yearly amount:

18. How much did you retain for your school (KSH)?

#### **2016 Examination Fees**

Now I'd like to ask you about examination fees in 2016.

19. Did your school charge exam fees for any classes in 2016?

20. Are examination fees collected per term or per year in 2016?

21. How many different exam fees are charged?

#### **Examination fees repeat group**

22a. For what classes does this exam fee apply?

22b. Did this class have internal exams, external (county, zonal) exams, or both?

23. How much was supposed to be paid per term PER STUDENT for INTERNAL examination fees for Standard(s) \${classes16} in 2016?

23a. INTERNAL Exam fees: TERM 1:

23b. INTERNAL Exam fees: TERM 2:

23c. INTERNAL Exam fees: TERM 3:

23d. How much is supposed to be paid yearly PER STUDENT for INTERNAL examination fees in this school for Standard(s) \${classes16} in 2016?

24. How much was supposed to be paid per term PER STUDENT for EXTERNAL (county, zonal) examination fees for Standard(s) \${classes16} in 2016?

24a. EXTERNAL Exam fees: TERM 1:

24b. EXTERNAL Exam fees: TERM 2:

24c. EXTERNAL Exam fees: TERM 3:

24d. How much is supposed to be paid yearly PER STUDENT for EXTERNAL examination fees in this school for Standard(s) \${classes16} in 2016?

25. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for INTERNAL exam fees for each term in 2016?

25a. INTERNAL Exam fees: TERM 1:

25b. INTERNAL Exam fees: TERM 2:

25c. INTERNAL Exam fees: TERM 3:

25d. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for INTERNAL exam fees in 2016?

26. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for EXTERNAL exam fees for each term in 2016?

26a. EXTERNAL Exam fees: TERM 1:

26b. EXTERNAL Exam fees: TERM 2:

26c. EXTERNAL Exam fees: TERM 3:

26d. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for EXTERNAL exam fees in 2016?

#### 2016 Admission Fees

Now I'd like to ask you about admission fees in 2016.

27. How much was supposed to be collected for admission fees (in total) in 2016?

28. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect for admissions fees in 2016?

#### 2016 School Development Fees

29. Did you have any collections for school development projects at any point during 2016?

30. How much were households (in total) expected to contribute for school development projects per term in 2016?

30a. Cash: TERM 1:

30b. Cash: TERM 2:

30c. Cash: TERM 3:

31. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect (in total) from households for school development per term in 2016?

31a. Cash: TERM 1:

31b. Cash: TERM 2:

31c. Cash: TERM 3:

32. What is the intended purpose for the development fee amount in 2016?

32a. Please specify other:

#### 2016 Other School Collections

33. Did you have any collections for any other types of school programs (school feeding, other school projects) during 2016?

34. How much were households (in total) expected to contribute to any other types of school programs (school feeding, other school projects) per term during 2016?

34a. Cash: TERM 1:

34b. Cash: TERM 2:

34c. Cash: TERM 3:

35. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from households for any other types of school programs (school feeding, other school projects) per term during 2016?

35a. Cash: TERM 1:

35b. Cash: TERM 2:

35c. Cash: TERM 3:

36. Now I would like to ask you about any other sources of funding for your school. Please let me know if you received any funding from any of these sources during 2016.

36ai. Did your school get any funding from Income-generating activities (farming, poultry, dairy, etc) in 2016?

36aii. Amount from income-generating activities in 2016?

36bi. Did your school get any funding from Non-governmental organizations (NGOs) in 2016?

36bii. Amount from NGOs in 2016:

36ci. Did your school get any funding from Religious organizations (churches/ mosques etc) in 2016?

36cii. Amount from religious organizations in 2016:

36di. Did your school receive any funding from Harambees in 2016?

36dii. Amount from harambees in 2016:

36ei. Did your school receive any funding from Parents/household contributions in 2016?

36eii. Amount from parents/household contributions in 2016?

36fi. Did your school get funding from any Other sources in 2016?

36fai. How many other sources of funding did your school receive funding from in 2016?

Please specify other source:

36fii. Please specify amount from \${s4\_fundother16} in 2016:

### School Funding 2010-2015

When we last spoke with this school, we were able to collect information for the following years:

\${fund\_list}

37. We'd like to get information for each year going back to 2010. For which of the years (we missed if surveyed in round 1) are you able to provide us with funding information?

FO: Note that we are interested in collecting information by term for 2016, 2015, 2014 and 2013. For 2012 and prior, we will collect yearly totals rather than amounts by term.

### Annual school funding repeat group

o. What year are these records of?

Let's talk first about funding from the national government for general operations in \${s4\_year}?

1. How much did your school get in overhead per student from the national government in \${s4\_year}?

Now I would like to ask you about monies the school might have received from the CDF or from County governments for general school operations. Here school operations we mean school administration, school extra curriculum activities and other operations that are part of the day-to-day running of the school. We DO NOT mean one-time school projects, such as the construction of a classroom.

2. Did your school receive funding from the county government or CDF for general operations in \${s4\_year}?

3. How much funding did your school get from the county government in \${s4\_year} for general operations?

4. What was the purpose of funding from the county government in \${s4\_year}?

5. How much funding did your school get from the CDF during in \${s4\_year} for general operations?

6. What is/ was the purpose for the CDF funding amount?

#### School Fees by Year

##### **School Fees: Parents Teachers Association (PTA)/Parents Association (PA)**

I'd now like to talk about Parents Teachers Association (PTA) or Parents Association (PA) fees in \${s4\_year}. Do not include contributions or fees for school development projects here, we will capture this information later.

7. Was this collected per student or per household in \${s4\_year}?

8. How many households would you estimate were attending this school in \${s4\_year}?

9. Were PTA/PA fees collected per term or per year in \${s4\_year}?

10. How many different PTA/PA fees were charged in \${s4\_year}?

#### PTA Fees Repeat Group

11. For what classes does this PTA/PA fee apply?

12. What was the amount that was supposed to be paid for PTA/PA per \${studenthouseholdpta} for standard(s) \${classespta} in \${s4\_year}?

12a. Cash: TERM 1:

12b. Cash: TERM 2:

12c. Cash: TERM 3:

12d. What was supposed to be paid yearly per \${studenthouseholdpta} for PTA/PA for standard(s) \${classespta} in \${s4\_year}?

13. We know that parents do not always meet their contribution/fee amounts. What was the amount was actually collected for PTA/PA per term in \${s4\_year}?

13a. Cash: TERM 1:

13b. Cash: TERM 2:

13c. Cash: TERM 3:

13d. We know that parents do not always meet their contribution/fee amounts. How much was actually collected for PTA/PA in total in \${s4\_year}?

#### **District Education Board (DEB)/Subcounty Education Board**

I'd now like to talk about District Education Board (DEB)/Subcounty Education Board activity fees in \${s4\_year}

14. Is/was this collected per student or per household in \${s4\_year}?

15. How many households would you estimate were attending this school in \${s4\_year}?

16. How much was supposed to be paid yearly for DEB/Subcounty Education Board per \${studenthouseholddeb} in \${s4\_year}?

17. We know that parents do not always meet their contribution/fee amounts. How much was actually collected in total for DEB/Subcounty Education Board in \${s4\_year}?

18. How much did you retain for your school (KSH)?

#### Examination Fees, Past Years

Now I'd like to ask you about examination fees in \${s4\_year}.

19. Did your school charge exam fees for any classes in \${s4\_year}?

20. Are examination fees collected per term or per year in \${s4\_year}?

21. How many different exam fees are charged?

#### Examination fees for various classes

22a. For what classes does this exam fee apply?

22b. Did this class have internal exams, external (county, zonal) exams, or both?

23. How much was supposed to be paid per term PER STUDENT for INTERNAL examination fees for Standard(s) \${classes} in \${s4\_year}?

23a. INTERNAL Exam fees: TERM 1:

23b. INTERNAL Exam fees: TERM 2:

23c. INTERNAL Exam fees: TERM 3:

23d. How much is supposed to be paid yearly PER STUDENT for INTERNAL examination fees in this school for Standard(s) \${classes} in \${s4\_year}?

24. How much was supposed to be paid per term PER STUDENT for EXTERNAL examination fees for Standard(s) \${classes} in \${s4\_year}?

24a. EXTERNAL Exam fees: TERM 1:

24b. EXTERNAL Exam fees: TERM 2:

24c. EXTERNAL Exam fees: TERM 3:

24d. How much is supposed to be paid yearly PER STUDENT for EXTERNAL examination fees in this school for Standard(s) \${classes} in \${s4\_year}?

25. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for INTERNAL exam fees for each term in \${s4\_year}?

25a. INTERNAL Exam fees: TERM 1:

25b. INTERNAL Exam fees: TERM 2:

25c. INTERNAL Exam fees: TERM 3:

25d. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for INTERNAL exam fees in \${s4\_year}?

26. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for EXTERNAL exam fees for each term in \${s4\_year}?

- 26a. EXTERNAL Exam fees: TERM 1:
- 26b. EXTERNAL Exam fees: TERM 2:
- 26c. EXTERNAL Exam fees: TERM 3:
- 26d. We know that parents do not always meet their contribution/fee amounts. How much did you actually collect from parents for EXTERNAL exam fees in \${s4\_year}?
- School Development Fees, Past Years**
29. Did you have any collections for school development projects at any point during \${s4\_year}?
30. How much were households (in total) expected to contribute for school development projects per term in \${s4\_year}?
- 30a. Cash: TERM 1:
- 30b. Cash: TERM 2:
- 30c. Cash: TERM 3:
- 30d. How much were households (in total) expected to contribute for school development projects in \${s4\_year}?
31. How much did you actually collect from households for school development projects per term in \${s4\_year}?
- 31a. Cash: TERM 1:
- 31b. Cash: TERM 2:
- 31c. Cash: TERM 3:
- 31d. How much did you actually collect from households for school development projects in \${s4\_year}?
32. What is the intended purpose for the development fee amount in \${s4\_year}?
- 32a. Please specify other:
- Other Collections, Past Years**
33. Did you have any collections for any other types of school programs (school feeding, other school projects) during \${s4\_year}?
34. How much were households (in total) expected to contribute to any other types of school programs (school feeding, other school projects) per term in \${s4\_year}?
- 34a. Cash: TERM 1:
- 34b. Cash: TERM 2:
- 34c. Cash: TERM 3:
- 34d. How much were households (in total) expected to contribute to any other types of school programs (school feeding, other school projects) per year in \${s4\_year}?
35. How much did you actually collect from households for any other types of school programs (school feeding, other school projects) per term in \${s4\_year}?
- 35a. Cash: TERM 1:
- 35b. Cash: TERM 2:
- 35c. Cash: TERM 3:
- 35d. How much did you actually collect from households for any other types of school programs (school feeding, other school projects) per year in \${s4\_year}?

36. We'd now like to talk about other funding your school may have received from income-generating activities, NGOs, religious organizations, or harambees.

36ai. Did your school have any Income-generating activities (farming, poultry, dairy, etc) in \${s4\_year}?

26aii. Amount from income-generating activities in \${s4\_year}?

26bi. Did your school receive any funding from Non-governmental organizations (NGOs) in \${s4\_year}?

36bii. Amount from NGOs in \${s4\_year}:

36ci. Did your school receive any funding from Religious organizations (churches/ mosques etc) in \${s4\_year}?

36cii. Amount from religious organizations in \${s4\_year}:

36di. Did your school receive any funding from Harambees in \${s4\_year}?

36dii. Amount from harambees in \${s4\_year}:

36fi. Did your school receive any funding from Other sources in \${s4\_year}?

36fai. How many other sources of funding?

Please specify other source:

36fii. Please specify amount from \${s4\_fundother} In \${s4\_year}:

#### **End Repeat, Annual school funding**

FO Comments, Section 4:

### **Section 5: School Expenditure**

Read: I'd now like to talk about how your school's expenditure on both projects, school supplies and staff.

FO (READ): Let's first talk about the 2016 school year. Please include information on all expenditure to date.

1. Did you have any expenditures on school development projects in this school in 2016?

2. How many projects did you have expenditure on in this school in 2016?

3. How many new projects did you start in this school in 2016?

What is/ was the project name, how much did you spend on this project and what was the funding source in 2016?

#### **School projects repeat group**

4. Project type:

4a. Please specify the other school project type:

5. Short project description:

6. Is this new project or an ongoing project?

7. What is/ was the total amount of money spent on this project in 2016:

8. What is/ was the funding sources for this project in 2016?

8a. Please specify other funding source:

9. Who is/ was fully directly responsible for paying this project's expenses?

10. How much was spent on this project by source in 2016?

10a. Village money contribution (KSH):

10b. Individuals within the village / well-wishers
10c. CDF money contribution (KSH):
10d. Ward development fund money contribution (KSH):
10e. LATF money contribution (KSH):
10f. MP or MCA money contribution (KSH):
10g. NGO money contribution (KSH):
10h. Individual outside of this village / well-wisher money contribution (KSH):
10i. Harambee (KSH):
10j. Free Primary Education (FPE) (KSH):
10k. Government Ministry (KSH):
10l. Parents development project fee (KSHS):
10m. Schools income generating activity (KSHS):
10n. County Government (KSHS):
10o. Other money contribution (KSH):
11. Did you start or purchase any school supplies in this school in 2016? (textbooks, desks etc)
12. What is the number of this supplies purchased in 2016?
<b>Supplies Repeat Group</b>
13. What is the name of this supply?
13a. Supply description:
14a. How much did you spend on these supplies in 2016?
14b. How many units of this supply did you get in 2016?
15. What was your school's expenditure on the following in 2016?
15a. Board of Governors (BOG) employed teachers salary in 2016?
15b. Administrators in 2016
15c. Support Staff (eg cooks, guards, cleaners etc) in 2016
15d. Casual labourers in 2016
15e. School Feeding Program in 2016
15f. Maintenance/Repair in 2016
16. What was the total expenditure by the school in 2016?
<b>School Expenditure: Past Years</b>
When we last spoke with this school, we were able to collect information for the following years: \${exp_list}
17. We'd like to get information for each year going back to 2010. For which of the years (we missed if surveyed in round 1) are you able to provide us with expenditure information?

Read: Now I would like to ask you about the expenditures for your school. School's expenditure on both projects, school supplies and staff.

Please feel free to consult any record if necessary.

### School Expenditure Repeat Through Past Years

o. What year are these records of?

1. Did you have any expenditures on school development projects in this school in \${s5\_year}?

2. How many projects did you have expenditure on in this school in \${s5\_year}?

3. How many new projects did you start in this school in \${s5\_year}?

What is/ was the project name, how much did you spend on this project and what was the funding source in \${s5\_year}?

### School projects repeat group

5. Short project description:

6. Is this new project or an ongoing project?

7. What is/ was the total amount of money spent on this project in \${s5\_year}:

8. What is/ was the funding sources for this project in \${s5\_year}?

8a. Please specify other funding source:

9. Who is/ was fully directly responsible for paying this project's expenses?

10. How much was spent on this project by source in \${s5\_year}?

10a. Village money contribution (KSH):

10b. Individuals within the village / well-wishers

10c. CDF money contribution (KSH):

10d. Ward development fund money contribution (KSH):

10e. LATF money contribution (KSH):

10f. MP or MCA money contribution (KSH):

10g. NGO money contribution (KSH):

10h. Individual outside of this village / well-wisher money contribution (KSH):

10i. Harambee (KSH):

10j. Free Primary Education (FPE) (KSH):

10k. Government Ministry (KSH):

10l. Parents development project fee (KSHS):

10m. Schools income generating activity (KSHS):

10n. County Government (KSHS):

10o. Other money contribution (KSH):

11. Did you start or purchase any school supplies in this school in \${s5\_year}? (textbooks, desks etc)

12. What is the number of supplies purchased in \${s5\_year}?

### Supplies Repeat Group

13a. Supply description:

14a. How much did you spend on these supplies in \${s5\_year}?

14b. How many units of this supply did you get in \${s5\_year}?

15. What was your school's expenditure on the following in \${s5\_year}?

15a. Board of Governors (BOG) employed teachers salary in \${s5\_year}?

15b. Administrators in \${s5\_year}

15c. Support Staff (eg cooks, guards, cleaners etc) in \${s5\_year}

15d. Casual labourers in \${s5\_year}

15e. School Feeding Program in \${s5\_year}

15f. Maintenance/Repair in \${s5\_year}

16. What was the total expenditure by the school in \${s5\_year}?

End School Expenditure Year Repeat Group

fo\_comment section 5:

## Section 6: KCPE results from the Nominal Roll

Now we ask you to provide us with the information on schools performance in the KCPE Exams

FO (READ): Let's first talk about the 2015 school year.

1. How many students registered for the KCPE in 2015?

2. How many students sat for the KCPE exams in 2015?

3. What was the average KCPE score in 2015?

When we last spoke with this school, we were able to collect information on test scores for the following years:

\${score\_list}

4. We'd like to get information for each year going back to 2010. For which of the years (we missed if surveyed in round 1) are you able to provide us with performance information?

## KCPE Results, Past Years

0. What year are these records of?

1. How many students registered for the KCPE in \${s6\_enrollyear}?

2. How many students sat for the KCPE exams in \${s6\_enrollyear}?

3. What was the average KCPE score in \${s6\_enrollyear}?

FO comments, section 6:

## Section 7: School Characteristics and GPS

If possible, the FO should independently observe and confirm the water source and electricity connection of the school.

1. What are the main water sources that this school has?

1a. Water Source 1

1b. Water Source 2

2a. What is the distance of water source 1 \${water\_source1} from the school?

2b. What is the distance of water source 2 \${water\_source2} from the school?

3. Are the toilets for the pupils at this school flush toilets or pit latrines?

4. What is the primary source of electricity for this school?

5. Time end interview (24 hr clock)

READ: Thank you for your time, all of this information will be kept strictly confidential. We would like to survey you again at some point.

6. Are you taking GPS coordinates within SurveyCTO or from another application?

7. Please record a GPS reading now.

Ensure that you are at the doorstep to the house or business for best accuracy. Please try to obtain an accuracy of 8 meters.

7a. Latitude:

7b. Longitude:

7c. Elevation:

7d. Accuracy:

Please note any other comments on the survey at this point in time.

You have reached the end of the survey. Thank you.

## GE HH Endline Survey for Local PF PAP

This contains relevant sections of the household survey for questions that are referenced in this pre-analysis plan

### Section 2 - Defining the Household

#### Part A - Confirming Respondent Identity

##### 1. Name of Respondent

1. What is your current full name? Please spell it for me.

Respondent first name:

Respondent second/middle name:

Respondent last/family name:

Respondent common name:

NOTE: Do not ask the following question. Simply record your impressions. The FR answered:

Name 1: \${q1\_respfirstname}

Name 2: \${q1\_respsecondname}

Name 3: \${q1\_resplastname}

Our records from baseline say:

Name 1: \${q5a\_respfirstname}

Name 2: \${q5b\_respsecondname}

Name 3: \${q5c\_resplastname}

1a. Do these names match?

1b. Why is your name different than the one in our records from the last time we interviewed you?

2. Do you use any other names, either in your community or for official documents?

2a. What other name do you use on official documents?

Other respondent first name:

Other respondent second/middle name:

Other respondent last name:

2b. Other common name:

3. Do not ask the following question. Simply record your impression.

What is the respondent's gender?

3a. Do not ask the following question. Simply record your impression.

You entered: \${gender}

At baseline, our records indicate: \${BL\_gender\_str}.

Do these agree?

**DO NOT READ:** You have entered the respondent's name as first: \${q1\_respfirstname} second: \${q1\_respsurname} last: \${q1\_resplastname}, respondent gender as: \${gender} with ID \${q4\_respid}. Respondent is in village \${village\_name}, sublocation \${subloc\_name}, location \${loc\_name}, subcounty \${subcounty\_name}.

Please confirm this information matches what is on the tracking sheet before continuing with the interview

4. What is your date of birth?

What day of the month were you born?

What month were you born?

What year were you born?

4a. Is this an estimated year of birth?

5. What is your age now in years?

Age/Year of Birth:

The FR answered:

Year of birth: \${q4\_yob}

Age: \${q4a\_age}

At baseline, the respondent reported:

Year of birth: \${BL\_yob}

Age: \${BL\_frage}

Note: baseline year of birth and age \${BL\_frageflag} consistent.

5a. Do these years of birth match?

If NO, please confirm the date of birth with the FR. If FR is confident that this date of birth is correct, please select "NO, baseline value incorrect"

6. Why is your age different than the one in our records from the last time we interviewed you?

7. What is your father's name?

What is your father's first name?

Father's second/middle name:

Father's last name:

Do not ask the following question. Simply record your impressions.

The FR answered his father's name as:

Name 1: \${q7\_ffirstname}

Name 2: \${q7\_fsecondname}

Name 3: \${q7\_flastname}

At baseline, the FR indicated:

Name 1: \${BL\_fname1}

Name 2: \${BL\_fname2}

Name 3: \${BL\_fname3}

7a. Do these father's names match?

Do not count different spellings or different orderings of the same name as different.

7b. Why is this not the same name we have in our records? List up to 2 responses.

8. What is your mother's name?

What is your mother's first name?

Mother's second/middle name:

Mother's last name:

Do not ask the following question. Simply record your impressions.

The FR answered the mother's name as:

Name 1: \${q8\_mfirstname}

Name 2: \${q8\_msecondname}

Name 3: \${q8\_mlastname}

At baseline, the FR indicated:

Name 1: \${BL\_mname1}

Name 2: \${BL\_mname2}

Name 3: \${BL\_mname3}

8a. Do these mother's names match?

Do not count different spellings or different orderings of the same name as different.

8b. Why is this not the same name we have in our records? List up to 2 responses.

DISCREPANCY CHECK:

The number of discrepancies is \${calc\_6\_no}.

If this number is less than or equal to 1, continue. If the number is greater than 1, reconfirm that you have the correct focus respondent.

The FR has answered:

FR's name:

Name 1: \${q1\_respfirstname}  
Name 2: \${q1\_respsecondname}  
Name 3: \${q1\_resplastname}

FR's Year of Birth:

\${q4\_yob}

Father's name:

Name 1: \${q7\_ffirstname}  
Name 2: \${q7\_fsecondname}  
Name 3: \${q7\_flastname}

Mother's name:

Name 1: \${q8\_mfirstname}  
Name 2: \${q8\_msecondname}  
Name 3: \${q8\_mlastname}

9. *FO (Do not read)* : Are you suspicious that this respondent is not the same respondent as on the tracking sheet?

9a. Why are you suspicious

**Part B - Respondent Background**

10. What is your place of birth?

10a. Country of birth?

10b. County of birth?

10c. 2010 district?

10d. Town / City?

10e. Subcounty:

10e. Location:

10f. Sub-location:

10g. Village / Neighborhood?

11. What is your clan?

NOTE: Do not ask the following questions. Simply record your impressions.

12. Where is this interview being conducted?

13. Is the interview being conducted with the interviewee alone (excepting IPA staff)?

NOTE: If NO, politely ask to be allowed to interview the FR alone. Stress that the interview is private and confidential.

13a. List any individuals over the age of 5 who are present for the interview:

13b. If relationship of individuals present for interview is other, please specify:

End of section 2. FO comments on section 2:

Section 3: Contact Information (not included)

Section 4 - Household Roster

READ: Now I would like to find out about all of the individuals in your household. By your household, I mean the place where you usually sleep, not necessarily your ancestral lands or family home. By the individuals in your household, I mean those who “eat from the same pot” and spend 4 nights or more in an average (typical) week sleeping in your home.

1. How many people (not including yourself) live in your household and eat from the same pot?
2. How many people (not including yourself) lived in your household and eat from the same pot as of \${BL\_date}? Note: For respondents surveyed at baseline, this is the date when we visited the household.

NOTE: At baseline, the FR reported \${BL\_hnum} household members, while in the previous question, the FR answered \${q1\_hhmembersbaseline}. Please probe to check and ensure that \${q1\_hhmembersbaseline} is the correct number of household members in \${BL\_date}.

Household Member Names Repeat Group

Enter the names of who lives in the household (excluding the FR), starting with the eldest.

Household Roster

2a. Was \${f2003} living in the household in \${BL\_date}?

2ab. Why did this person join this household?

s4\_q2aa

2b. Where was this person living at \${BL\_date}?

2ba. Country?

2bb. County?

2bc. 2010 district?

2bd. Town / City?

2be. Subcounty:

2bf. Location:

2bg. Sub-location:

2bh. Village / Neighborhood?

2c. Did \${f2003} sleep here last night? If no, probe/ask again if usually stays here

3. \${f2003} Gender:

4. \${f2003} Age in years:

4a. Is this \${f2003} estimated age?

5. \${f2003} Relationship to respondent?

6. Did \${f2003} participate in the previous (7-4-2-3) or the current (8-4-4) school system?
7. \${f2003} Highest level of education completed?
8. \${f2003} Occupation(s)?
8a. Please specify \${f2003} 'Other' occupation:
8b. Please specify \${f2003} 'Other' occupation:
8c. Please specify \${f2003} 'Other' occupation:
9. Of the last five days school was IN SESSION, how many days did \${f2003} attend?
Schooling Roster for \${hh_name}
10. Was \${f2003} attending school during the 2015 school year?
<b>2015 Schooling</b>
11. What type of school did \${f2003} attend during the 2015 school year?
12. What primary school was this child attending during the 2015 school year?
12a. What secondary school was this child attending during the 2015 school year?
13. What standard/form was this child in the 2015 school year?
<b>14. How much did you pay in school/activity fees for this child in the 2015 school year?</b>
i. 2015 Term 1:
ii. 2015 Term 2:
iii. 2015 Term 3:
i. 2015 semester 1
ii. 2015 semester 2
<b>15. How much did you spend on other school-related supplies for this child in the 2015 school year?</b>
16. Were there any school development projects at this school in the 2015 school year?
17. How much did you pay in contributions (for school projects or for school funds) for \${f2003} in the 2015 school year?
18. In the last term of 2015, how many times was \${f2003} sent home because of school fees?
18a. In the last term of 2015, how many days in total of school did \${f2003} miss after being sent home for not paying school fees?
<b>End 2015 Schooling</b>
10. Did \${f2003} attend school during the 2016 school year?
<b>2016 Schooling</b>
10a. Is \${f2003} attending the same school as in the 2015 school year?
11. What type of school is \${f2003} attending during the 2016 school year?
12. What primary school was \${f2003} attending during the 2016 school year?
12a. What secondary school was this child attending during the 2016 school year?
13. What standard/form is \${f2003} in the 2016 school year?
<b>14. How much did you pay in school/activity fees for this child in the 2016 school year?</b>

i. 2016 Term 1:
ii. 2016 Term 2:
ii. 2016 Term 3:
i. 2016 semester 1
ii. 2016 semester 2
15. How much did you spend on other school-related supplies for this child in the 2016 school year?
16. Were there any school development projects at this school in the 2016 school year?
15. How much did you pay in contributions (for school projects or for school funds) for \${f2003} in the 2016 school year?
18. In the last term of 2016, how many times was \${f2003} sent home because of school fees?
18a. In the last term of 2016, how many days in total of school did \${f2003} miss after being sent home for not paying school fees?
End 2016 Schooling
19. Is \${f2003} attending school during the 2017 school year?
2017 Schooling
10b. Is \${f2003} attending the same school as in the 2016 school year?
11. What type of school is \${f2003} attending during the 2017 school year?
12. What primary school was \${f2003} attending during the 2017 school year?
12a. What secondary school was this child attending during the 2017 school year?
13. What standard/form is \${f2003} in the 2017 school year?
14. How much did you pay in school/activity fees for this child in the 2017 school year?
i. 2017 Term 1:
ii. 2017 Term 2:
ii. 2017 Term 3:
i. 2017 semester 1
ii. 2017 semester 2
15. How much did you spend on other school-related supplies for this child in the 2017 school year?
17. Were there any school development projects at this school in the 2017 school year?
15. How much did you pay in contributions (for school projects or for school funds) for \${f2003} in the 2017 school year?
18. In the last term of 2017, how many times was \${f2003} sent home because of school fees?
18a. In the last term of 2017, how many days in total of school did \${f2003} miss after being sent home for not paying school fees?
End School Roster
Pre-Analysis Plan Note: We collect the same schooling roster for children that are living outside of the household as well. For the sake of brevity, I do not include this. The same questions will be used for these children as well.
30. How much has your household spent in total on School/college fees, uniforms, books, or other supplies in the last 12 months?

<b>Section 5: Family Background</b>
Read: Now I would like to ask you a few questions about yourself.
1. Did you participate in the previous (7-4-2-3) or the current (8-4-4) school system?
1a. What was the highest level of education you completed?
7. What is your marital status?
<b>Section 6: Home Characteristics and Assets</b>
Do NOT read: Refer to the main house of the household, as defined in the household census, not simbas (i.e., sleeping huts for young unmarried men) or the main house of the compound if FR does not live in it. Also, we are only interested in the current residence, not (necessarily) ancestral land (even if the current residence is a rental).
FO instruction: For this section, if the FR has migrated to a new HH, we want to capture the assets of the FR's current household. This includes all the assets of the current household and any assets the FR owns. Do not count assets from the previous household that the FR does not own. If the FR is unsure about the assets of the current household, he/she may consult with other household members. Please leave a comment if the FR consults with other household members.
Do not ask the following question on housing materials, simply observe and record your observations in the following questions:
0a. Enter floor materials:
0b. Enter roof materials:
0c. Enter wall materials:
Read: Now I'd like to ask you some questions about your home and household. Think of your current residence / the building you eat in.
1. Do you have electricity, from any source (including a car battery or generator)?
1a. What is the source of your electricity?
2. What kind of toilet facility does your household use most often?
2a. Do you have a latrine?
3. How many separate rooms do you have in your house?
4. What was your main water source in the last 7 days?
5. Does your household own or rent the house / apartment where you live?
5a. If you wanted to build a house like yours in this village, how much would it cost (both for materials and for labor)?
You entered \${q5a_homevalue}. Is this correct? (Check the number of zeros)
5b. How much in shillings does your household pay for rent each month for this house / apartment?
5c. Does the house / apartment rest on land (greater than 0.25 acres) that you use for agricultural purposes?

5d. How much of this land was used for agricultural purposes (in acres)?
6. How much land does your household own (in acres)?
6a. How much does it cost to buy an acre of land in this \${village_name} village?
6b. How much of the land you own is used for agricultural purposes (in acres)?
7. In the last 12 months, did you rent any of the land owned by your household to people outside of your household?
7a. How much of this land did you rent to people outside of your household (in acres)?
7b. For how many months of the last 12 did you rent out this land?
7c. For how much do you rent out this land?
7d. Is this per year/season/month?
7e. For how many months was the season that you rented the land?
8. In the last 12 months, has your household rented land from others?
8a. How much land has your household rented from others in the last 12 months (in acres)?
8b. How much of this land was used for agricultural purposes (in acres)?
8c. For how many months did you rent this land in the last 12 months?
8d. For how much did you rent this land from others?
8e. Is this per year/season/month?
8f. For how many months was the season that you rented the land?

#### Part C: Asset Ownership

Read: Now I'd like to ask you about some of the things your household owns.

Read: I would like to remind you that all answers you give will be kept as confidential as possible, we're independent Organization and information won't have any effect on other programs.

NOTE: It is very important that these values be entered accurately, and that we consistently use codes - 99 for "don't know" and -88 for refusal to answer. We use the values from these questions for the aspirations section and need to properly calculate total assets during the survey.

13. How many of the following items does your household own?

13a. Bicycle

13ai. Total Value (KSh):

You entered \${q13a\_bicyclevale}. Is this correct? (Check the number of zeros)

13b. Motorcycle / scooter

13bi. Total Value (KSh):

You entered \${q13b\_motorcyclevalue}. Is this correct? (Check the number of zeros)

13c. Car / truck

13ci. Total Value (KSh):

You entered \${q13c\_carvalue}. Is this correct? (Check the number of zeros)

13d. Kerosene stove

13di. Total Value (KSh):

You entered \${q13d\_kerosenevalue}. Is this correct? (Check the number of zeros)

13e. Radio / cassette player / CD player
13ei. Total Value (KSh):
You entered \${q13e_radiovalue}. Is this correct? (Check the number of zeros)
13f. Sewing machine
13fi. Total Value (KSh):
You entered \${q13f_sewingvalue}. Is this correct? (Check the number of zeros)
13g. Kerosene lantern
13gi. Total Value (KSh):
You entered \${q13g_kerosenelanternvalue}. Is this correct? (Check the number of zeros)
13h. Bed
13hi. Total Value (KSh):
You entered \${q13h_bedvalue}. Is this correct? (Check the number of zeros)
13i. Mattress
13ii. Total Value (KSh):
You entered \${q13i_mattressvalue}. Is this correct? (Check the number of zeros)
13j. Bednet
13ji. Total Value (KSh):
You entered \${q13j_bednetvalue}. Is this correct? (Check the number of zeros)
13k. Tables
13ki. Total Value (KSh):
You entered \${q13k_tablevalue}. Is this correct? (Check the number of zeros)
13l. Sofa pieces
13li. Total Value (KSh):
You entered \${q13l_sofavalue}. Is this correct? (Check the number of zeros)
13m. Chair
13mi. Total Value (KSh):
You entered \${q13m_chairvalue}. Is this correct? (Check the number of zeros)
13n. Cupboards/dressers
13ni. Total Value (KSh):
You entered \${q13n_cupboardsvalue}. Is this correct? (Check the number of zeros)
13o. Clock or watch
13oi. Total Value (KSh):
You entered \${q13o_clock_watchvalue}. Is this correct? (Check the number of zeros)
13p. Electric iron
13pi. Total Value (KSh):
You entered \${q13p_elecironvalue}. Is this correct? (Check the number of zeros)

13q. Television
13qi. Total Value (KSh):
You entered \${q13q_televisionvalue}. Is this correct? (Check the number of zeros)
13r. Computer/tablet
13ri. Total Value (KSh):
You entered \${q13r_computervalue}. Is this correct? (Check the number of zeros)
13s. Mobile phone
13si. Total Value (KSh):
You entered \${q13s_mobilevalue}. Is this correct? (Check the number of zeros)
13t. Car battery
13ti. Total Value (KSh):
You entered \${q13t_carbatteryvalue}. Is this correct? (Check the number of zeros)
13u. Boat (motorized or other)
13ui. Total Value (KSh):
You entered \${q13u_boatvalue}. Is this correct? (Check the number of zeros)
13v. Metal/Iron/Steel sheets
13vi. Total Value (KSh):
You entered \${q13v_metalssheetsvalue}. Is this correct? (Check the number of zeros)
13w. Farming tools (hoe, pangas, etc)
13wi. Total Value (KSh):
You entered \${q13w_farmtoolsvalue}. Is this correct? (Check the number of zeros)
13x. Hand carts
13xi. Total Value (KSh):
You entered \${q13x_handcartvalue}. Is this correct? (Check the number of zeros)
13y. Wheelbarrows
13yi. Total Value (KSh):
You entered \${q13y_wheelbarrowvalue}. Is this correct? (Check the number of zeros)
13z. Ox plow
13zi. Total Value (KSh):
You entered \${q13z_oxpathvalue}. Is this correct? (Check the number of zeros)
13aa. Cattle
13aai. Total Value (KSh):
You entered \${q13aa_cattlevalue}. Is this correct? (Check the number of zeros)
13bb. Goat
13bbi. Total Value (KSh):

You entered \${q13bb_goatvalue}. Is this correct? (Check the number of zeros)
13cc. Sheep
13cci. Total Value (KSh):
You entered \${q13cc_sheepvalue}. Is this correct? (Check the number of zeros)
13dd. Chicken
13ddi. Total Value (KSh):
You entered \${q13dd_chickenvalue}. Is this correct? (Check the number of zeros)
13ee. Other birds (ducks, geese, turkeys)
13eei. Total Value (KSh):
You entered \${q13ee_othbirdvalue}. Is this correct? (Check the number of zeros)
13ff. Pig
13ffi. Total Value (KSh):
You entered \${q13ff_pigvalue}. Is this correct? (Check the number of zeros)
13gg. Solar panel
13ggi. Total Value (KSh):
You entered \${q13gg_solarvalue}. Is this correct? (Check the number of zeros)
13hh. Generator
13hhi. Total Value (KSh):
You entered \${q13hh_generatorvalue}. Is this correct? (Check the number of zeros)
Currency for item values:
14. In the last seven days, how many hours have you spent doing household chores for your household?
15. In total, how many people have performed household chores for your household over the last seven days?
16. In the last seven days, how many hours did members of your household – not including you – spend doing household chores for your household?
17. In the last seven days, how many hours did workers from outside the household (such as hired maids who do not live with you) spend doing household chores?
18. In the last seven days, how much have you spent in total (including cash and in-kind payments) on people from outside the household assisting with household chores?
End of section 6. FO comments:
Section 7: Farming and Agriculture
Read: We would now like to discuss the agricultural or pastoral activities that you and other members of your household perform.
1. Do members of your household perform any agricultural or pastoralist activities for yourselves?
2. What are the agricultural or pastoralist activities that members of your household perform?
Please specify other
Agriculture

We'd now like to ask you some questions about your household's agricultural activities.

3. What is the total size of the land you used for agriculture in the last 12 months?

4. What crops have your household grown in the last 12 months?

5. Are you the main decision-maker for agriculture?

5a. What is your relationship to the main decision-maker? Ex: If DM is FR's uncle, enter uncle, not nephew.

6. Did your household sell any of the output from agriculture in the last 12 months?

6a. How much did you receive in total in sales from agriculture during the last 12 months? If agriculture, include all crops, fruits and vegetables sold.

Currency:

7. How many hours did you work in total in agriculture in the last 7 days?

8. In total, how many people worked on agriculture over the last 12 months?

9. How many hours did members of your household – not including you – work in agriculture in the last 7 days?

10. In total, how many workers from outside the household (e.g. casual workers) to work on agriculture did you hire during the last 12 months?

11. How many hours did workers from outside the household work in agriculture during the last 7 days?

12. How much did you spend on salaries for workers from outside the household in this agriculture during the last 12 months?

Currency:

13. How much did you spend on the following items for agriculture during the last 12 months?

a. Tools and machinery (i.e plows, machetes, hoes, rental of tractors)

c. Fertilizer

d. Irrigation

e. Improved/hybrid seeds

f. Formal agricultural insurance

Currency:

13. Did your household receive any instruction from an agricultural extension worker for agriculture during the last 12 months?

## Livestock Farming

We'd now like to ask you some questions about your household's livestock farming activities.

5. Are you the main decision-maker for livestock farming?

5a. What is your relationship to the main decision-maker? Ex: If DM is FR's uncle, enter uncle, not nephew.

6. Did your household sell any of the output from livestock farming in the last 12 months? By output, we mean any milk, manure, wool, meat or other products, excluding the sale of the animals or calves.

6a. How much did you receive in total in sales of output from livestock farming during the last 12 months?

Currency:

6b. Did your household sell any livestock animals in the last 12 months?
6ba. How much did you receive in total in sales of livestock during the last 12 months? (KSH)
6c. Did your household purchase any livestock animals in the last 12 months?
6ca. How much did you spend in total on purchasing livestock during the last 12 months? (KSH)
7. How many hours did you work in total in livestock farming in the last 7 days?
8. In total, how many people worked on livestock farming over the last 12 months?
9. How many hours did members of your household – not including you – work in livestock farming in the last 7 days?
10. In total, how many workers from outside the household (e.g. casual workers) to work on livestock farming did you hire during the last 12 months?
11. How many hours did workers from outside the household work in livestock farming during the last 7 days?
12. How much did you spend on salaries for workers from outside the household in this livestock farming during the last 12 months?
Currency:
13. How much did your household spend on the following items for livestock farming during the last 12 months?
b. Animal medicine
d. Irrigation
Currency:
<b>Poultry</b>
We'd now like to ask you some questions about your household's poultry activities.
5. Are you the main decision-maker for poultry?
5a. What is your relationship to the main decision-maker? Ex: If DM is FR's uncle, enter uncle, not nephew.
6. Did your household sell any of the output from poultry in the last 12 months? By output we mean eggs, meat from animals that you slaughtered, or any other products, excluding the animals themselves.
6a. How much did you receive in total in sales from poultry during the last 12 months?
Currency:
6b. Did your household sell any birds (poultry animals) during the last 12 months?
6ba. How much did you receive in total in sales of poultry during the last 12 months? (KSH)
6c. Did your household purchase any birds (poultry animals) in the last 12 months?
6ca. How much did you spend in total on purchasing poultry during the last 12 months? (KSH)
7. How many hours did you work in total in poultry in the last 7 days?
8. In total, how many people worked on poultry over the last 12 months?
9. How many hours did members of your household – not including you – work in poultry in the last 7 days?

10. In total, how many workers from outside the household (e.g. casual workers) to work on poultry did you hire during the last 12 months?

11. How many hours did workers from outside the household work in poultry during the last 7 days?

12. How much did you spend on salaries for workers from outside the household in this poultry during the last 12 months?

Currency:

13. How much did you spend on the following items for poultry during the last 12 months?

b. Animal medicine

Currency:

### Fish Pond

We'd now like to ask you some questions about your household's fish pond activities.

5. Are you the main decision-maker for fish pond activities?

5a. What is your relationship to the main decision-maker? Ex: If DM is FR's uncle, enter uncle, not nephew.

6. Did your household sell any of the output from fish pond activities in the last 12 months?

6a. How much did you receive in total in sales from fish pond activities during the last 12 months?

Currency:

7. How many hours did you work in total in fish pond activities in the last 7 days?

8. In total, how many people worked on fish pond activities over the last 12 months?

9. How many hours did members of your household – not including you – work in fish pond activities in the last 7 days?

10. In total, how many workers from outside the household (e.g. casual workers) to work on fish pond activities did you hire during the last 12 months?

11. How many hours did workers from outside the household work in fish pond activities during the last 7 days?

12. How much did you spend on salaries for workers from outside the household in this fish pond activities during the last 12 months?

Currency:

13. How much did your household spend on the following items for fish pond activities during the last 12 months?

b. Animal medicine

f. Formal agricultural insurance

Currency:

### Other Ag Activities

We'd now like to ask you some questions about your household's \${q2\_whatagoth} activities.

3. What is the total size of the land you used for \${q2\_whatagoth} in the last 12 months?

4. What crops have you grown in the last 12 months?

5. Are you the main decision-maker for \${q2\_whatagoth}?

5a. What is your relationship to the main decision-maker? Ex: If DM is FR's uncle, enter uncle, not nephew.
6. Did your household sell any of the output from \${q2_whatagoth} in the last 12 months?
6a. How much did you receive in total in sales from \${q2_whatagoth} during the last 12 months? If agriculture, include all crops, fruits and vegetables sold.
Currency:
7. How many hours did you work in total in \${q2_whatagoth} in the last 7 days?
8. In total, how many people worked on \${q2_whatagoth} over the last 12 months?
9. How many hours did members of your household – not including you – work in \${q2_whatagoth} in the last 7 days?
10. In total, how many workers from outside the household (e.g. casual workers) to work on \${q2_whatagoth} did you hire during the last 12 months?
11. How many hours did workers from outside the household work in \${q2_whatagoth} during the last 7 days?
12. How much did you spend on salaries for workers from outside the household in this \${q2_whatagoth} during the last 12 months?
Currency:
13. How much did your household spend on the following items for \${q2_whatagoth} during the last 12 months?
a. Tools and machinery (i.e plows, machetes, hoes, rental of tractors)
b. Animal medicine
c. Fertilizer
d. Irrigation
e. Improved/hybrid seeds
f. Formal agricultural insurance
Currency:
13. Did your household receive any instruction from an agricultural extension worker for \${q2_whatagoth} during the last 12 months?
Read: Now I want to ask you more specifically about the crops that you mentioned earlier.
Crops
Starting with the crop you produce the most, what is the number \${crop_pos} crop you produce?
Crops
16. During the last 12 months, how much \${spec_crop} did you produce?
units
17. Did you sell any of the output from \${spec_crop} in the last 12 months?

18. During the last 12 months, how much \${spec\_crop} did you sell? Try to get valuation both in amount of crop (i), and in Ksh (ii).

(i) Quantity amount sold:

units

SPECIFY OTHER:

(ii) Monetary value of crops sold (KSH):

19. In the last 12 months did you use any of the following for \${spec\_crop}::

a. Fertilizer

b. Irrigation

c. Improved / hybrid seeds

d. Formal agricultural insurance

20. Have you experienced any crop destruction in the past 12 months?

21. How much land (in acres) did you devote to farming \${spec\_crop} in the past 12 months? For tree crops, count the trunks plus the area between them. If it is too difficult to estimate, enter don't know.

21b. In the past 12 months, did you plant any other crops on the land devoted to farming \${spec\_crop}? (ie, intercropping or crop rotation)

22 Do not ask the following question, simply recording your impressions. Were the monetary values given in this table on crop sales valued in Kenyan shillings?

22a. If NO: List currency used for responses on crop sales.

End of section 7. FO comments:

## Section 8: Self-Employment

1. Other than in farming, is anyone in your household currently self-employed or running a business to earn a living?

Read: Now I would like to learn about each of the current businesses members of your household are running or the activities you are performing.

Read: I would like to remind you that all answers you give will be kept as confidential as possible, we're independent Organization and information won't have any effect on other programs.

1a. How many businesses or activities are your household running?

READ: Now I would like to learn about each of the current businesses members of your household are running or the activities you are performing while self-employed, starting with your household's current most important self-employment position.

### Current Business

READ: Now I'd like to ask you about your (next) business.

2. In what industry is this business?

3. Is this business located within your village?

3a. From where is this enterprise operated?

What household member is the main decision-maker for this enterprise?

4. How many hours did \${q3_hhmm} work in total in this business in the last 7 days?
5. In the last 12 months, what months did your household operate this business?
6. How many workers is this enterprise currently employing?
6a. How many of these workers live in your household?
6b How many of these workers started in the last 6 months?
6c. In the last month, what was the total amount of salary or wages paid to all workers?
7. What were your household's total earnings (money in only - do not subtract any expenses) from this business in the:
7a. Last month? If unsure, FR can estimate.
7b. Last 12 months?
Currency:
Read: I'd like to remind you that the data we collect here is entirely confidential, and will not be reported to the authorities.
8. Is the business licensed with the county government?
8a. How much did this license cost?
8b. For how many months in total is the license valid?
9. Is the business name registered with the government?
10. Is the business registered as a limited company?
11. What was your household's total profit from this business in the:
11a. Last month?
11b. Last 12 months?
Currency:
Business Start
12. In what month and year did your household start, purchase, or gain control of this business?
Month:
Year:
13. How much did your household have to invest in order to start, purchase or gain control of this business?
14. How did you obtain the resources your household initially invested in this business?
15. Does your household own the premises of your business?
15a. How much do you pay for rent per month?
16. Last month, how much did you spend, in this business, on:
a. Electricity and water?
b. Insurance?
c. Interest payments?
d. Purchases of goods for resale?
e. Purchases of inputs?

f. Repairs / maintenance, or rental of equipment?

g. Security?

h. Other operating costs, excluding salaries, wages, and rent?

Currency for question 16:

17. Last month, how much did you spend on:

a. NSSF / Health insurance?

b. Market fees?

c. Taxes or fees to the county government?

d. Taxes or fees to the national government?

f. Taxes, fees or fines to the chiefs/assistant chiefs/village elders?

g. Additional payments to government officials, police or other authorities in order to do business?

Currency for question 17:

18. Have you experienced any vandalism or theft from your household's business in the last 12 months?

18a. Explain:

18b. Value of lost / damaged items: Amount:

Currency:

19. Since \${BL\_date}, have your household ever closed, sold or transferred control of a business?

Read: I would like to learn about the history of businesses you and your household have closed, sold or transferred control of since \${BL\_date}.

19a. How many businesses have you and your household closed, sold or transferred control of since \${BL\_date}?

Past Business

Close, sell or transfer date

20. When did your household most recently close, sell or transfer control of a business \${f31}?

Month:

Year:

21. Did your household close, sell or transfer control of the business \${f31}?

Currency for sale \${f31}

21a. For what amount did your household sell the business \${f31}?

21b. To whom did your household transfer or sell the business \${f31}?

22. Why did your household choose to close, sell or transfer control of your business \${f31}?

23. In what industry was this business \${f31}?

24. In the typical month your household had this business \${f31}, what was the total profit, in shillings?

25. What were your household's total earnings (money in only – do not subtract expenses) from this business \${f31} in the typical month that you had it?
26. What were your household's total costs (including wages to workers, rent, and all other costs) associated with this business \${f31} in the typical month that you had it?
25. In the typical month, how many employees did your household have in the business \${f31} at any one time?
27. In what month and year did your household start, purchase or gain control of this business \${f31}?
Month:
Year:
(Do not read): 28. Did the respondent receive assistance answering question in this section?
29. From which household member(s) did the FR receive assistance?
End of section 8. FO comments:
<b>Section 9: Employment</b>
1. Are any members of your household currently employed, working for pay?
1a. Are any members of your household currently working as a volunteer, intern or an attachment, with either no pay or only occasional pay?
Read: Now I would like to learn about what jobs members of your household currently hold, including both paid and unpaid jobs (and internships and attachments), starting with your household's most important position. Please count as a job any work for pay on another person's farm. Please do not include self-employment positions in your answer.
Read: I would like to remind you that all answers you give will be kept as confidential as possible, we're independent Organization and information won't have any effect on other programs.
1b. How many current jobs does your household work?
<b>Current employed position repeat group</b>
1c. What household member is employed in this position?
2. In what month and year did \${q2a_hhmemp} start this job?
3. In what occupation is this work?
4. In what industry is this work?
5. In this position, what is \${q2a_hhmemp}'s employment status?
6. This position's working patterns could be best described as:
6a. In which months did \${q2a_hhmemp} work during the last 12 months?
7. How many hours did \${q2a_hhmemp} work at this job during the last 7 days?
8. Approximately how many other employees work at this place / business where \${q2a_hhmemp} works?
9. What is / was the amount of \${q2a_hhmemp}'s cash salary for the last month?
10. What is/ was the amount \${q2a_hhmemp} paid in income taxes for the last month?
11. For the last month at this job, what was the total value of \${q2a_hhmemp}'s:
11a. payment in kind in food?

11b. NSSF / health insurance?

11c. housing benefits?

11d. uniforms / clothing benefits?

11e. training allowance?

11f. other allowances and benefits?

Currency for question 11:

No questions 12-18.

19. Are members of your household currently looking for a job, or another job? This includes those who are working but who are trying to find additional work.

20. Why not?

21. During the last 7 days, how many hours did members of your household spend actively searching for jobs, applying for jobs, or in interviews?

Unit for question 21a:

22. During the last 7 days, what did members of your household do to try to get a job, or another job?  
List up to 4.

23. Since \${BL\_date}, have members of your household held any other positions, working for someone else?

23a. Since \${BL\_date}, have you held any other work as a volunteer, intern or attachment for someone else, with either no pay or only occasional pay? This includes working voluntarily for a relative who is not a member of the FR's household.

If past employment:

Now I would like to learn about the history of jobs your household has held since \${BL\_date}, including both paid and unpaid jobs. Other than any jobs you have already described, please describe the next most recent job you have held.

23b. How many jobs have your household held since \${BL\_date}, including both paid and unpaid jobs?

Now I'd like to ask you about your household's \${jobs\_rep} most recent jobs, starting from the most recent.

Past employment repeat group

23c. Which member of the household was employed in this position?

24. In what occupation was this work?

25. In what industry was this work?

26. In what month and year did \${q24a\_hhmpast} start this job?

Month:

Year:
27. In what month and year did \${q24a_hhmpast} leave this job?
Month:
Year:
28. How did \${q24a_hhmpast} come to learn about this job opportunity?
SPECIFY OTHER:
29. In this position, what was \${q24a_hhmpast}'s employment status?
30. This position's working pattern could be best described as
31. How many hours did \${q24a_hhmpast} work at this job during the last 7 days \${q24a_hhmpast} was employed there?
32. What was the amount of \${q24a_hhmpast}'s cash salary for the last month \${q24a_hhmpast} worked at this job?
33. What was the total value of the benefits and payment in kind \${q24a_hhmpast} received during the last month \${q24a_hhmpast} worked at this job?
Currency type for salary and benefits
34. Why did \${q24a_hhmpast} leave this work?
35. (Do not read): Did the respondent receive assistance answering question in this section?
36. From which household member(s) did the FR receive assistance?
End of section 9. FO comments:
<b>Section 10: Savings, Credit and Community Contributions</b>
0. Do you or someone in your household have an M-Pesa/mobile money account?
0a. When did you or someone in your household start an M-Pesa/mobile money account?
Month:
Year:
0b. Did you have an M-Pesa account before \${BL_date}?
1. Do you have any type of account in a bank?
1a. Do you have a savings account in a bank?
2. Do you participate in a SACCO?
2a. What was your SACCO contribution last month?
Currency:
3. Do you participate in a merry-go-round or ROSCA?
3a. How many different merry-go-rounds or ROSCAs do you participate in?
3b. What is the total amount of merry-go-round / ROSCA contributions that you made last month?Ksh

Currency:	
3c. In the past 12 months, have you taken any loans from a merry-go-round or ROSCA?	
3d. What is the total amount of loans you took from a merry-go-round or ROSCA in the past 12 months?	
Currency:	
3e. What was the purpose of those loans? (select up to 3)	
3f. How much interest was charged on the most recent loan you took from a Merry-go-round or ROSCA? Amount:	
Unit of time:	
Unit:	
3h. By when are/were you supposed to pay back the loan?	
3i. Are you currently in default on this loan?	
3j. In the past 12 months, did you ask for a loan from a merry-go-round or ROSCA but not get it?	
4. In the past 12 months, have you taken any loans from a commercial bank or commercial lender?	
4a. What is the total amount of loans you took from commercial banks or commercial lenders in the past 12 months?	
Currency:	
4b. What was the purpose of those loans? (select up to 3)	
4c. How much interest was charged on the most recent loan you took from a commercial bank or commercial lender? Amount:	
Unit of time:	
Unit:	
4d. By when are/were you supposed to pay back the loan?	
4e. Are you currently in default on this loan?	
4f. In the past 12 months, did you apply for a loan from a commercial bank or commercial lender but not get it?	
5. In the past 12 months, have you taken any loans from a shylock (moneylender)?	
5a. What is the total amount of loans you took from shylocks (moneylenders) in the past 12 months?	
Currency:	
5b. What was the purpose of those loans? (select up to 3)	
5c. How much interest was charged on the most recent loan you took from a shylock (moneylender)?	
Unit of time:	
Unit:	

5d. By when are/were you supposed to pay back the loan?

5e. Did you ask for a (another) loan from a shylock (moneylender) in the past 12 months but not get it?

6. In the past 12 months, have you taken any loans (i.e. borrowed money) from M-Shwari?

6a. What is the total amount of loans you took from M-Shwari in the past 12 months?

Currency:

6b. What was the purpose of those loans? (select up to 3)

What is your current Mshwari loan limit?

6c. How much interest was charged on the most recent loan you took from M-Shwari?

Unit of time:

Unit:

6d. By when are/were you supposed to pay back the loan?

6e. Did you ask for a (another) loan from M-Shwari in the past 12 months but not get it?

7. In the past 12 months, have you ever borrowed money from someone else outside your household?

7a. What is your relationship to those people?

7b. What is the total amount you borrowed from friends or from relatives outside your household in the past 12 months?

Currency:

7c. What was the purpose of that borrowing? (select up to 3)

7d. How much interest was charged on the most recent loan you took from someone else outside your household?

Unit of time:

Unit:

7e. By when are/were you supposed to pay back the loan?

7f. Did you ask for a (another) loan from someone else outside your household in the past 12 months but not get it?

8. In the past 12 months, have you ever lent money to someone outside your household? By lending, I mean that you gave money to someone that you have received back or are expecting to receive back at some point in the future.

8a. What is your relationship to those people?

8b. What is the total amount you lent to people outside your household in the past 12 months? Amount:

8c. How much interest did you charge on the most recent loan you gave to someone outside your household?

Unit of time:

Unit:

8d. By when is / was this person supposed to pay back the loan?

8e. Did someone ask for a loan in the past 12 months but you did not give it?

### Section 10.1

1. Are any members of your household a member of any of the following groups?

a. A women's/men's group?

b. A farmer/ agricultural group?

c. A youth group?

d. A water group/ well committee?

e. A religious study group?

f. A burial committee?

g. A school committee or club?

h. A sport team?

i. Another community group?

Describe another community group:

We know that public facilities and infrastructure can be important for development and communities. I'd like you to think back 2 years ago.

2. Imagine that, 2 years ago, you had KSH 50,000 to spend on a development project for your village \${village\_name} of your choice. On what type of project would you spend it?

FO: Read options

Please specify other project:

2a. Would you spend the KSH 50,000 on constructing new \${calc\_s10\_2} or improving/maintaining existing \${calc\_s10\_2}?

3. Now, please think of today. Imagine that, today, you had KSH 50,000 to spend on a development project for your village \${village\_name} of your choice. On what type of project would you spend it?

FO: Read options

Please specify other project:

3a. Would you spend the KSH 50,000 on constructing new \${calc\_s10\_4} or improving/maintaining existing \${calc\_s10\_4}?

4. Now I'd like you to think about the water points that your household uses. How would you rate the quality of these water points?

5. Now I'd like you to think about the feeder roads, bridges and footpaths within this village your household uses. How would you rate the quality of these feeder roads, bridges and footpaths?

6. Now I'd like you to think about the nearest public health clinic/dispensary. How would you rate the quality of the nearest public health clinic/dispensary?

Now I'd like to ask you some questions about your households contributions to public goods. We know that sometimes village elders or assistant chiefs give households targets for contributions, and that sometimes households are able to meet these targets and other times they are not.

7. Have households in this village been given any targets for contributions for the construction, improvement and maintenance of water points in the last 12 months? This could be money contribution, labor or in-kind contributions.
8. What was the total target for your household for all collections for the construction, improvement and maintenance of water points in the last 12 months?
9. Have any members of your household contributed money, labor or in-kind to the construction, maintenance or improvement of any water points in the last 12 months?
10. How much money in total have members of your household contributed towards targets for any water points in the last 12 months?
11. Were there any harambees for water points that your household participated in in the past 12 months?
12. How many harambees for water points did your household participate in in the last 12 months?
13. How much in total did your household contribute in cash and/or materials (in-kind) to harambees for water points in the last 12 months?
14. Did your household provide any extra labor for any of these harambees for water points in the last 12 months?
15. How many hours of extra labor did your household provide in total for these harambees in the last 12 months?
16. Did you make any other contributions in terms of money, labor or in-kind to the construction, maintenance or improvement of any water points in the last 12 months? Select all that apply.
17a. How much money did your household contribute to water points in the last 12 months? (KSh)
17b. How many hours did members of your household work on water points in the last 12 months?
17c. What is the value of your household's in-kind contribution to water points in the last 12 months? (KSH) BY in-kind contribution, we mean contribution of materials. Please estimate the value of the materials in KSH.
<b>FEEDER ROADS</b>
7. Have households in this village been given any targets for contributions for the construction, improvement and maintenance of feeder roads, footpaths or bridges in the last 12 months? This could be money contribution, labor or in-kind contributions.
8. What was the total target for your household for all collections for the construction, improvement and maintenance of feeder roads, footpaths or bridges in the last 12 months?
9. Have any members of your household contributed money, labor or in-kind to the construction, maintenance or improvement of any feeder roads, footpaths or bridges in the last 12 months?
10. How much money in total have members of your household contributed towards targets for any feeder roads, footpaths or bridges in the last 12 months?
11. Were there any harambees for feeder roads, footpaths or bridges that your household participated in in the past 12 months?
12. How many harambees for feeder roads, footpaths or bridges did your household participate in in the last 12 months?
13. How much in total did your household contribute in cash and/or materials (in-kind) to harambees for feeder roads, footpaths or bridges in the last 12 months?
14. Did your household provide any extra labor for any of these harambees for feeder roads, footpaths or bridges in the last 12 months?
15. How many hours of extra labor did your household provide in total for these harambees in the last 12 months?

16. Did you make any other contributions in terms of money, labor or in-kind to the construction, maintenance or improvement of any feeder roads, footpaths or bridges in the last 12 months? Select all that apply.
17a. How much money did your household contribute to feeder roads, footpaths or bridges in the last 12 months? (KSh)
17b. How many hours did members of your household work on feeder roads, footpaths or bridges in the last 12 months?
17c. What is the value of your household's in-kind contribution to feeder roads, footpaths or bridges in the last 12 months? (KSH) BY in-kind contribution, we mean contribution of materials. Please estimate the value of the materials in KSH.
<b>HEALTH CLINICS / DISPENSARIES</b>
7. Have households in this village been given any targets for contributions for the construction, improvement and maintenance of health clinics or dispensaries in the last 12 months? This could be money contribution, labor or in-kind contributions.
8. What was the total target for your household for all collections for the construction, improvement and maintenance of health clinics or dispensaries in the last 12 months?
9. Have any members of your household contributed money, labor or in-kind to the construction, maintenance or improvement of any health clinics or dispensaries in the last 12 months?
10. How much money in total have members of your household contributed towards targets for any health clinics or dispensaries in the last 12 months?
11. Were there any harambees for health clinics or dispensaries that your household participated in in the past 12 months?
12. How many harambees for health clinics or dispensaries did your household participate in in the last 12 months?
13. How much in total did your household contribute in cash and/or materials (in-kind) to harambees for health clinics or dispensaries in the last 12 months?
14. Did your household provide any extra labor for any of these harambees for health clinics or dispensaries in the last 12 months?
15. How many hours of extra labor did your household provide in total for these harambees in the last 12 months?
16. Did you make any other contributions in terms of money, labor or in-kind to the construction, maintenance or improvement of any health clinics or dispensaries in the last 12 months? Select all that apply.
17a. How much money did your household contribute to health clinics or dispensaries in the last 12 months? (KSh)
17b. How many hours did members of your household work on health clinics or dispensaries in the last 12 months?
17c. What is the value of your household's in-kind contribution to health clinics or dispensaries in the last 12 months? (KSH) BY in-kind contribution, we mean contribution of materials. Please estimate the value of the materials in KSH.
<b>OTHER FACILITIES</b>
7. Have households in this village been given any targets for contributions for the construction, improvement and maintenance of any other public infrastructure or facilities (market centers, cattle dips, libraries, meeting halls, or any other) in the last 12 months? this could be money contribution, labor or in-kind contributions.

8. What was the total target for your household for all collections for the construction, improvement and maintenance of any other public infrastructure or facilities (market centers, cattle dips, libraries, meeting halls, or any other) in the last 12 months?
9. Have any members of your household contributed money, labor or in-kind to the construction, maintenance or improvement of any other public facilities or public infrastructure in the last 12 months?
9a. What public facilities or infrastructure:
10. How much money in total have members of your household contributed towards targets for any other public facilities or public infrastructure in the last 12 months?
11. Were there any harambees for any other public facilities or public infrastructure that your household participated in in the past 12 months?
12. How many harambees for any other public facilities or public infrastructure did your household participate in in the last 12 months?
13. How much in total did your household contribute in cash and/or materials (in-kind) to harambees for any other public facilities or public infrastructure in the last 12 months?
14. Did your household provide any extra labor for any of these harambees for any other public facilities or public infrastructure in the last 12 months?
15. How many hours of extra labor did your household provide in total for these harambees in the last 12 months?
16. Did you make any other contributions in terms of money, labor or in-kind to the construction, maintenance or improvement of any any other public facilities or public infrastructure in the last 12 months? Select all that apply.
17a. How much money did your household contribute to any other public facilities or public infrastructure in the last 12 months? (KSh)
17b. How many hours did members of your household work on any other public facilities or public infrastructure in the last 12 months?
17c. What is the value of your household's in-kind contribution to any other public facilities or public infrastructure in the last 12 months? (KSH) BY in-kind contribution, we mean contribution of materials. Please estimate the value of the materials in KSH.
18. Have you contributed to any harambees in the past 12 months? Do not include harambees for water points, feeder roads, health clinics/dispensaries, or other public facilities that we have already discussed.
18a. How many harambees have you contributed to in the past 12 months?
18b. What were these harambees for?
Other choice for purpose
sec_10_51
19. How much did you contribute for \${sec_10_53} ?
19a. Amount of any additional harambee contributions for \${sec_10_53} :
20. In the past 12 months, did you make any contributions in money, labor or in-kind to a church, mosque or other religious group? Do not include any contributions via harambees that have already been captured in the previous question.
20a. What was the total value of your money + in-kind contribution in the last 12 months? (ksh)
20b. How many hours did you work on projects for this religious group in the last year? (hours)
21. In the past 12 months, did you make any other contributions that we have not yet asked about?
22a. How many other projects/causes have you contributed to?

22b. What were these contributions for?
Other reasons for contribution
23. How much did you contribute for \${sec_10_64a} ?
23a. Amount of any additional contributions for \${sec_10_64a} :
24. In the last 12 months, did you pay any taxes, fees or fines to the village elder, assistant chief or chief? Do not include contributions towards targets that have already been discussed.
25a. How much did you pay any taxes or fees in the past 12 months? (Ksh) Do not include contributions towards targets that have already been discussed.
25b. How much did you pay in fines in the past 12 months? (Ksh)
26. In the last 12 months, have you worked on any community projects at the direction of a village elder, assistant chief, chief or other local authority?
27a. how many hours of work did you put into these projects in the last 12 months?
27b. Was this for a public facility/infrastructure that we already asked you about?

## Section 12: Consumption

Now I would like to ask you questions about how your household spent money in the past few months, regardless of which person made them. Please exclude from your answer any food purchased for processing, livestock consumption, or resale in a household enterprise.

First, I would like to ask you some questions about food consumption that you eat at home.

### Cereals

Now I'd like to ask you questions about the total amount of cereals consumed by your household.

1. What was the amount of cereals consumed in total by your household in the past 7 days (KSH)?

FO: read list of cereals and calculate total.

Cereals: rice, maize, all grains and flours, oats, pasta, biscuits and cakes, bread. Include grains used for food or alcohol.

Now I'd like to ask you some more detailed questions about some of the cereals your household has consumed.

2. Has your household consumed any of the following cereals in the past 12 months?

3. Has your household grown or produced any of the following cereals during the past 12 months?

### Cereals consumed

4. How much of \${calc\_c13} have the members of your household PURCHASED in the last 7 days?

QUANTITY:

Please select units

### SPECIFY OTHER UNIT:

5. How much did members of your household spend on \${calc\_c13} in the last 7 days?

KSH

6. During the last 12 months how many months was your household consuming \${calc\_c13} that your household grew or produced?

7. During these \${c17} months that your household grew or produced \${calc\_c13}, how much of your household's own production did your household consume in a typical week?

Please select units

SPECIFY OTHER UNIT:

8 How many months in the past 12 months did your household purchase \${calc\_c13} ?

9. How much does your household usually spend on \${calc\_c13} in a typical week of the months that your household purchases \${calc\_c13}?

Please select units

SPECIFY OTHER UNIT:

10. What is the total amount of the \${calc\_c13} consumed that your household received as a gift in the past 12 months?

Please select units

SPECIFY OTHER UNIT:

Cereals consumed

Roots and Tubers

Now I would like to ask you about the total amount of roots and tubers consumed by your household.

1. What was the amount of roots and tubers in total consumed by your household in the past 7 days (KSH)?

FO: read list of roots and tubers and calculate total.

Roots and tubers: Irish potatoes, sweet potatoes, cassava, cassava flour, yams, arrow root, crisps.

Now I'd like to ask you some more detailed questions about some of the roots and tubers you consume.

2. Has your household consumed Irish potatoes during the past 12 months?

3. Has your household grown or produced Irish potato during the past 12 months?

Irish Potato

4. How much of Irish potatoes have the members of your household PURCHASED in the last 7 days?

QUANTITY:

Please select units

SPECIFY OTHER UNIT:

5. How much did members of your household spend on irish potatoes in the last 7 days?

KSH

6. During the last 12 months how many months was your household consuming Irish potatos that your household grew or produced?

7. During these \${c48} months that your household grew or produced Irish potatoes, how much of your household's own production did your household consume in a typical week?

Please select units

SPECIFY OTHER UNIT:

8. How many months in the past 12 months did your household purchase Irish potatoes?

9. How much does your household usually spend on Irish potatoes in a typical week of the months that your household purchases ?

Please select units

SPECIFY OTHER UNIT:

10. What is the total amount of the Irish potatoes consumed that your household received as a gift in the past 12 months?

Please select units

SPECIFY OTHER UNIT:

Pulses

Now I would like to ask you questions about the total amount of pulses consumed by your household.

1. What was the amount of pulses consumed in total by your household in the past 7 days (KSH)?

FO: Read list of pulses and calculate total

Beans, grams, black grams, peas, groundnut, cowpea

Now I'd like to ask you some more detailed questions about some of the pulses your household has consumed.

2. Has your household consumed any of the following Pulses in the past 12 months?

3. Has your household grown or produced any of the following pulses during the past 12 months?

Pulses by Item

4. How much of \${c76} have the members of your household PURCHASED in the last 7 days?

QUANTITY:

Please select units

SPECIFY OTHER UNIT:

5. How much did members of your household spend on \${c76} in the last 7 days? KSH

6. During the last 12 months how many months was your household consuming \${c76} that your household grew or produced?

7. During these months that your household grew or produced \${c76}, how much did your household consume in a typical week?

Please select units

SPECIFY OTHER UNIT:

8. How many months in the past 12 months did your household purchase \${c76} ?

9. How much does your household usually spend on \${c76} in a typical week of the months that your household purchases \${c76}?

Please select units

SPECIFY OTHER UNIT:

10. What is the total amount of the \${c76} consumed that your household received as a gift in the past 12 months?

Please select units

SPECIFY OTHER UNIT:

Pulses by Item

Vegetables

Now I would like to ask you questions about the total amount of vegetables consumed by your household.

1. What was the amount of vegetables consumed in total by your household in the past 7 days (KSH)?

FO: read list of vegetables and calculate total

Cowpea leaves, Tomatoes, Onions, Kales, Cabbage, Mrenda, (Local Vegetable), Saka (Local Vegetable)

Now I'd like to ask you some more detailed questions about some of the vegetables your household has consumed.

2. Has your household consumed any of the following Vegetables in the past 12 months?

3. Has your household grown or produced any of the following vegetables during the past 12 months?

#### Vegetables by Item

4. How much of \${c111} have the members of your household PURCHASED in the last 7 days?

QUANTITY:

Please select units

#### SPECIFY OTHER UNIT:

5. How much did members of your household spend on \${c111} in the last 7 days? KSH

6. During the last 12 months how many months was your household consuming \${c111} that your household grew or produced?

7. During these months that your household grew or produced \${c111}, how much did your household consume in a typical week?

Please select units

#### SPECIFY OTHER UNIT:

8. How many months in the past 12 months did your household purchase \${c111} ?

9. How much does your household usually spend on \${c111} in a typical week of the months that your household purchases ?

Please select units

#### SPECIFY OTHER UNIT:

10. What is the total amount of the \${c111} consumed that your household received as a gift in the past 12 months?

Please select units

#### SPECIFY OTHER UNIT:

#### Vegetables by Item

#### Meat

Now I would like to ask you questions about the total amount of meat consumed by your household.

1. What was the amount of meat consumed in total by your household in the past 7 days (KSH)?

FO: Read the list of meat and calculate total

Beef, pork, bacon, mutton/lamb, goat, chicken, camel

Now I'd like to ask you some more detailed questions about meat your household consumes.

2. Has your household consumed any of the following Meat in the past 12 months?

3. Has your household grown or produced any of the following meat during the past 12 months?

**Meat**

4. How much of \${c146} have the members of your household PURCHASED in the last 7 days?

QUANTITY:

Please select units

**SPECIFY OTHER UNIT:**

5. How much did members of your household spend on \${c146} in the last 7 days? KSH

6. During the last 12 months how many months was your household consuming \${c146} that your household grew or produced?

7. During these months that your household grew or produced \${c146}, how much did your household consume in a typical week?

Please select units

**SPECIFY OTHER UNIT:**

8. How many months in the past 12 months did your household purchase \${c146} ?

9. How much does your household usually spend on \${c146} in a typical week of the months that your household purchases ?

Please select units

**SPECIFY OTHER UNIT:**

10. What is the total amount of the \${c146} consumed that your household received as a gift in the past 12 months?

Please select units

**SPECIFY OTHER UNIT:**

**Meat by Item**

Now I would like to ask you questions about the total amount of fish consumed by your household.

1. What was the amount of fish consumed in total by your household in the past 7 days (KSH)?

FO: Read that Fish includes fresh, dried, frozen, smoked, omena

**Dairy and Eggs**

Now I would like to ask you questions about the total amount of dairy products and eggs consumed by your household.

1. What was the amount of dairy products and eggs consumed in total by your household in the past 7 days (KSH)?

FO: Read the list of dairy products and eggs and calculate total

Milk (fresh, condensed), mala, yoghurt, cream, cheese, eggs

Now I would like to ask you more detailed questions about the dairy products and eggs consumed by your household.

2. Has your household consumed Eggs during the past 12 months?

3. Has your household produced Eggs during the past 12 months?

**Eggs**

4. How much of Eggs have the members of your household purchased in the last 7 days? QUANTITY:

Please select units

SPECIFY OTHER UNIT:

5. How much did members of your household spend on eggs in the last 7 days? KSH
6. During the last 12 months how many months was your household consuming Eggs that your household produced?
7. During these months that your household produced Eggs, how much did your household consume in a typical week?

Please select units

SPECIFY OTHER UNIT:

8. How many months in the past 12 months did your household purchase Eggs ?
9. How much does your household usually spend on Eggs in a typical week of the months that your household purchases ?

Please select units

SPECIFY OTHER UNIT:

10. What is the total amount of the Eggs consumed that your household received as a gift in the past 12 months?

Please select units

SPECIFY OTHER UNIT:

Eggs

Now I would like to ask you questions about total amount of internal organs and other animal products consumed by your household.

1. What was the amount of other animal products consumed in total by your household in the past 7 days (KSH)?

FO: Read list of other animal products and calculate total

Offals/Matumbo (kidney, liver, etc.), Sausages, Ham/Salami, Corned beef

Oils and Fats

Now I'd like to ask you questions about the total amount of oils and fats consumed by your household.

1. What was the amount of oils and fats consumed in total by your household in the past 7 days (KSH)?

FO: Read list of oils and fats and calculate total

01 Butter 02 Ghee 03 Margarine 04 Cooking fat 05 Cooking oil 06 Lard (Animal fat) 07 Peanut butter

Now I'd like to ask you some more detailed questions about the oils and fats consumed by your household.

2. Has your household consumed cooking fat in the past 12 months?

3. Has your household produced cooking fat in the past 12 months?

Cooking Fat

4. How much of cooking fat have the members of your household purchased in the last 7 days?

QUANTITY:

Please select units

SPECIFY OTHER UNIT:

5. How much did members of your household spend on cooking fat in the last 7 days? KSH

6. During the last 12 months how many months was your household consuming cooking fat that your household grew or produced?

7. During these \${c183} months that your household grew or produced cooking fat, how much of your household's own production did your household consume in a typical week?

Please select units

SPECIFY OTHER UNIT:

8. How many months in the past 12 months did your household purchase cooking fat?

9. How much does your household usually spend on cooking fat in a typical week of the months that your household purchases ?

Please select units

SPECIFY OTHER UNIT:

10. What is the total amount of the cooking fat consumed that your household received as a gift in the past 12 months?

Please select units

SPECIFY OTHER UNIT:

Cooking Fat

Fruits

Now I'd like to ask you questions about the total amount of fruits consumed by your household.

1. What was the amount of fruits consumed in total by your household in the past 7 days (KSH)?

FO: Read list of fruits and calculate total

Ripe bananas, cooking bananas, oranges, pawpaws, avocado, mangos, pineapples, passion fruit, pears, plums, apples, lemons, grapefruit, strawberries, other berries, melons, grapes, coconuts, jackfruit

Now I'd like to ask you some more detailed questions about some of the fruits your household has consumed.

2. Has your household consumed any of the following fruits in the past 12 months?

3. Has your household grown or produced any of the following fruits during the past 12 months?

Fruits by Item

4. How much of \${c204} have the members of your household purchased in the last 7 days?

QUANTITY:

Please select units

SPECIFY OTHER UNIT:

5. How much did members of your household spend on \${c204} during the last 7 days? KSH

6. During the last 12 months how many months was your household consuming \${c204} that your household grew or produced?

7. During these months that your household grew or produced \${c204}, how much did your household consume in a typical week?

Please select units

SPECIFY OTHER UNIT:

8. How many months in the past 12 months did your household purchase \${c204} ?

9/ How much does your household usually spend on \${c204} in a typical week of the months that your household purchases \${c204}?

Please select units

**SPECIFY OTHER UNIT:**

10. What is the total amount of the \${c204} consumed that your household received as a gift in the past 12 months?

Please select units

**SPECIFY OTHER UNIT:**

Fruits by Item

Sugar and Sugar Products

Now I'd like to ask you questions about the total amount of sugar and sugar products consumed by your household.

1. What was the amount of sugar and sugar products consumed in total by your household in the past 7 days (KSH)?

FO: Read list of sugar and sugar products and calculate total

Sugar, sugar cane, jaggery, icing sugar

Now I'd like to ask you some more detailed questions about some of the sugar you consume.

2. Has your household consumed sugar in the past 12 months?

3. Has your household grown or produced Sugar during the past 12 months?

Sugar

4. How much of sugar have the members of your household purchased in the last 7 days? QUANTITY:

Please select units

**SPECIFY OTHER UNIT:**

5. How much did members of your household spend on sugar in the last 7 days?

6. During the last 12 months how many months was your household consuming sugar that your household grew or produced?

7. During these months that your household grew or produced sugar, how much did your household consume in a typical week?

Please select units

**SPECIFY OTHER UNIT:**

8. How many months in the past 12 months did your household purchase sugar ?

9. How much does your household usually spend on sugar in a typical week of the months that your household purchases ?

Please select units

**SPECIFY OTHER UNIT:**

10. What is the total amount of the sugar consumed that your household received as a gift in the past 12 months?

Please select units

**SPECIFY OTHER UNIT:**

Sugar

Now I'd like to ask you questions about the total amount of jam, honey, sweets and candies consumed by your household.

1. What was the amount of Jam, honey, sweets, candies consumed in total by your household in the past 7 days (KSH)?

FO: Read list of jam, honey, sweets and candies and calculate total  
Jam, marmelade, honey, chocolate, sweets, chewing gum, candy

#### Non-Alcoholic Drinks

Now I'd like to ask you questions about the total amount of non-alcoholic drinks consumed by your household.

1. What is the amount of non-alcoholic drinks consumed in total by your household in the past 7 days (KSH)?

FO: Read list of non-alcoholic drinks and calculate total

Preserved fruit juice, tea, coffee, soda, soya drink, health drink, drinking chocolate, mineral water

Now I'd like to ask you some more detailed questions about the non-alcoholic drinks your household has consumed.

2. Has your household consumed tea or coffee in the past 12 months?

3. Has your household grown or produced Tea or Coffee during the past 12 months?

#### Tea and Coffee

4. How much of Tea and Coffee have the members of your household purchased in the last 7 days?

#### QUANTITY

Please select units

#### SPECIFY OTHER UNIT:

5. How much did members of your household spend on tea and coffee in the last 7 days? KSH

6. During the last 12 months how many months was your household consuming Tea and Coffee that your household grew or produced?

7. During these months that your household grew or produced Tea and Coffee, how much did your household consume in a typical week?

Please select units

#### SPECIFY OTHER UNIT:

8. How many months in the past 12 months did your household purchase Tea and Coffee?

9. How much does your household usually spend on Tea and Coffee in a typical week of the months that your household purchases ?

Please select units

#### SPECIFY OTHER UNIT:

10. What is the total amount of the Tea and Coffee consumed that your household received as a gift in the past 12 months?

Please select units

#### SPECIFY OTHER UNIT:

#### Tea and Coffee

11. What was the amount of Alcoholic drinks consumed in total by your household in the past 7 days (KSH)?

Spirits, wine, beer, brews (busaa, changaa), cider

12. What was the amount of Tobacco, cigarettes, bhang, snuff, khatt, miraa consumed in total by your household in the past 7 days (KSH)?

13. What was the amount of Salt, pepper, spices and condiments consumed in total by your household in the past 7 days (KSH)?

14. What was the amount of Food eaten outside the house like vendor food, kiosk food, hotel/restaurant food, care/takeaway consumed in total by your household in the past 7 days (KSH)?

14a. What was the total amount of other foods consumed in total by your household in the past 7 days (KSH)? Other foods include tinned beans or pulses, soups, tinned fish, baby food

FO NOTE: The following questions ask about spending in the past one month.

15. In the past one month, How much did your household spend on Airtime, other phone expenses in total (KSH)?

16. In the past one month, How much did your household spend on internet expenses in total (KSH)?

17. In the past one month, How much did your household spend on travel, transport and hotels (NOT including medical reasons) in total (KSH)?

FO: Read list of travel and transport expenses, calculate total

Petrol, tolls, transport such as taxi/bus/matatu/boda/piki/train/flight fare, hotel stays

18. In the past one month, How much did your household spend on Lottery tickets/gambling in total (KSH)?

19. In the past one month, How much did your household spend on Clothing and shoes in total (KSH)?

20. In the past one month, How much did your household spend on Recreation/entertainment such as books/magazines, music/CDs, videos, tickets to any entertainment in total (KSH)?

21. In the past one month, How much did your household spend on Personal items such as Hair cuts, toiletries, cosmetics, combs, soap in total (KSH)?

22. In the past one month, How much did your household spend on Household items (soap, cleaning agents, toilet paper/tissues, air freshener, shoe polish, insecticide, matches, candles) in total (KSH)?

23. In the past one month, How much did your household spend on Firewood, charcoal and kerosene in total (KSH)?

24. In the past one month, How much did your household spend on Electricity in total (KSH)?

25. In the past one month, How much did your household spend on Water in total (KSH)?

FO NOTE: The following questions ask about spending in the past 12 months.

26. In the past 12 months, How much did your household spend on House rent/mortgage in total (KSH)?

27. In the past 12 months, How much did your household spend on Fixing home damage or doing essential maintenance (e.g. fixing a leaking roof) in total (KSH)?

28. In the past 12 months, How much did your household spend on improving or expanding the home in total (KSH)?

29. In the past 12 months, How much did your household spend on Religious expenses or other ceremonies (excluding weddings and funerals) in total (KSH)?

30. In the past 12 months, How much did your household spend on Charitable donations in total (KSH)?

31. In the past 12 months, How much did your household spend on Weddings, Funerals (including outside their household if contributed to their costs) in total (KSH)?

32. In the past 12 month, How much did your household spend on Medical expenses, (including consultation fees, medicines, hospital costs, lab test costs, ambulance costs, and related transport) in total (KSH)?
33. In the past 12 months, How much did your household spend on Household durables (read list below, calculate total)

1 Furniture 2 Cutlery, pots, pans, plates 3 Lamps 4 Kitchen equipment 5 Vases and mirrors in total (KSH)?

34. In the past 12 months, How much did your household spend on Dowry/bride price in total (KSH)?

35. In the past 12 months, Did your household spend any money on other expenses greater than KSH 1000?

35a. Please specify this other expense

35b. How much did you spend on \${exp\_29} in total in the last 12 months?

Now I'd like to ask you about your household's recent spending.

36. How much money did people in your household spend yesterday?

37. How much money did people in your household spend in the last week?

38. Have you made any major purchase recently?

39. What was the last major purchase you made?

39a. How much did it cost?

Section 12 FO Comments

#### Section 13: Attitudes

Read: I am now going to ask you about your opinions on a few statements, and I'd like you to tell me whether you agree or disagree with them.

FO NOTE: For the rest of the questions in part A of this section, read the questions EXACTLY AS WRITTEN. You may repeat any question as many times as you'd like, but do NOT rephrase any question or add additional comments or explanations. If the FR has trouble understanding the statement, please re-read but do not try to explain the question in a different manner.

#### Part A:

Possible responses for the following questions are:

Completely agree, Agree somewhat, Disagree somewhat, Completely disagree.

DO NOT READ: Neutral, Don't know, Refuse

1. The government should take measures to reduce differences in income levels.

2. Local leaders (chiefs, assistant chiefs, and village elders) should take measures to reduce differences in income levels within the village.

Read: For each of the following pairs of statements, tell me which statement is closest to your view.

Choose Statement A or Statement B.

"Possible responses: Agree very strongly with A, Agree with A, Agree with B, Agree very strongly with B

DO NOT READ: Agree with neither, Don't know, Refuse"

3. A. All households in a community should pay equal amounts for items that benefit the whole community.

B. Households that are able to pay more should pay more for goods that benefit the whole community.

Read: How would you place your views on this scale? 1 means you agree completely with the statement on the left; 10 means you agree completely with the statement on the right; and if your views fall somewhere in between, you can choose any number in between.

Show FR scale card.

4. Some people believe that people's incomes should be made more equal, while others believe that income differences are needed as an incentive for individual effort. Please tell me which comes closest to your view on this scale where 1 means "incomes should be made more equal" and 10 means "income differences should be larger as an incentive for individual effort".

5. Some people believe that the government should take more responsibility to ensure that everyone is provided for, while others believe that individuals should take more responsibility themselves to ensure that everyone is provided for. Please tell me which comes closest to your view on this scale where 1 means "government should take more responsibility to ensure that everyone is provided for" and 10 means "people should take more responsibility to ensure that everyone is provided for".

6. Some people believe that the communities should take more responsibility to ensure that everyone is provided for, while others believe that individuals should take more responsibility themselves to ensure that everyone is provided for. Please tell me which comes closest to your view on this scale where 1 means "communities should take more responsibility to ensure that everyone is provided for" and 10 means "individuals should take more responsibility to ensure that everyone is provided for".

7. Some people believe that people can only get rich at the expense of others, while others believe that wealth can grow so that there is enough for everyone. Please tell me which comes closest to your view on this scale where 1 means "people can only get rich at the expense of others" and 10 means "wealth can grow so that there is enough for everyone".

#### Part B:

The following questions ask about taxes. We are interested in the amount that you think people **SHOULD** pay, not necessarily the amount that they actually pay or currently pay under the current system.

8a. How much do you think someone that earns 5,000 Ksh per month should pay in total taxes per month?

Taxes (Ksh per month):

8b. And what about someone that earns 10,000 Ksh per month should pay in total taxes?

Taxes (Ksh per month):

8c. And what about someone that earns 20,000 Ksh per month?

Taxes (Ksh per month):

8d. And what about someone that earns 40,000 Ksh per month?

Taxes (Ksh per month):

Read: In the next section, I want to know your feelings about education and health care. I will read some sentences and then ask you whether you agree or disagree with them.

9. Children learn a lot more in private primary schools than in public primary schools today.

Note: This statement refers to children in general, not necessarily the FR's own children.

10. Patients get much better care in private hospitals and health clinics than in public hospitals and health clinics today

Read: So far, we have been asking you about economic activities. Now, I would like to ask you about your social activities and your views on society.

11. Generally speaking, would you say that most people can be trusted or that you need to be very careful in dealing with people?

12a. In general, can you trust members of your tribe?
12b. In general, can you trust people of other tribes?
13a. In general, can you trust people of your church / mosque?
13b. In general, can you trust people of other churches / mosques?
14a. In general, can you trust people of your own village?
14b. In general, can you trust people of other villages?
<b>15. In the past 12 months, have you participated in any of the following :</b>
15a. political rallies (in support of a particular candidate or position)
15b. demonstrations, mass actions or protests
15c. discussions with friends or family about political issues
15d. political campaigning activities
<b>16. Will you be voting in the upcoming national elections that will be held next year?</b>
17. Which of these three statements is closest to your own opinion? Read statements aloud. Only one option should be chosen. 1 = Democracy is preferable to any other kind of government. 2 = In some circumstances, a non-democratic government can be preferable. 3 = For someone like me, it doesn't matter what kind of government we have.
18. Compared to two years ago, would you say that your own personal economic situation today is much the same, better, or worse?
19. In two years from now, do you think your own personal economic situation will be the same, better or worse?
20. Compared to two years ago, would you say that the performance of the county government today is the same, better or worse?
21. Compared to two years ago, would you say that the performance of the national government today is the same, better or worse?
22. Compared to two years ago, would you say that the performance of your Member of Parliament today is the same, better or worse?
23. Read: For each of the following pairs of statements, tell me which of the following statements is closest to your view about Kenyan politics? A. Only one political party should be allowed to stand for election and hold office. B. We need multiple parties who can stand for election and hold office.
24. Read: For each of the following pairs of statements, tell me which of the following statements is closest to your view about Kenyan politics? A. The use of violence is never justified in politics. B. In our country, it is sometimes necessary to use violence in support of a just cause.

25. Read: For each of the following pairs of statements, tell me which of the following statements is closest to your view about Kenyan politics?

A. In our country, it's okay to pay a bribe to a government official to encourage them.

B. It's wrong to pay a bribe to any government official.

26. Read: For each of the following pairs of statements, tell me which of the following statements is closest to your view about Kenyan politics?

A. As citizens, we should be more active in questioning the actions of our leaders.

B. In our country these days, we should show more respect for authority.

Read: Remember that this survey is confidential and that the information will be used for research purposes only. Ensure the FR's privacy for the following questions.

27. Have you ever been arrested?

**E-S**

**GE EFFECTS  
ENTERPRISE SURVEY MODULE  
Baseline**

VERSION: MARCH 2015 — ENGLISH

SURVEY ID
_____

## **SECTION 1. Pre-Information and Consent**

Greetings! You are about to begin the GE Effects Enterprises Survey. Please fill in the following questions before engaging the respondent.

1a. Interviewer name: (first) \_\_\_\_\_ / (surname) \_\_\_\_\_

1b. Interviewer ID: \_\_\_\_\_

1c. Enterprise ID (from the tracking sheet) \_\_\_\_\_

2a. Location \_\_\_\_\_

2b. Sub location \_\_\_\_\_

2c. Village \_\_\_\_\_

3a. Date of interview: (DD/MM/YYYY) \_\_\_\_\_

3b. Time start interview: (24 hr clock) \_\_\_\_\_

4. From where is this business operated? \_\_\_\_\_

5. Is this enterprise open? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue, if NO end the survey**

6. Who is providing information on this enterprise? (please select one from the list)

- Enterprise Owner/ Employee
- Neighbour
- Neighbouring shop
- Guide
- Village Elder
- Community Health Worker
- Direct family member (husband/wife, son/daughter, father/mother, brother/sister)
- Extended family member (aunt/uncle, cousin, etc)

7. Primary enterprise category: (*Use Business category codes*) |\_\_\_\_|

7a. What type of products does this enterprise typically sell? (*Use Product codes*) |\_\_\_\_|

8. Any secondary business categories? (*Use Business category codes*) |\_\_\_\_|

8a. What type of secondary products does this enterprise typically sell? (*Use Product codes*) |\_\_\_\_|

8b. What type of secondary non-food products does this enterprise typically sell? (*Use Product codes*) |\_\_\_\_|

9a. Of what material is the roof made? (*Use Material Codes – Roof*) |\_\_\_\_|

9b. Of what material are the walls made? (*Use Material Codes – Wall*) |\_\_\_\_|

9c. Of what material is the floor made? (*Use Material Codes – Floor*) |\_\_\_\_|

Great! We are set to go. When you are ready, please approach the respondent, introduce yourself, and begin the interview. After introducing yourself but prior to reading the full consent, please determine whether the contact is the business owner. Good luck!

**Consent:**

**Read respondent consent script.**

10. Do you consent to take part in this research? (1=Yes, 2=No) |\_\_\_\_|

If NO : **Skip to “Closing Interview Statement”.**

**Closing Interview Statement. Read:** Thank you very much for your time. If you change your mind and would like to participate in the interview, please contact us at the IPA office. **End interview here.**

**SECTION 2: Identity of the Business**

**In the following questions, we would like information about the owner or employee of the enterprise - this will be considered the respondent in the following questions.**

1. What is your current full name?

|\_\_\_\_\_| / |\_\_\_\_\_| / |\_\_\_\_\_|  
(First name) (Middle/Second Name) (Last Name)

1b. Common name of the respondent \_\_\_\_\_

2. Respondent gender? (1= Male, 2= Female) |\_\_\_\_|

3. Name of the enterprise: (99= N/A) \_\_\_\_\_

4. Name of primary location of the enterprise: \_\_\_\_\_

5. Do you live in this village? (1= Yes, 2= No) |\_\_\_\_|

**If YES, continue. If NO, skip to question 5b.**

5a. What is your home/ compound's nick name? \_\_\_\_\_

5b. What village do you live in?

Location: \_\_\_\_\_

Sublocation: \_\_\_\_\_

Village: \_\_\_\_\_

6. Do you have a phone number where we can reach you? (1= Yes, 2= No) |\_\_\_\_|

**If YES, continue. If NO skip to question 7**

6a. Respondents phone number 1: (Assume Kenyan number. Exclude leading 0)

|\_\_\_\_\_| |\_\_\_\_\_| |\_\_\_\_\_| |\_\_\_\_\_| |\_\_\_\_\_| |\_\_\_\_\_| |\_\_\_\_\_| |\_\_\_\_\_|

6b. Respondents phone number 2: (*Assume Kenyan number. Exclude leading 0*)

\_\_\_\_\_

7. In case we can't reach you, is there another person that would be able to help us to contact you?  
*Probe for a contact that also works at the enterprise or a nearby enterprise. (1= Yes, 2= No) \_\_\_\_\_*  
**If YES, continue. If NO skip to question 9.**

7a. Contact name:

*Try to get as many of the contact's names as possible.*

7b. Contact phone number: (*Exclude leading 0*) \_\_\_\_\_

7c. FR's relationship to contact: (*Tick one from the list*)

- Enterprise Owner
- Employee
- Neighbour
- Neighbouring shop
- Guide
- Village Elder
- Community Health Worker
- Direct family member (husband/wife, son/daughter, father/mother, brother/sister)
- Extended family member (aunt/uncle, cousin, etc)

8. In case we can't reach you and the first contact, is there another person that would be able to help us to contact you? (1= Yes, 2= No) \_\_\_\_\_

**If YES, continue. If NO, skip to question 9**

8a. Contact name:

*Try to get as many of the contact's names as possible.*

8b. Contact phone number: (*Exclude leading 0*) \_\_\_\_\_

8c. FR's relationship to contact: (*Tick one from the list*)

- Enterprise Owner
- Employee
- Neighbour
- Neighbouring shop
- Guide
- Village Elder
- Community Health Worker
- Direct family member (husband/wife, son/daughter, father/mother, brother/sister)
- Extended family member (aunt/uncle, cousin, etc)

**If FR is not the owner, continue. Else skip to question 12**

9. What is your familial relationship to the owner? (*Use G4 codes and Select all that apply*) \_\_\_\_\_

10a. What is the owner's name? \_\_\_\_\_

10b. What is the owner's phone number? (*Exclude leading 0*) \_\_\_\_\_

11. Does the owner live in this village? (1= Yes, 2= No) \_\_\_\_\_

**If YES, continue. If NO, skip to question 12**

11a. What is the owner's home/compound nickname? (Note: Write DK if FR does not know).  
\_\_\_\_\_

12. What is the highest level of education that you obtained? (Use G6 codes) |\_\_\_\_\_|

|\_\_| 7-4-2-3 (previous system)

|\_\_| 8-4-4 (current system)

|\_\_| No schooling

### **SECTION 3: Prices**

READ: Now I would like to ask you some prices about common goods you sell.

#### **Price Questions for retailer selling posho**

1. Do you currently have ground maize for sale? (1= Yes, 2= No) |\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 2 kg of ground maize? (99= DK) |\_\_\_\_\_|

1b. How many 2 kgs of ground maize did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have ground cassava for sale? (1= Yes, 2= No) |\_\_\_\_|

**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 2 kg of ground cassava? (99= DK) |\_\_\_\_\_|

2b. How many 2 kgs of ground cassava did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have ground millet for sale? (1= Yes, 2= No) |\_\_\_\_|

**If YES, continue. If NO, skip to question 4.**

3a. What is the price of 2 kg of ground millet? (99= DK) |\_\_\_\_\_|

3b. How many 2 kgs of ground millet did you sell in the last 7 days? |\_\_\_\_\_|

4. What is the price of grinding 1 goro goro of maize? |\_\_\_\_|

4a. What is the price of grinding 1 goro goro of cassava? |\_\_\_\_\_|

4b. What is the price of grinding 1 goro goro of millet? |\_\_\_\_\_|

5. What is the price of grinding 20 goro goro of maize? |\_\_\_\_\_|

6. What is the price of grinding 20 goro goro of cassava? |\_\_\_\_\_|

7. What is the price of grinding 20 goro goro of millet? |\_\_\_\_\_|

#### **Price Questions for retailer selling cyber**

1. Do you currently have internet browsing for sale? (1= Yes, 2= No) |\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

- 1a. What is the price of internet browsing for 1 minute? (99= DK) |\_\_\_\_\_|
- 1b. How many minutes of internet browsing did you sell in the last 7 days? |\_\_\_\_\_|
2. Do you currently offer printing? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3.**

- 2a. What is the price of printing 1 page? (99= DK) |\_\_\_\_\_|
- 2b. How many pages of print did you sell in the last 7 days? |\_\_\_\_\_|
3. Do you currently offer photocopying? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category.**

- 3a. What is the price of photocopying 1 page? (99= DK) |\_\_\_\_\_|
- 3b. How many pages of photocopy did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for retailer selling tailor**

1. Do you currently have patching for sale/ do patching? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2.**

- 1a. What is the price of 1 patch? (99= DK) |\_\_\_\_\_|
- 1b. How many patchings did you sell in the last 7 days? |\_\_\_\_\_|
2. Do you currently have sewing needles for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3**
- 2a. What is the price of a small sewing needle? (99= DK) |\_\_\_\_\_|
- 2b. How many small sewing needles did you sell in the last 7 days? |\_\_\_\_\_|
3. Do you currently have spools of thread for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

- 3a. What is the price of a small spool of thread? (99= DK) |\_\_\_\_\_|
- 3b. How many small spools of thread did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for chemist**

1. Do you currently have paracetamol (ordinary Panadol) for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2**

- 1a. What is the price of 5 tablets of paracetamol? (99= DK) |\_\_\_\_\_|
- 1b. How many tablets of paracetamol did you sell in the last 7 days? |\_\_\_\_\_|
2. Do you currently have condoms for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3.**

2a. What is the price of pack of 3 of condoms? (99= DK) |\_\_\_\_\_|

2ai. What brand? \_\_\_\_\_

2b. How many packs of 3 condoms did you sell in the last 7 days?

3. Do you currently have Menthol Plus for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

3a. What is the price of 15g of Menthol Plus? (99= DK) |\_\_\_\_\_|

3b. How many 15gs of Menthol Plus did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for football viewing/video hall**

1. Do you currently have movie viewings for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 movie viewing? (99= DK) |\_\_\_\_\_|

1b. How many movie viewings did you sell in the last 7 days? |\_\_\_\_\_|

*Here we are interested on the total number of tickets sold in the last 7 days and not the Shows*

2. Do you currently have football match viewings for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3.**

2a. What is the price of major game (Man U vs. Arsenal) of football match? (99= DK) |\_\_\_\_\_|

2b. How many major football matches (such as Man U vs. Arsenal) did you sell in the last 7 days?

|\_\_\_\_\_|

*Here we are interested on the total number of tickets sold in the last 7 days and not the Shows*

3. Do you currently have local football match viewings for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category.**

3a. What is the price of local football match viewing? (99= dk) |\_\_\_\_\_|

3b. How many local football match viewings did you sell in the last 7 days? |\_\_\_\_\_|

*Here we are interested on the total number of tickets sold in the last 7 days and not the Shows*

#### **Price Questions for retailer selling mechanic**

1. Do you currently offer puncture repair? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to QUESTION 2.**

1a. What is the price of repairing 1 puncture in a tyre? (99= DK) |\_\_\_\_\_|

1b. How many puncture repair in a tyre did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have brake fluid for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 200ml of brake fluid? (99= DK) |\_\_\_\_\_|

2ai. What brand? \_\_\_\_\_

2b. How many 200ml bottles of brake fluid did you sell in the last 7 days? |\_\_\_\_\_| (*Try to get information for the first brand listed*)

3. Do you currently have oil for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

3a. What is the price of 1/2 L of oil? (99= DK) |\_\_\_\_\_|

3ai. What brand? \_\_\_\_\_

3b. How many 1/2 liters of oil did you sell in the last 7 days? |\_\_\_\_\_| (*Try to get information for the first brand listed*)

### **Price Questions for piki**

1. Do you currently offer rides? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

1a. What is the price of a ride to the nearest primary school? (99= DK) |\_\_\_\_\_|

1b. How many rides to the nearest primary schools did you give in the last 7 days? (*This is a one way ride*) |\_\_\_\_\_|

1c. What is the nearest primary school?

Location: \_\_\_\_\_

School: \_\_\_\_\_

2a. What is the price of a ride to Siaya Town Center? (99= DK) |\_\_\_\_\_|

2b. How many rides to Siaya Town Center did you give in the last 7 days? |\_\_\_\_\_|

### **Price Questions for boda**

1. Do you currently offer rides? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

1a. What is the price of a ride to the nearest primary school? (99= DK) |\_\_\_\_\_|

1b. How many rides to the nearest primary schools did you give in the last 7 days? (*This is a one way ride*) |\_\_\_\_\_|

1c. What is the nearest primary school?

Location: \_\_\_\_\_

School: \_\_\_\_\_

### **Price Questions for salon**

1. Do you currently have braids for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 pack of braids?(99= DK) |\_\_\_\_\_|

1b. How many 1 packs of braids did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently offer blow dry? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 1 of blow dry? (99= DK) |\_\_\_\_\_|

2b. How many blow dries did you provide in the last 7 days? |\_\_\_\_\_|

3. Do you currently offer the Obama hairstyle? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

3a. What is the price of 1 of Obama hairstyle? (99= DK) |\_\_\_\_\_|

3b. How many Obama hairstyles did you provide in the last 7 days? |\_\_\_\_\_|

### **Price Questions for retailer selling household goods**

1. Do you currently have plastic chairs for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 plastic chair? (99= DK) |\_\_\_\_\_|

1b. How many plastic chairs did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have carpet for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 1 meter PVC light duty carpet? (99= DK) |\_\_\_\_\_|

2b. How many meters of PVC light duty carpet did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have mattresses for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

3a. What is the price of a 3 x 6 mattress? (99= DK) |\_\_\_\_\_|

3ai. What brand? |\_\_\_\_\_|

1= Towfoam

2= Vitafoam

3b. How many 3 x 6 mattresses did you sell in the last 7 days? |\_\_\_\_\_|. (*Try to get information for the first brand listed*)

#### **Price Questions for food stalls**

1. Do you currently have sukuma wiki for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 bunch of sukuma wiki? (99= DK) |\_\_\_\_\_|

1b. How many bunches of sukuma wiki did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have tomatos for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 1 medium-sized tomato? (99= DK) |\_\_\_\_\_|

2b. How many medium-sized tomatoes did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have onions for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 4.**

3a. What is the price of 1 medium-sized onion? (99= DK) |\_\_\_\_\_|

3b. How many medium-sized onions did you sell in the last 7 days? |\_\_\_\_\_|

4. Do you currently have banana for sale? (1= Yes, 2= No) (*Inquire about the large type of bananas, not the small type*) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

4a. What is the price of 1 medium-sized banana? (99= DK) |\_\_\_\_\_|

4b. How many medium-sized bananas did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for Food Stand**

1. Do you currently have chapati for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 chapati? (99= DK) |\_\_\_\_\_|

1b. How many chapatis did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have mandazi for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 1 mandazi? (99= DK) |\_\_\_\_\_|

2b. How many mandazis did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have chips for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category.**

3a. What is the price of 1 plate of chips? (99= DK) |\_\_\_\_\_|

3b. How many plates of chips did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for butcher**

1. Do you currently have matumbo for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1/4 kg of matumbo? (99= DK) |\_\_\_\_\_|

1b. How many 1/4 kg of matumbo did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have nyama ya mbuzi for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 1/4 kg of nyama ya mbuzi? (99= DK) |\_\_\_\_\_|

2b. How many 1/4 kg of nyama ya mbuzi did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have beef for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

3a. What is the price of 1/4 kg of beef? (99= DK) |\_\_\_\_\_|

3b. How many 1/4 kg of beef did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for retailer selling carpenter**

1. Do you currently have bed for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 3.5 x 6 bed? (99= DK) |\_\_\_\_\_|

1b. How many 3.5 x 6 beds did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have tables for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

2a. What is the price of 3 feet long x 2.5 feet high table? (99= DK) |\_\_\_\_\_|

2b. How many 3 feet long x 2.5 feet highs of tables did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for retailer selling petrol**

1. Do you currently have petrol for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 liter of petrol? (99= DK) |\_\_\_\_\_|

1b. How many 1 liter of petrol did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have paraffin/kerosene for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

2a. What is the price of 1/2 liter bottle of paraffin/kerosene? (99= DK) |\_\_\_\_\_|

2b. How many 1/2 liter bottle of paraffin/kerosine did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for guesthouse**

1. Do you currently have a basic room available? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

1a. What is the price of per night of a basic room? (99= DK) |\_\_\_\_\_|

1b. How many per nights of a basic room did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for welding**

1. Do you currently have cooking pots for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question**

1a. What is the price of medium-sized of cooking pot? (99= DK) |\_\_\_\_\_|

1b. How many medium-sized cooking pots did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have a steel door for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 1 steel door? (99= DK) |\_\_\_\_\_|

2b. How many steel doors did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have window frames for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

3a. What is the price of 1 window frames? (99= DK) |\_\_\_\_\_|

3b. How many window frames did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for retailer selling barber**

1. Do you currently offer shaves (head)? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 of shave (head)? (99= DK) |\_\_\_\_\_|

1b. How many shaves (head) did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently offer beard shaves? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 1 beard shave? (99= DK) |\_\_\_\_\_|

2b. How many beard shaves did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently offer cellphone charging? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

3a. What is the price of charging 1 cellphone? (99= DK) |\_\_\_\_\_|

3b. How many cellphones have you charge in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for retailer selling hardware**

1. Do you currently have mabati for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 sheet 32 gauge roofing mabati? (99= DK) |\_\_\_\_\_|

1b. How many sheets of 32 gauge roofing mabati did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have cement for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 50kg bag of cement? (99= DK) |\_\_\_\_\_|

What brand? \_\_\_\_\_

2b. How many 50kg bags of cement did you sell in the last 7 days? (*Try to get information for the first brand listed*) |\_\_\_\_\_|

3. Do you currently have roofing nails for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

3a. What is the price of 1/4 kg of roofing nails? (99= DK) |\_\_\_\_\_|

3b. How many 1/4 kgs of roofing nails did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for Restaurant**

1. Do you currently have beans for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 plate of chapati and beans? (99= DK) |\_\_\_\_\_|

1b. How many plates of chapati and beans did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have matumbo for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 1 plate matumbo and ugali? (99= DK) |\_\_\_\_\_|

2b. How many plates of matumbo and ugali did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have kuku for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 4.**

3a. What is the price of 1 plate kuku and ugali? (99= DK) |\_\_\_\_\_|  
3b. How many plates of kuku and ugali did you sell in the last 7 days? |\_\_\_\_\_|

4. Do you currently have sukuma wiki for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 5.**

4a. What is the price of 1 plate sukuma wiki and ugali? (99= DK) |\_\_\_\_\_|  
4b. How many plates of sukuma wiki and ugali did you sell in the last 7 days? |\_\_\_\_\_|  
5. Do you currently have nyama for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

5a. What is the price of 1 plate nyama and ugali? (99= DK) |\_\_\_\_\_|  
5b. How many plates of nyama and ugali did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price questions for bars**

1. Do you currently have beer for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2.**

1a. What is the price of a beer? (99= DK) |\_\_\_\_\_|

What brand? |\_\_\_\_\_|  
1= Tusker  
2= White Cap

1b. How many bottles of beers did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have gin for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

2a. What is the price of a 350ml bottle of gin? (99= DK) |\_\_\_\_\_|

What brand? \_\_\_\_\_

2b. How many 350ml bottles of gin did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for retailer selling retail\_grocery**

1. Do you currently have packaged maize flour for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 2 kg of packaged maize flour? (99= DK) |\_\_\_\_\_|

1ai. What brand? |\_\_\_\_\_|  
1= Jogoo

2= Jambo

- 1b. How many 2 kgs of packaged maize flour did you sell in the last 7 days? |\_\_\_\_\_|  
2. Do you currently have sugar for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 3.**

- 2a. What is the price of 1/2 kg of sugar? (99= DK) |\_\_\_\_\_|

- 2ai. What brand? |\_\_\_\_\_|

1= Mumias

2= Nzoia

- 2b. How many 1/2 kgs of sugar did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have bread for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

- 3a. What is the price of 400g of bread? (99= DK) |\_\_\_\_\_|

- 3ai. What brand? \_\_\_\_\_

- 3b. How many 400gs of bread did you sell in the last 7 days? |\_\_\_\_\_|

#### **Price Questions for Retailers selling other goods**

1. Do you currently have toothpaste for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

- 1a. What is the price of 25g of toothpaste? (99= DK) |\_\_\_\_\_|

- 1ai. What brand? |\_\_\_\_\_|

1= Colgate

2= Aquafresh

3= Close-up

- 1b. How many 25gs of toothpaste did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have slippers for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 3.**

- 2a. What is the price of 1 pair of slippers? (99= DK) |\_\_\_\_\_|

- 2ai. What brand? \_\_\_\_\_

- 2b. How many pairs of slippers did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have kerosene for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

- 3a. What is the price of 300ml of kerosene? (99= DK) |\_\_\_\_\_|

- 3b. How many 300mls of kerosene did you sell in the last 7 days? |\_\_\_\_\_|

### **Price Questions for Small and Large Retailers**

1. Do you currently have cigarettes for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2.**

1a. What is the price of a pack of 5 sticks of cigarettes? (99= DK) |\_\_\_\_\_|

1ai. What brand?

1= Sportman

2= Supermatch

1b. How many packs of 5 sticks of cigarettes did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have soda for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 300ml of soda? (99= DK) |\_\_\_\_\_|

2b. How many 300ml sodas did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have cellphone charging? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

3a. What is the price of charging 1 cellphone? (99= DK) |\_\_\_\_\_|

3b. How many cellphones did you charge in the last 7 days? |\_\_\_\_\_|

### **Price Questions for Cereal Vendors**

1. Do you currently have maize for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to question 2**

1a. What is the price of 1 goro of maize? (99= DK) |\_\_\_\_\_|

1b. How many goros of maize did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have beans for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to questions 3**

2a. What is the price of one goro of beans? (99= DK) |\_\_\_\_\_|

2b. How many goros of beans did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have millet for sale? (1= Yes, 2= No) |\_\_\_\_\_|

**If YES, continue. If NO, skip to next business category**

3a. What is the price of one goro of millet? (99= DK) |\_\_\_\_\_|

3b. How many goros of millet did you sell in the last 7 days? |\_\_\_\_\_|

### **Price Questions for Agrovet**

1. Do you currently have DAP (diammonium phosphate) fertilizer for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2**

1a. What is the price of 1kg of DAP fertilizer? (99= DK) |\_\_\_\_\_|

1b. How many kilograms of DAP did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have CAN (calcium ammonium nitrate) fertilizer for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to next business category**

2a. What is the price of 1kg of CAN? (99= DK) |\_\_\_\_\_|

2b. How many kilograms of CAN did you sell in the last 7 days? |\_\_\_\_\_|

### **Price Questions for Bookshop**

1. Do you currently have 48 single ruled exercise books for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 2.**

1a. What is the price of 1 48 page single ruled exercise book? (99= DK) |\_\_\_\_\_|

1b. How many of 48 page single ruled exercise books did you sell in the last 7 days? |\_\_\_\_\_|

2. Do you currently have 48 page square exercise books for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 3.**

2a. What is the price of 1 48 page square exercise book? (99DK) |\_\_\_\_\_|

2b. How many of 48 page square exercise books did you sell in the last 7 days? |\_\_\_\_\_|

3. Do you currently have sharp pointed Bic pens for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to question 4**

3a. What is the price of 1 sharp pointed Bic pen? (99= DK) |\_\_\_\_\_|

3b. How many of sharp pointed Bic pens did you sell in the last 7 days? |\_\_\_\_\_|

4. Do you currently have oxford mathematical set for sale? (1= Yes, 2= No) |\_\_\_\_\_|  
**If YES, continue. If NO, skip to section 4.**

4a. What is the price of 1 oxford mathematical set? (99= DK) |\_\_\_\_\_|

4b. How many oxford mathematical sets did you sell in the last 7 days? |\_\_\_\_\_|

#### **Section 4: Revenue, Profit and Expenditures**

1. How many HOURS did you work in total in this enterprise in the last 7 days? |\_\_\_\_\_|

1a. What days was this enterprise open in the last 7 days? (*Tick all that apply*)

- Open every day
- Monday
- Tuesday
- Wednesday
- Thursday
- Friday
- Saturday
- Sunday
- Don't know

1b. On days when the enterprise was open, what time did the enterprise open? (*Enter time on 24 hr clock. Select 11:11 for DK. If opening time varies by day, select the most common opening time*)

|\_\_\_\_\_| : |\_\_\_\_|

1c. On days when the enterprise is open, what time did the enterprise close? (*Enter time on 24 hr clock. Select 11:11 for DK. If closing time varies by day, select the most common closing time.*)

|\_\_\_\_\_| : |\_\_\_\_|

1d. In total, how many HOURS was this enterprise open for customers in the last 7 days? |\_\_\_\_\_|

2. Over the last 12 months, what months did you work in this business? (*Tick all that apply*)

- All of the last 12 months
- January
- February
- March
- April
- May
- June
- July
- August
- September
- October
- November
- December
- Don't know

3. How many customers did you have yesterday? |\_\_\_\_\_|

4. How many customers did you have in the last 7 days? |\_\_\_\_\_|

5. What share of your customers in the last 7 days came from; (*We are asking about percentages. Ensure these values sum to 100*)

5a. Within this village? |\_\_\_\_|

5b. Within this sublocation but outside of this village? |\_\_\_\_|

5c. Within this location but outside of this sublocation? |\_\_\_\_|

5d. From towns? |\_\_\_\_\_|

5e. From any other places not included here? |\_\_\_\_\_|

6. How many employees work in this enterprise? (Note: List ALL the employees/ workers; If FR is the enterprise owner and works in this enterprise, then the FR should be included in the count) |\_\_\_\_\_|

### **Employees**

**READ: I would now like you to answer a couple of questions about the employees who work in this enterprise.**

7. What is the roster number for this person?	8i. What is his name? (First name only) 8ii. Gender: (1= Male, 2= Female)	9. How many hours did he/ she work in this enterprise in the last week?	10. What is his/ her relationship to the enterprise owner? (Use G4 codes)	11. What is his/ her age in years? (Note: Prompt the FR to estimate age if unsure. Enter 999 if the FR doesn't know)	12. Is this an estimated age? 1= Yes 2= No
	i. _____ ii.  _____	_____	_____	_____	_____
	i. _____ ii.  _____	_____	_____	_____	_____
	i. _____ ii.  _____	_____	_____	_____	_____
	i. _____ ii.  _____	_____	_____	_____	_____
	i. _____ ii.  _____	_____	_____	_____	_____

13. In the last month, what was the total amount of salary or wages paid to all workers? (This should include temporary workers) |\_\_\_\_\_|

### **Revenue**

14. What were your total earnings (money in only - do not subtract any expenses) in the: (Note: In Ksh. Here we mean the amount you received from this business for sales & services provided before subtracting any expenses for payment of workers, or purchase of inputs, personal, or family items. If unsure, FR can estimate)

14a. Last month? |\_\_\_\_\_|

14b. Last 12 months? |\_\_\_\_\_|

**Profit**

15. What was your total profit in the: (*Note: In Ksh. Here we mean the amount you received after paying for expenses for this business, including hired workers, money for household members who helped, purchase of goods for sale or for inputs, such as raw materials, fuel, and electricity, but before purchasing personal items for yourself or your household. If unsure, FR can estimate. Ask in terms of "commission" if the FR runs an M-Pesa shop.*)

15a. Last month? |\_\_\_\_\_|

15b. Last 12 months? |\_\_\_\_\_|

16. In what month and year did this enterprise start? By this we mean when did the owner start, purchase, or gain control of this business? (*If unsure, FR can estimate. Jan 1900 if FR doesn't know.*)

Month |\_\_\_\_\_|

Year |\_\_\_\_\_|

Let's talk about the costs of setting up a business like this. You would need to have some equipment, a building, what else? (*Probe FR for the different factors that go into starting a business*).

16a. Now, how much do you think it would cost to start up a business just like this one? |\_\_\_\_\_|

17. Do you own the premises of your business? (1= Yes, 2= No) |\_\_\_|

**If NO, continue. If YES, skip to question 18.**

17a. How much do you pay for rent per month? (*Note: In KSh*) |\_\_\_\_\_|

18. Do you have electricity, from any source (including a car battery or generator)? (*Include electricity from any source (power grid, solar, battery, etc). It can be intermittent (not always on). Note that solar lights/laterns do not count as an electricity source.*) (1= Yes, 2= No) |\_\_\_|

**If YES, continue. If NO, skip to question 19.**

18a. What is the source of your electricity? (*Select all that apply*) |\_\_\_\_\_|

(1= National electricity service (KPLC), 2= Generator, 3= Car battery, 4= Solar home system)

18b. Is this a single-phase or triple-phase connection? (*Note: As discussed in training, count the number of wires coming to the building from the power lines and subtract one. Triple phase is needed to operate energy-intensive machinery such as posho mills or welding*)

|\_\_| Single-Phase Connection

|\_\_| Triple-Phase Connection

**Read: I'd like to remind you that the data we collect here is entirely confidential, and will not be reported to the authorities.**

19. Is the business licensed with the county government? (1= Yes, 2= No) |\_\_\_|

**If YES, continue. If NO, skip to question 20.**

19a. How much did you pay in total for a county business license in the last 12 months? (*Note: In Ksh*) |\_\_\_\_\_|

20. In the last month, how much did you pay in market fees? (*Note: do not include license fees if the business paid these*) |\_\_\_\_\_|

21. In the last month, how much did you pay in any other taxes and fees not mentioned yet to the:  
21a. County government? (*Note: in Ksh*) |\_\_\_\_\_|

21b. National government? (*Note: in Ksh*) |\_\_\_\_\_|

21c. Chiefs/assistant chiefs/village elders? (*Note: in Ksh*) |\_\_\_\_\_|

21d. Additional payments to government officials, police or other authorities in order to do business?  
(i.e., bribes - but don't use that word). *Note: in KSh* |\_\_\_\_\_|

22. Is this business name registered with the government? (1= Yes, 2= No) |\_\_\_\_|

23. Last month, how much did you spend, in this business, on security? (*monthly costs only, like guards, maintaining fences, etc.*) 99=DK. *Note: in KSh* |\_\_\_\_\_|

## **Section 5: Conclusion**

Do not read the following questions aloud. Simply record your own impressions.

A. Did the respondent refuse or terminate the survey early? (1= Yes, 2= No) |\_\_\_\_|

**If YES, continue. If NO, skip to question 1.**

B. Why did the respondent terminate the survey early? |\_\_\_\_|

1= *Tired*

2= *Too busy, does not have time*

3= *Offended at question*

4= *Suspicious of FO / survey intent / IPA*

5= *Does not feel like continuing survey*

6= *Other (specify in end of interview comments)*

1. Time end interview (24 hr clock) |\_\_|\_| : |\_\_|\_|

READ: Thank you for your time.

READ: Thank you for your time, all of this information will be kept strictly confidential.

2. In what language was the survey conducted? |\_\_\_\_|

1= English

2= Kiswahili

3= Luo

2a. How was the respondent's skill in speaking and understanding the survey language? |\_\_\_\_|

1= Displayed no problems speaking or understanding survey language

2= Displayed a little difficulty speaking or understanding survey language

3= Displayed moderate difficulty speaking or understanding survey language

4= Displayed serious problems speaking or understanding survey language)

3. Were any people present during all or part of this interview (other than the respondent and IPA staff) (1= Yes, 2= No) |\_\_\_\_|

**If YES, continue. If NO, skip to question 4.**

3a. What is their relationship to the respondent? List up to four others present (*Use G4 codes*)

|||||

4. Are you very confident, somewhat confident or not very confident in the overall quality and truthfulness of this respondent's responses? |\_\_\_\_|

- 1= Very confident
- 2= Somewhat confident
- 3= Not confident

4a. If SOMEWHAT or NOT CONFIDENT: Why?

---

5. GPS coordinates of location

Ensure that you are at the doorstep to the house or business for best accuracy. Please try to obtain an accuracy of 4 meters.

Latitude: \_\_\_\_\_

Longitude: \_\_\_\_\_

Elevation: \_\_\_\_\_

Accuracy: \_\_\_\_\_

Please enter any additional comments about the survey.

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### **CODE SHEET**

<b>Business category Codes</b>	<b>Material Codes</b>
1= Tea buying centre	<b>Roof</b>
2= Small retail / M-PESA / mobile charging	1= Iron/ Metal/ Steel
3= Large retail	2= Grass thatch (no reeds)
4= Restaurant	3= Grass thatch (with reeds)
5= Bar	4= Mud, branches
6= Hardware store	5= Tiles
7= Barber shop	6= Palm leaves/ reeds

<p>8= Beauty shop / Salon      9= Butcher      10= Video Room/Football watching hall      11= Cyber café      12= Tailor      13= Bookshop      14= Posho mill      15= Welding / metalwork      16= Carpenter      17= Guest house/ Hotel (lodging)      18= Food stand / Prepared food vendor      19= Food stall / Raw food vendor      20= Chemist      21= Mechanic shop      22= Petrol station      23= Piki driver      24= Boda driver      25= Sale or brewing of homemade alcohol / liquor      26= Livestock / Animal Sale      27= Fishing      28= Fish Sale / Mongering      29= Cereals      30= Agrovet      31= Non-Food Vendor / Producer      32= None</p>	<p>7= Cement      8= Unfinished/incomplete      9= Canvas/ polythene      10= None</p> <p><b>Wall</b></p> <p>1= Iron sheets/ Metal/ Steel      2= Mud      3= Cement      4= Brick      5= Cement/mud mixed      6= Stone      7= Reed      8= Canvas/ polythene/Other materials      9= Wood      10= Unfinished/incomplete      11= None</p> <p><b>Floor</b></p> <p>1= Cement      2= Mud      3= Half mud, half cement      4= Tiles      5= Earth      6= Wood      7= None</p>																																																																																
<p><b>Product Codes</b></p> <p>1= Charcoal sale / burning      2= Clothes / Mtumba / Boutique      3= Electric accessory/repair      4= Paraffin      5= Timber / Firewood      6= Shoes / Cobbler      7= Craftwork (mats, basket weaving, ropes, moulding pots, walking sticks)      8= Sand Sale / Harvesting      9= Bakery      10= Brick Sale / Production      11= Other      12= Groceries      13= Household goods      14= Charging mobile phones      15= Mpesa      16= All other retail</p> <p><b>G6 Codes</b></p> <table> <tbody> <tr> <td>100</td> <td>No schooling</td> <td>20</td> <td>Maternal aunt/ uncle</td> </tr> <tr> <td>101</td> <td>Std 1</td> <td>21</td> <td>Maternal grandparent</td> </tr> <tr> <td>102</td> <td>Std 2</td> <td>22</td> <td>Paternal aunt/ uncle</td> </tr> <tr> <td>103</td> <td>Std 3</td> <td>23</td> <td>Paternal grandparent</td> </tr> <tr> <td>104</td> <td>Std 4</td> <td>24</td> <td>Current neighbor</td> </tr> <tr> <td>105</td> <td>Std 5</td> <td>25</td> <td>Former neighbor</td> </tr> <tr> <td>106</td> <td>Std 6</td> <td>26</td> <td>Former spouse/ partner</td> </tr> </tbody> </table>	100	No schooling	20	Maternal aunt/ uncle	101	Std 1	21	Maternal grandparent	102	Std 2	22	Paternal aunt/ uncle	103	Std 3	23	Paternal grandparent	104	Std 4	24	Current neighbor	105	Std 5	25	Former neighbor	106	Std 6	26	Former spouse/ partner	<p><b>G4 Codes</b></p> <table> <tbody> <tr> <td>1</td> <td>Self</td> </tr> <tr> <td>2</td> <td>Current spouse/ partner</td> </tr> <tr> <td>3</td> <td>Mother</td> </tr> <tr> <td>4</td> <td>Father</td> </tr> <tr> <td>5</td> <td>Daughter</td> </tr> <tr> <td>6</td> <td>Son</td> </tr> <tr> <td>7</td> <td>Sister</td> </tr> <tr> <td>8</td> <td>Brother</td> </tr> <tr> <td>9</td> <td>Co-wife</td> </tr> <tr> <td>10</td> <td>Mother-in-law</td> </tr> <tr> <td>11</td> <td>Father-in-law</td> </tr> <tr> <td>12</td> <td>Brother/ sister-in-law</td> </tr> <tr> <td>13</td> <td>Cousin</td> </tr> <tr> <td>14</td> <td>Grandchild</td> </tr> <tr> <td>15</td> <td>Nephew/ niece</td> </tr> <tr> <td>16</td> <td>Step dad</td> </tr> <tr> <td>17</td> <td>Step mother</td> </tr> <tr> <td>18</td> <td>Step brother/ sister</td> </tr> <tr> <td>19</td> <td>Half-brother/ sister</td> </tr> <tr> <td>20</td> <td>Maternal aunt/ uncle</td> </tr> <tr> <td>21</td> <td>Maternal grandparent</td> </tr> <tr> <td>22</td> <td>Paternal aunt/ uncle</td> </tr> <tr> <td>23</td> <td>Paternal grandparent</td> </tr> <tr> <td>24</td> <td>Current neighbor</td> </tr> <tr> <td>25</td> <td>Former neighbor</td> </tr> <tr> <td>26</td> <td>Former spouse/ partner</td> </tr> </tbody> </table>	1	Self	2	Current spouse/ partner	3	Mother	4	Father	5	Daughter	6	Son	7	Sister	8	Brother	9	Co-wife	10	Mother-in-law	11	Father-in-law	12	Brother/ sister-in-law	13	Cousin	14	Grandchild	15	Nephew/ niece	16	Step dad	17	Step mother	18	Step brother/ sister	19	Half-brother/ sister	20	Maternal aunt/ uncle	21	Maternal grandparent	22	Paternal aunt/ uncle	23	Paternal grandparent	24	Current neighbor	25	Former neighbor	26	Former spouse/ partner
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7	Sister																																																																																
8	Brother																																																																																
9	Co-wife																																																																																
10	Mother-in-law																																																																																
11	Father-in-law																																																																																
12	Brother/ sister-in-law																																																																																
13	Cousin																																																																																
14	Grandchild																																																																																
15	Nephew/ niece																																																																																
16	Step dad																																																																																
17	Step mother																																																																																
18	Step brother/ sister																																																																																
19	Half-brother/ sister																																																																																
20	Maternal aunt/ uncle																																																																																
21	Maternal grandparent																																																																																
22	Paternal aunt/ uncle																																																																																
23	Paternal grandparent																																																																																
24	Current neighbor																																																																																
25	Former neighbor																																																																																
26	Former spouse/ partner																																																																																

107	Std 7	27	Friend from church
108	Std 8	28	Friends from school
109	Form 1	29	Teacher/ school official
110	Form 2	30	Village elder/ guide
111	Form 3	31	Work friend colleague
112	Form 4	32	Employee
115	Some polytechnic	33	Employer
116	Completed polytechnic	34	Orphan
117	Some college	35	Other friends
118	Completed college	36	Other relative
119	Some university	37	Daughter/son-in-law
120	Completed university		
121	Higher than college/ university		
122	Special education (mentally handicap)		
130	ECD/nursery/pre-unit		
200	No schooling		
201	Std 1		
202	Std 2		
203	Std 3		
204	Std 4		
205	Std 5		
206	Std 6		
207	Std 7		
209	Form 1		
210	Form 2		
211	Form 3		
212	Form 4		
213	Form 5		
214	Form 6		
215	Some polytechnic		
216	Completed polytechnic		
217	Some college		
218	Completed college		
219	Some university		
220	Completed university		
221	Higher than college/ university		
222	Special education (mentally handicap)		
230	ECD/nursery/pre-unit		

## **B Data Management Notes**

The following includes data management notes for:

1. Local Leader Survey Data
2. Endline Household Survey Data
3. Endline Enterprise Data

Each data management note outlines how data will be handled in advance of the filing of pre-analysis plans, as well as e-mail signatures accepting the terms of the data management notes.

## **GE Project Local Leader Data: Notes on Management/Access and Pre-Analysis Plan**

Date: August 15, 2016

On August 9, 2016, we launched the GE Effects Endline Local Leader Surveys of village elders and assistant chiefs to measure public goods and economic conditions across 653 villages<sup>1</sup> in 84 sublocations in Siaya County, Kenya. An endline round of public primary school head teachers will be conducted beginning in September 2016. This follows up on the first round of data collection of village elders, assistant chiefs and school head teachers conducted from July to December 2015. These surveys collected retrospective data back to 2010; as they were conducted after some transfers had gone out to villages, access to the first round of data has also been limited.

As of August 15, 2016, we have not filed our pre-analysis plan outlining the key research questions, outcomes and estimating equations related to the effects of unconditional cash transfers on local public finance. The pre-analysis plan will be prepared by Michael Walker, with assistance from Justin Abraham and Francis Wong. The local leader data will go into a solo-authored paper by Walker on the effects of cash transfers on local public finance, and may also be used as part of papers on the general equilibrium effects of cash transfers, co-authored by Johannes Haushofer, Edward Miguel, Paul Niehaus and Michael Walker. Haushofer, Miguel, Niehaus, Walker, Abraham and Wong are referred to henceforth as the “research team”. Once finalized, the pre-analysis plan will be uploaded to the AEA RCT Registry.

In general, survey data will be compiled, organized and stored by the field management team based in Siaya, Kenya and Berkeley, CA. This team consists of Meshack Okello, George Ganda, and Zenan Wang. Past members are Francis Meyo, Gabriel Ngoga, and Maximilian Mueller. Henceforth all of these current and past members are referred to as the field team. Past members of the field team no longer have access to the data.

No estimates of any kind of treatment effect have been estimated with any local leader data collected to date. No estimates of treatment effects will be undertaken by any members of the research or field teams.

The research team will receive access to endline surveys of village elders and assistant chiefs conducted through August 15, 2016, the first week of data collection, to ensure that the surveys are working properly. This is subject to a maximum cap of 60 village elder surveys (less than 10% of the sample) and 16 assistant chief surveys (less than

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<sup>1</sup> We use the term village to refer to census enumeration areas. In some cases, there may be more than one village within a census enumeration area, and these may or may not be headed by more than one village elder. In the first round, we conducted 740 village elder surveys.

20% of the sample). Data for the first week of school surveys, subject to a cap of 10% of total surveys, will also be in place when the school survey launches in September 2016.

The following data from the first round of local leader surveys has been viewed by Walker and Wong:

- Gabriel Ngoga and Max Mueller shared data from the local leaders survey of village elders in control villages. These villages were anonymized so that neither the saturation status nor location of the village could be determined.
- Gabriel Ngoga shared data from 8 assistant chiefs in low saturation sublocations that were surveyed
- Walker worked with data identifying the village/sublocation, the leader, and the leader's characteristics to develop tracking materials for the endline survey round, and with information on the types and number of projects for the sole purpose of ensuring that questions in the second round of the survey that relied on information from the first round worked properly. No comparisons were made across treatment and control villages.

The initial access was/will be provided for the following purposes:

1. Identifying and correcting any coding errors in the survey instrument that are causing certain questions to be skipped.
2. Making improvements to the choice sets for multiple-choice questions, to better reflect the types of answers that are being provided by the respondents.
3. Identifying and amending questions that are taking too much time and, as a result, are causing delays.
4. Identifying and addressing any other technical issues with the survey instrument.
5. Making any final additions/edits to the survey instrument to address minor questions and/or survey length concerns.
6. Aiding in the development of high frequency and consistency checks, in order to ensure good data quality

Full access to the dataset will be provided to all research team members once the pre-analysis plan has been filed on the AEA RCT registry.

**Michael W Walker <mwwalker@berkeley.edu>**

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## [quick] GE Local Leader Data Management Note

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**Michael W Walker <mwwalker@econ.berkeley.edu>**

Fri, Aug 19, 2016 at 11:34 PM

Reply-To: mwwalker@econ.berkeley.edu

To: Michael W Walker &lt;mwwalker@econ.berkeley.edu&gt;

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

Michael Walker  
PhD Candidate  
UC Berkeley

On Tue, Aug 16, 2016 at 10:42 AM, Michael W Walker <mwwalker@econ.berkeley.edu> wrote:

[Quoted text hidden]

[Quoted text hidden]



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Local Leader Data Management Note

**Johannes Haushofer** <haushofer@princeton.edu>

Tue, Aug 16, 2016 at 4:30 PM

To: Paul Niehaus &lt;pniehaus@ucsd.edu&gt;

Cc: Meshack Odhiambo Okello &lt;mokello@poverty-action.org&gt;, Michael W Walker &lt;mwwalker@econ.berkeley.edu&gt;, Edward Andrew MIGUEL &lt;emiguel@berkeley.edu&gt;, ZENAN WANG &lt;zenan.wang@berkeley.edu&gt;, George Ganda &lt;gganda@poverty-action.org&gt;, Justin Abraham &lt;jrpabraham@gmail.com&gt;, Francis Wong &lt;francisawong@gmail.com&gt;

Hi Michael,

thanks for this - I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

Best regards

johannes

On Tue, Aug 16, 2016 at 8:47 PM, Paul Niehaus <pniehaus@ucsd.edu> wrote:

Thanks Michael- I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

best,

~ Paul

On 8/16/2016 11:28 AM, Meshack Odhiambo Okello wrote:

[Quoted text hidden]

--  
Associate Professor of Economics  
UC San Diego  
[econweb.ucsd.edu/~pniehaus](http://econweb.ucsd.edu/~pniehaus)  
@PaulFNiehaus

**Michael W Walker <mwwalker@berkeley.edu>**

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## Local leader survey data

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**Edward Andrew MIGUEL** <emiguel@berkeley.edu>  
To: Michael W Walker <mwwalker@econ.berkeley.edu>

Fri, Aug 19, 2016 at 1:13 AM

Dear Michael,

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

Best, Ted

--

Edward Miguel  
Department of Economics  
University of California, Berkeley



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

---

## [quick] GE Local Leader Data Management Note

**Paul Niehaus** <pniehaus@ucsd.edu>

Tue, Aug 16, 2016 at 2:47 PM

To: Meshack Odhiambo Okello <mokello@poverty-action.org>, Michael W Walker <mwwalker@econ.berkeley.edu>

Cc: Edward Andrew MIGUEL <emiguel@berkeley.edu>, Johannes Haushofer <haushofer@princeton.edu>, ZENAN WANG <zenan.wang@berkeley.edu>, George Ganda <gganda@poverty-action.org>, Justin Abraham <jrpabraham@gmail.com>, Francis Wong <francisawong@gmail.com>

Thanks Michael- I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

best,

~ Paul

[Quoted text hidden]

--

Associate Professor of Economics

UC San Diego

[econweb.ucsd.edu/~pniehaus](http://econweb.ucsd.edu/~pniehaus)

@PaulFNiehaus



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Local Leader Data Management Note

Justin Abraham <jrpabraham@gmail.com>  
To: "mwwalker@econ.berkeley.edu" <mwwalker@econ.berkeley.edu>

Tue, Aug 16, 2016 at 11:07 AM

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

On Tuesday, August 16, 2016, Michael W Walker <mwwalker@econ.berkeley.edu> wrote:

Hi all,

In the same vein as the for the endline household survey data, I've put together a note on data management and access for the local leader survey data outlining who will have access to what. Please review the note and then respond to me with the following lines:

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

Thanks,  
Michael

--  
Michael Walker  
Economics Graduate Student  
UC-Berkeley  
mwwalker@econ.berkeley.edu

**Michael W Walker <mwwalker@berkeley.edu>**

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## [quick] GE Local Leader Data Management Note

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**Francis Wong** <francisawong@gmail.com>  
To: Michael W Walker <mwwalker@econ.berkeley.edu>

Tue, Aug 16, 2016 at 1:10 PM

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

[Quoted text hidden]

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Francis Wong  
Graduate Student  
Department of Economics  
University of California, Berkeley



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Local Leader Data Management Note

**George Ganda** <gganda@poverty-action.org>

Wed, Aug 17, 2016 at 12:21 AM

To: Johannes Haushofer &lt;haushofer@princeton.edu&gt;

Cc: Paul Niehaus &lt;pniehaus@ucsd.edu&gt;, Meshack Odhiambo Okello &lt;mokello@poverty-action.org&gt;, Michael W Walker &lt;mwwalker@econ.berkeley.edu&gt;, Edward Andrew MIGUEL &lt;emiguel@berkeley.edu&gt;, ZENAN WANG &lt;zenan.wang@berkeley.edu&gt;, Justin Abraham &lt;jrpabraham@gmail.com&gt;, Francis Wong &lt;francisawong@gmail.com&gt;

Hi Michael,

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

Kind Regards,

[Quoted text hidden]

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**George Ganda, Field Manager, GE-Effects, Innovations for Poverty Action - Kenya**

Former Siaya Guest House, next to ACK Cathedral Church, Rabango Road, Siaya

Mobile(Personal): +254 722 621 853

Web: [www.poverty-action.org](http://www.poverty-action.org), Email : [gganda@poverty-action.org](mailto:gganda@poverty-action.org)

Skype: ganda.george



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Local Leader Data Management Note

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Meshack Odhiambo Okello <mokello@poverty-action.org>

Tue, Aug 16, 2016 at 2:28 PM

To: Michael W Walker <mwwalker@econ.berkeley.edu>

Cc: Edward Andrew MIGUEL <emiguel@berkeley.edu>, Johannes Haushofer <haushofer@princeton.edu>, Paul Niehaus <pniehaus@ucsd.edu>, ZENAN WANG <zenan.wang@berkeley.edu>, George Ganda <gganda@poverty-action.org>, Justin Abraham <jrpabraham@gmail.com>, Francis Wong <francisawong@gmail.com>

Hi Michael,

I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

Best,  
Meshack

Meshack Odhiambo Okello, Research Associate, Innovations for Poverty Action – Kenya

Address: Milimani Estate, Opposite Nyota FM Station, Bungoma

Phone(Office): +254 705813412, Mobile(Personal): +254 722230189

Website: [www.poverty-action.org](http://www.poverty-action.org), Email: mokello@poverty-action.org

Skype: meshack.odhiambo1

[Quoted text hidden]

**Michael W Walker <mwwalker@berkeley.edu>**

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## [quick] GE Local Leader Data Management Note

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**Zenan Wang** <zenan.wang@berkeley.edu>  
To: Michael W Walker <mwwalker@econ.berkeley.edu>

Tue, Aug 16, 2016 at 1:26 PM

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated August 15 2016, and agree to follow the specified plan.

Zenan Wang

On Tue, Aug 16, 2016 at 7:42 AM, Michael W Walker <mwwalker@econ.berkeley.edu> wrote:  
[Quoted text hidden]

## **GE Project Endline Household Data: Notes on Management/Access and Pre-Analysis Plan**

Date: June 24, 2016

On May 30, 2016, we launched the GE Effects Endline Household Survey to measure the social and economic living standards of roughly 9,100 households in our sample of villages in Siaya County, Kenya. As of June 23, 2016, we have completed 604 household surveys.

As of June 23, 2016, we have not filed our pre-analysis plan outlining the key research questions, outcomes and estimating equations related to the household endline data on the general equilibrium effects of unconditional cash transfers. The pre-analysis plan will be prepared by Johannes Haushofer, Edward Miguel, Paul Niehaus, and Michael Walker, with assistance from Justin Abraham, Christina Brown, Genevieve Denoeux and Francis Wong, henceforth the “research team”, and will be uploaded to the AEA RCT Registry at a future point in time, possibly in late July.

In general, survey data will be compiled, organized and stored by the field management team based in Siaya, Kenya. This team consists of George Ganda, Francis Meyo, Gabriel Ngoga, and Maximilian Mueller, henceforth the field team. During the initial weeks of the data collection, the field team has shared some data with the research team, which is outlined below. Any additional data that is shared after June 21, 2016 will be less than 800 surveys (about 10% of the sample if we achieve a 90% tracking rate) and will be de-identified and stripped of any indicators that may expose the treatment status of households.

To date, the following data has been viewed by the following members of the research team. No measures of treatment status have been, nor will be, merged with any of this household data by any members of the research or field team. The only way in which treatment status data will be used by the field team is to ensure tracking rates are balanced across treatment and control households.

- Michael Walker reviewed data prepared by Mueller on the first 334 surveys.
- Christina Brown received data for 187 of these 334 surveys with data from section 12 of the survey on consumption. This included village names and was prepared by Walker.

The datasets that were not stripped of identifiers have subsequently been deleted and will be replaced by de-identified versions that are stripped of identifiers.

The initial access was/will be provided for the following purposes:

1. Identifying and correcting any coding errors in the survey instrument that are causing certain questions to be skipped.
2. Making improvements to the choice sets for multiple-choice questions, to better reflect the types of answers that are being provided by the respondents.
3. Identifying and amending questions that are taking too much time and, as a result, are causing delays.

4. Identifying and addressing any other technical issues with the survey instrument.
5. Making any final additions/edits to the survey instrument to address minor questions and/or survey length concerns.
6. Aiding in the development of high frequency and consistency checks, in order to ensure good data quality

Full access to the dataset will be provided to all research team members once the pre-analysis plan has been filed on the AEA RCT registry, possibly in late July.



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick response needed] GE: endline household data access plan

Johannes Haushofer <haushofer@princeton.edu>

Fri, Jun 24, 2016 at 9:41 PM

To: Francis Meyo <fmeyo@poverty-action.org>

Cc: Michael W Walker <mwwalker@econ.berkeley.edu>, Edward Andrew MIGUEL <emiguel@berkeley.edu>, Paul Niehaus <pniehaus@ucsd.edu>, Francis Wong <francisawong@gmail.com>, Christina Brown <christinabrown@berkeley.edu>, Genevieve Denoeux <gcdenoeux@gmail.com>, Justin Ray Abraham <justinra@princeton.edu>, Maximilian Mueller <mwmueller@berkeley.edu>, George Ganda <gganda@poverty-action.org>

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

Thanks!!

On Saturday, June 25, 2016, Francis Meyo <fmeyo@poverty-action.org> wrote:

Dear Michael,

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

Thanks

Best regards,  
Meyo

Francis Meyo, Policy Coordinator, Innovations for Poverty Action - Kenya

**Address:** Sandalwood Lane, Riverside Drive, Nairobi.

**Phone** (office): + 254 707 387 429, (mobile): + 254 700 675 801

**Website:** [www.poverty-action.org](http://www.poverty-action.org) Email: fmeyo@poverty-action.org

**Skype:** francismeyo



[Quoted text hidden]

**Michael W Walker <mwwalker@berkeley.edu>**

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**[quick response needed] GE: endline household data access plan**

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**Edward Andrew MIGUEL <emiguel@berkeley.edu>**  
To: mwwalker@econ.berkeley.edu

Fri, Jun 24, 2016 at 5:19 PM

Dear Michael,

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

Sincerely,  
Ted Miguel

[Quoted text hidden]

--

Edward Miguel  
Department of Economics  
University of California, Berkeley



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick response needed] GE: endline household data access plan

**Paul Niehaus** <pniehaus@ucsd.edu>

Fri, Jun 24, 2016 at 10:13 PM

To: mwwalker@econ.berkeley.edu, Edward Andrew MIGUEL <emiguel@berkeley.edu>, Johannes Haushofer <haushofer@princeton.edu>, Francis Wong <francisawong@gmail.com>, Christina Brown <christinabrown@berkeley.edu>, Genevieve Denoeux <gcdenoeux@gmail.com>, Justin Abraham <justinra@princeton.edu>, Francis Meyo <fmeyo@poverty-action.org>, Maximilian Mueller <mwmueller@berkeley.edu>, George Ganda <gganda@poverty-action.org>

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

[Quoted text hidden]

--  
Associate Professor of Economics  
UC San Diego  
[econweb.ucsd.edu/~pniehaus](http://econweb.ucsd.edu/~pniehaus)  
@PaulFNiehaus

**Michael W Walker <mwwalker@berkeley.edu>**

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**[quick response needed] GE: endline household data access plan**

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**Michael W Walker <mwwalker@econ.berkeley.edu>**

Sat, Jun 25, 2016 at 10:41 AM

Reply-To: mwwalker@econ.berkeley.edu

To: Michael W Walker &lt;mwwalker@econ.berkeley.edu&gt;

I confirm that I have read the note on the data management, access and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

Michael Walker  
PhD Candidate, UC Berkeley  
[Quoted text hidden]



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick response needed] GE: endline household data access plan

**Justin Abraham** <justinra@princeton.edu>

Fri, Jun 24, 2016 at 10:51 PM

To: Christina Brown &lt;christinabrown@berkeley.edu&gt;

Cc: Paul Niehaus &lt;pniehaus@ucsd.edu&gt;, "mwwalker@econ.berkeley.edu" &lt;mwwalker@econ.berkeley.edu&gt;, Edward Andrew MIGUEL &lt;emiguel@berkeley.edu&gt;, "Johannes A. Haushofer" &lt;haushofer@princeton.edu&gt;, Francis Wong &lt;francisawong@gmail.com&gt;, Genevieve Denoeux &lt;gcdenoeux@gmail.com&gt;, Francis Meyo &lt;fmeyo@poverty-action.org&gt;, Maximilian Mueller &lt;mwmueller@berkeley.edu&gt;, George Ganda &lt;gganda@poverty-action.org&gt;

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

On Fri, Jun 24, 2016 at 10:48 PM, Christina Brown <christinabrown@berkeley.edu> wrote:

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

I will then compile these responses and upload with the data access plan.

- Christina Brown

Sent from my iPhone

On Jun 24, 2016, at 10:13 PM, Paul Niehaus <pniehaus@ucsd.edu> wrote:

[Quoted text hidden]



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick response needed] GE: endline household data access plan

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**Christina Brown** <christinabrown@berkeley.edu>

Fri, Jun 24, 2016 at 10:48 PM

To: Paul Niehaus &lt;pniehaus@ucsd.edu&gt;

Cc: mwwalker@econ.berkeley.edu, Edward Andrew MIGUEL &lt;emiguel@berkeley.edu&gt;, Johannes Haushofer &lt;haushofer@princeton.edu&gt;, Francis Wong &lt;francisawong@gmail.com&gt;, Genevieve Denoeux &lt;gcdenoeux@gmail.com&gt;, Justin Abraham &lt;justinra@princeton.edu&gt;, Francis Meyo &lt;fmeyo@poverty-action.org&gt;, Maximilian Mueller &lt;mwmueller@berkeley.edu&gt;, George Ganda &lt;gganda@poverty-action.org&gt;

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

I will then compile these responses and upload with the data access plan.

- Christina Brown

Sent from my iPhone

[Quoted text hidden]



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

---

**[quick response needed] GE: endline household data access plan**

Genevieve <gcdnoeux@gmail.com>  
To: mwwalker@econ.berkeley.edu

Fri, Jun 24, 2016 at 8:27 PM

Hi Michael,

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

Genevieve

Sent from my iPhone

On Jun 24, 2016, at 4:31 PM, Michael W Walker <mwwalker@econ.berkeley.edu> wrote:

I confirm that I have read the note on data management, access, and the pre-analysis plan, dated June 24, 2016, and agree to follow the specified plan.

**Michael W Walker <mwwalker@berkeley.edu>**

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**[quick response needed] GE: endline household data access plan**

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**Francis Wong** <francisawong@gmail.com>  
To: "mwwalker@econ.berkeley.edu" <mwwalker@econ.berkeley.edu>

Fri, Jun 24, 2016 at 4:45 PM

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

[Quoted text hidden]

--

Francis Wong  
Graduate Student  
Department of Economics  
University of California, Berkeley



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

---

## [quick response needed] GE: endline household data access plan

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**GEORGE GANDA** <gganda@poverty-action.org>

Sat, Jun 25, 2016 at 12:18 AM

To: "mwwalker@econ.berkeley.edu" <mwwalker@econ.berkeley.edu>, Edward Andrew MIGUEL <emiguel@berkeley.edu>, Paul Niehaus <pniehaus@ucsd.edu>, Johannes Haushofer <haushofer@princeton.edu>, Francis Wong <francisawong@gmail.com>, Christina Brown <christinabrown@berkeley.edu>, Genevieve Denoeux <gcdenoeux@gmail.com>, Justin Abraham <justinra@princeton.edu>, Francis Meyo <fmeyo@poverty-action.org>, Maximilian Mueller <mwmueller@berkeley.edu>

Hi Michael,

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

Kind Regards,

---

**From:** Michael W Walker

**Sent:** 6/25/2016 2:32

**To:** Edward Andrew MIGUEL; Paul Niehaus; Johannes Haushofer; Francis Wong; Christina Brown;

Genevieve Denoeux; Justin Abraham; Francis Meyo; Maximilian Mueller; George Ganda

**Subject:** [quick response needed] GE: endline household data access plan

Hi all,

This is important (and easy) and I'd like to have it done ASAP. We'd like to add a statement to the AEA RCT Registry noting how we have and will handle household endline survey data in advance of registering a pre-analysis plan. It specifies who will be able to look at what data to ensure high-quality data collection and, in light of this, who will work on putting together the pre-analysis plan. Ted and I have reviewed this plan and sign off on it.

Please respond to this email with the following statement:

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

I will then compile these responses and upload with the data access plan.

Please let me know if you have any questions about this, and have a great weekend!

Best,

Michael

--  
Michael Walker

Economics Graduate Student

UC-Berkeley

mwwalker@econ.berkeley.edu



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick response needed] GE: endline household data access plan

**Francis Meyo** <fmeyo@poverty-action.org>

Fri, Jun 24, 2016 at 6:35 PM

To: Michael W Walker &lt;mwwalker@econ.berkeley.edu&gt;

Cc: Edward Andrew MIGUEL &lt;emiguel@berkeley.edu&gt;, Paul Niehaus &lt;pniehaus@ucsd.edu&gt;, Johannes Haushofer &lt;haushofer@princeton.edu&gt;, Francis Wong &lt;francisawong@gmail.com&gt;, Christina Brown &lt;christinabrown@berkeley.edu&gt;, Genevieve Denoeux &lt;gcdenoeux@gmail.com&gt;, Justin Abraham &lt;justinra@princeton.edu&gt;, Maximilian Mueller &lt;mwmueller@berkeley.edu&gt;, George Ganda &lt;gganda@poverty-action.org&gt;

Dear Michael,

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

Thanks

Best regards,  
Meyo

Francis Meyo, Policy Coordinator, Innovations for Poverty Action - Kenya

**Address:** Sandalwood Lane, Riverside Drive, Nairobi.

**Phone** (office): + 254 707 387 429, (mobile): + 254 700 675 801

**Website:** [www.poverty-action.org](http://www.poverty-action.org) Email: fmeyo@poverty-action.org

**Skype:** francismeyo



[Quoted text hidden]



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick response needed] GE: endline household data access plan

**Maximilian Mueller** <mwmueller@berkeley.edu>

Sat, Jun 25, 2016 at 12:12 AM

To: mwwalker@econ.berkeley.edu

Cc: Edward Andrew MIGUEL &lt;emiguel@berkeley.edu&gt;, Paul Niehaus &lt;pniehaus@ucsd.edu&gt;, Johannes Haushofer &lt;haushofer@princeton.edu&gt;, Francis Wong &lt;francisawong@gmail.com&gt;, Christina Brown &lt;christinabrown@berkeley.edu&gt;, Genevieve Denoeux &lt;gcdenoeux@gmail.com&gt;, Justin Abraham &lt;justinra@princeton.edu&gt;, Francis Meyo &lt;fmeyo@poverty-action.org&gt;, George Ganda &lt;gganda@poverty-action.org&gt;

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

**Maximilian**

[Quoted text hidden]

&lt;GE Project Endline Household Data Access Notes\_2016-06-24.docx&gt;



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## GE Household Endline Data Access Plan

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**Gabriel Ngoga** <gngoga@poverty-action.org>  
To: Michael W Walker <mwwalker@econ.berkeley.edu>  
Cc: Francis Meyo <fmeyo@poverty-action.org>

Fri, Jun 24, 2016 at 4:48 AM

Hi Michael,

I confirm that I have read the note on data management, access, and the preanalysis plan, dated June 24, 2016, and agree to follow the specified plan.

Best,

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**Gabriel Ngoga, Research Associate-Innovations for Poverty Action – Kenya**

**Address:** Former Siaya Guest House, next to ACK Cathedral Church, Rabango Road, Siaya

**Phone(Office):** +254 728 620 537, **Mobile(Personal):** +254 720 319 567

**Website:** [www.poverty-action.org](http://www.poverty-action.org), **Email:** [gngoga@poverty-action.org](mailto:gngoga@poverty-action.org)

**Skype:** [gabby.ngoga](#)

[Quoted text hidden]

## **GE Project Endline Household Data: Notes on Management/Access and Pre-Analysis Plan**

Date: July 28, 2016

Amending original note dated June 24, 2016

*Note: This updates the previous data access note by adding two members to the field team. Meshack Okello will be based in Siaya, Kenya and Zenan Wang will be based in Berkeley, CA. Email signatures from both indicating acceptance of this plan are attached.*

*The text of the original note follows, with changes in italics.*

On May 30, 2016, we launched the GE Effects Endline Household Survey to measure the social and economic living standards of roughly 9,100 households in our sample of villages in Siaya County, Kenya. As of June 23, 2016, we have completed 604 household surveys.

As of June 23, 2016, we have not filed our pre-analysis plan outlining the key research questions, outcomes and estimating equations related to the household endline data on the general equilibrium effects of unconditional cash transfers. The pre-analysis plan will be prepared by Johannes Haushofer, Edward Miguel, Paul Niehaus, and Michael Walker, with assistance from Justin Abraham, Christina Brown, Genevieve Denoeux and Francis Wong, henceforth the “research team”, and will be uploaded to the AEA RCT Registry at a future point in time, possibly in late July.

In general, survey data will be compiled, organized and stored by the field management team based in Siaya, Kenya. This team consists of George Ganda, Francis Meyo, Gabriel Ngoga, Maximilian Mueller, *Meshack Okello and Zenan Wang*, henceforth the field team. During the initial weeks of the data collection, the field team has shared some data with the research team, which is outlined below. Any additional data that is shared after June 21, 2016 will be less than 800 surveys (about 10% of the sample if we achieve a 90% tracking rate) and will be de-identified and stripped of any indicators that may expose the treatment status of households.

To date, the following data has been viewed by the following members of the research team. No measures of treatment status have been, nor will be, merged with any of this household data by any members of the research or field team. The only way in which treatment status data will be used by the field team is to ensure tracking rates are balanced across treatment and control households.

- Michael Walker reviewed data prepared by Mueller on the first 334 surveys.
- Christina Brown received data for 187 of these 334 surveys with data from section 12 of the survey on consumption. This included village names and was prepared by Walker.

The datasets that were not stripped of identifiers have subsequently been deleted and will be replaced by de-identified versions that are stripped of identifiers.

The initial access was/will be provided for the following purposes:

1. Identifying and correcting any coding errors in the survey instrument that are causing certain questions to be skipped.
2. Making improvements to the choice sets for multiple-choice questions, to better reflect the types of answers that are being provided by the respondents.
3. Identifying and amending questions that are taking too much time and, as a result, are causing delays.
4. Identifying and addressing any other technical issues with the survey instrument.
5. Making any final additions/edits to the survey instrument to address minor questions and/or survey length concerns.
6. Aiding in the development of high frequency and consistency checks, in order to ensure good data quality

Full access to the dataset will be provided to all research team members once the pre-analysis plan has been filed on the AEA RCT registry, possibly in late July.

**Michael W Walker <mwwalker@berkeley.edu>**

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## GE Data access plan

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**Meshack Odhiambo Okello <mokello@poverty-action.org>**  
To: Michael W Walker <mwwalker@econ.berkeley.edu>

Thu, Jul 28, 2016 at 11:58 AM

Hi Michael,  
I have read the note on data management, access and the pre-analysis plan, dated June 24 2016 and July 28 2016, and agree to follow the specified plan.

Thanks,  
Meshack

Meshack Odhiambo Okello, Research Associate, Innovations for Poverty Action – Kenya  
Address: Milimani Estate, Opposite Nyota FM Station, Bungoma  
Phone(Office): [+254 705813412](tel:+254705813412), Mobile(Personal): [+254 722230189](tel:+254722230189)  
Website: [www.poverty-action.org](http://www.poverty-action.org), Email: [mokello@poverty-action.org](mailto:mokello@poverty-action.org)  
Skype: meshack.odhiambo1

[Quoted text hidden]

**Michael W Walker <mwwalker@berkeley.edu>**

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## GE data access plan

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**Zenan Wang** <zenan.wang@berkeley.edu>  
To: Michael W Walker <mwwalker@berkeley.edu>

Fri, Jul 29, 2016 at 12:31 AM

Hi Micheal,

I confirm that I have read the note on data management, access and the pre-analysis plan, dated June 24 2016 and July 28 2016, and agree to follow the specified plan.

Zenan

On Thu, Jul 28, 2016 at 12:29 AM, Michael W Walker <mwwalker@berkeley.edu> wrote:

Hi Zenan,

I have attached a document outlining how the project will be handling data in advance of filing a pre-analysis plan. Please read the document and let me know if you have any questions, then respond to this email with the following statement:

I confirm that I have read the note on data management, access and the pre-analysis plan, dated June 24 2016 and July 28 2016, and agree to follow the specified plan.

Thanks,  
Michael

## **GE Project Endline Enterprise Data: Notes on Management/Access and Pre-Analysis Plan**

Date: November 18, 2016

On November 4, 2016, we first launched the GE Effects Endline Enterprise Census to count the number of enterprises operating in the 653 villages that are a part of our sample in Siaya County, Kenya. As of November 16, 2016, we have visited 91 villages for enterprise censusing activities. At the conclusion of the enterprise census, we will go back to survey all or a subset of the enterprises that have been censused.

As of November 18, 2016, we have not filed our pre-analysis plan outlining the key research questions, outcomes and estimating equations related to the enterprise endline data on the general equilibrium effects of unconditional cash transfers. The pre-analysis plan will be prepared by Johannes Haushofer, Edward Miguel, Paul Niehaus, and Michael Walker, with assistance from Justin Abraham, Francis Wong, and Zenan Wang, henceforth the “research team”, and will be uploaded to the AEA RCT Registry at a future point in time.

In general, census and survey data will be compiled, organized and stored by the field management team based in Siaya, Kenya. This team consists of Meshack Okello and George Ganda, henceforth the field team. During the initial weeks of the data collection for both the enterprise census and survey, the field team will share some de-identified data with the research team; we outline the reasons for this data sharing below. The total amount of de-identified data shared with the research team from the enterprise census will not exceed 65 villages (10% of the total number of villages in the GE sample). The shared data from the enterprise survey will not exceed the maximum of 65 villages or 10% of the total number of censused enterprises. The shared data will be de-identified and stripped of any indicators that may expose the treatment status of enterprises. After the conclusion of the endline enterprise census, the field team will handle the construction of tracking materials and survey pre-fill information for the endline survey.

No measures of treatment status have been, nor will be, merged with any of this enterprise data by any members of the research or field team. The only way in which treatment status data will be used by the field team is to ensure tracking rates are balanced across treatment and control enterprises.

The initial access to the enterprise census and survey data is provided for the following purposes:

1. Identifying and correcting any coding errors in the survey instrument that are causing certain questions to be skipped.
2. Making improvements to the choice sets for multiple-choice questions, to better reflect the types of answers that are being provided by the respondents.
3. Identifying and amending questions that are taking too much time and, as a result, are causing delays.

4. Identifying and addressing any other technical issues with the survey instrument.
5. Making any final additions/edits to the survey instrument to address minor questions and/or survey length concerns.
6. Aiding in the development of high frequency and consistency checks, in order to ensure good data quality

If we determine any adjustments are needed to the data management plan for the endline enterprise survey, we will file an amendment to this data management note.

Full access to the enterprise census and survey datasets will be provided to all research team members once the pre-analysis plan has been filed on the AEA RCT registry.



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Enterprise Data Management Note

Johannes Haushofer <haushofer@princeton.edu>

Tue, Nov 22, 2016 at 8:05 AM

To: Paul Niehaus <pniehaus@ucsd.edu>

Cc: Edward Andrew MIGUEL <emiguel@berkeley.edu>, "mwwalker@econ.berkeley.edu" <mwwalker@econ.berkeley.edu>, Meshack Odhiambo Okello <mokello@poverty-action.org>, George Ganda <gganda@poverty-action.org>, Justin Abraham <jrpabraham@gmail.com>, Zenan Wang <zenan.wang@berkeley.edu>, Francis Wong <francisawong@gmail.com>

Dear All,

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

Thanks,  
johannes

On Tue, Nov 22, 2016 at 4:43 PM, Paul Niehaus <pniehaus@ucsd.edu> wrote:

Thanks Michael - I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

best,  
~ Paul

On 11/21/2016 9:43 PM, Edward Andrew MIGUEL wrote:

[Quoted text hidden]

--  
Paul Niehaus  
Associate Professor of Economics  
UC San Diego  
[dss.ucsd.edu/~pniehaus](http://dss.ucsd.edu/~pniehaus)  
@PaulFNiehaus



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Enterprise Data Management Note

**Edward Andrew MIGUEL** <emiguel@berkeley.edu>

Mon, Nov 21, 2016 at 9:43 PM

To: mwwalker@econ.berkeley.edu, Paul Niehaus &lt;pniehaus@ucsd.edu&gt;, Johannes Haushofer &lt;haushofer@princeton.edu&gt;, Meshack Odhiambo Okello &lt;mokello@poverty-action.org&gt;, George Ganda &lt;gganda@poverty-action.org&gt;, Justin Abraham &lt;jrpabraham@gmail.com&gt;, Zenan Wang &lt;zenan.wang@berkeley.edu&gt;, Francis Wong &lt;francisawong@gmail.com&gt;

Dear all,

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

Best,

Ted Miguel

[Quoted text hidden]

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Edward Miguel  
Department of Economics  
University of California, Berkeley



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Enterprise Data Management Note

**Paul Niehaus** <pniehaus@ucsd.edu>

Tue, Nov 22, 2016 at 7:43 AM

To: Edward Andrew MIGUEL <emiguel@berkeley.edu>, mwwalker@econ.berkeley.edu, Johannes Haushofer <haushofer@princeton.edu>, Meshack Odhiambo Okello <mokello@poverty-action.org>, George Ganda <gganda@poverty-action.org>, Justin Abraham <jrpabraham@gmail.com>, Zenan Wang <zenan.wang@berkeley.edu>, Francis Wong <francisawong@gmail.com>

Thanks Michael - I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

best,  
~ Paul

[Quoted text hidden]

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Paul Niehaus  
Associate Professor of Economics  
UC San Diego  
[dss.ucsd.edu/~pniehaus](http://dss.ucsd.edu/~pniehaus)  
@PaulFNiehaus

**Michael W Walker <mwwalker@berkeley.edu>**

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## [quick] GE Enterprise Data Management Note

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**Michael W Walker** <mwwalker@econ.berkeley.edu>  
Reply-To: mwwalker@econ.berkeley.edu  
To: Michael W Walker <mwwalker@berkeley.edu>

Tue, Nov 22, 2016 at 3:33 PM

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

Michael Walker  
UC Berkeley  
[Quoted text hidden]

**Michael W Walker <mwwalker@berkeley.edu>**

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## [quick] GE Enterprise Data Management Note

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**Justin Abraham <jrpabraham@gmail.com>**

Tue, Nov 22, 2016 at 8:12 AM

To: Johannes Haushofer &lt;haushofer@princeton.edu&gt;

Cc: Paul Niehaus &lt;pniehaus@ucsd.edu&gt;, Edward Andrew MIGUEL &lt;emiguel@berkeley.edu&gt;, "mwwalker@econ.berkeley.edu" &lt;mwwalker@econ.berkeley.edu&gt;, Meshack Odhiambo Okello &lt;mokello@poverty-action.org&gt;, George Ganda &lt;gganda@poverty-action.org&gt;, Zenan Wang &lt;zenan.wang@berkeley.edu&gt;, Francis Wong &lt;francisawong@gmail.com&gt;

Dear all,

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

Best,

Justin

[Quoted text hidden]



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

---

## [quick] GE Enterprise Data Management Note

Francis Wong <francisawong@gmail.com>  
To: Michael W Walker <mwwalker@econ.berkeley.edu>

Mon, Nov 21, 2016 at 9:31 PM

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

On Mon, Nov 21, 2016 at 8:45 PM, Michael W Walker <mwwalker@econ.berkeley.edu> wrote:

Hi all,

In the same vein as the for the endline household survey data, I've put together a note on data management and access for the enterprise census & survey data outlining who will have access to what. Please review the note and then respond to me with the following lines:

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

Thanks,  
Michael

--  
Michael Walker  
Economics Graduate Student  
UC-Berkeley  
[mwwalker@econ.berkeley.edu](mailto:mwwalker@econ.berkeley.edu)

--  
Francis Wong  
Graduate Student  
Department of Economics  
University of California, Berkeley



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Enterprise Data Management Note

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**Zenan Wang** <zenan.wang@berkeley.edu>

Tue, Nov 22, 2016 at 7:21 PM

To: "mwwalker@econ.berkeley.edu" &lt;mwwalker@econ.berkeley.edu&gt;

Cc: Edward Miguel &lt;emiguel@berkeley.edu&gt;, Paul Niehaus &lt;pniehaus@ucsd.edu&gt;, Johannes Haushofer &lt;haushofer@princeton.edu&gt;, Meshack Odhiambo Okello &lt;mokello@poverty-action.org&gt;, George Ganda &lt;gganda@poverty-action.org&gt;, Justin Abraham &lt;jrpabraham@gmail.com&gt;, Francis Wong &lt;francisawong@gmail.com&gt;

Hi All,

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

Zenan

[Quoted text hidden]



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Enterprise Data Management Note

Meshack Odhiambo Okello <mokello@poverty-action.org>

Mon, Nov 21, 2016 at 8:55 PM

To: Michael W Walker <mwwalker@econ.berkeley.edu>

Cc: Edward Miguel <emiguel@berkeley.edu>, Paul Niehaus <pniehaus@ucsd.edu>, Johannes Haushofer <haushofer@princeton.edu>, George Ganda <gganda@poverty-action.org>, Justin Abraham <jrpabraham@gmail.com>, Zenan Wang <zenan.wang@berkeley.edu>, Francis Wong <francisawong@gmail.com>

Dear All,

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

Thanks,  
Meshack

Meshack Odhiambo Okello, Research Associate, Innovations for Poverty Action – Kenya

Address: Former Siaya Guest House, next to ACK Cathedral, Rabango Road, Siaya

Phone(Office): +254 795209911, Mobile(Personal): +254 722230189

Website: [www.poverty-action.org](http://www.poverty-action.org), Email: mokello@poverty-action.org

Skype: meshack.odhiambo1

[Quoted text hidden]



Michael W Walker &lt;mwwalker@berkeley.edu&gt;

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## [quick] GE Enterprise Data Management Note

**George Ganda** <gganda@poverty-action.org>

Mon, Nov 21, 2016 at 9:18 PM

To: "mwwalker@econ.berkeley.edu" &lt;mwwalker@econ.berkeley.edu&gt;, Edward Miguel &lt;emiguel@berkeley.edu&gt;, Paul Niehaus &lt;pniehaus@ucsd.edu&gt;, Johannes Haushofer &lt;haushofer@princeton.edu&gt;, Meshack Odhiambo Okello &lt;mokello@poverty-action.org&gt;, Justin Abraham &lt;jrpabraham@gmail.com&gt;, Zenan Wang &lt;zenan.wang@berkeley.edu&gt;, Francis Wong &lt;francisawong@gmail.com&gt;

Dear All,

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

Thanks,  
George

---

**From:** Michael W Walker

**Sent:** 11/22/2016 7:45

**To:** Edward Miguel; Paul Niehaus; Johannes Haushofer; Meshack Odhiambo Okello; George Ganda; Justin Abraham; Zenan Wang; Francis Wong

**Subject:** [quick] GE Enterprise Data Management Note

Hi all,

In the same vein as the for the endline household survey data, I've put together a note on data management and access for the enterprise census & survey data outlining who will have access to what. Please review the note and then respond to me with the following lines:

I confirm that I have read the note on data management, access and the pre-analysis plan for the local leader survey data, dated November 18 2016, and agree to follow the specified plan.

Thanks,  
Michael

--  
Michael Walker  
Economics Graduate Student  
UC-Berkeley  
mwwalker@econ.berkeley.edu