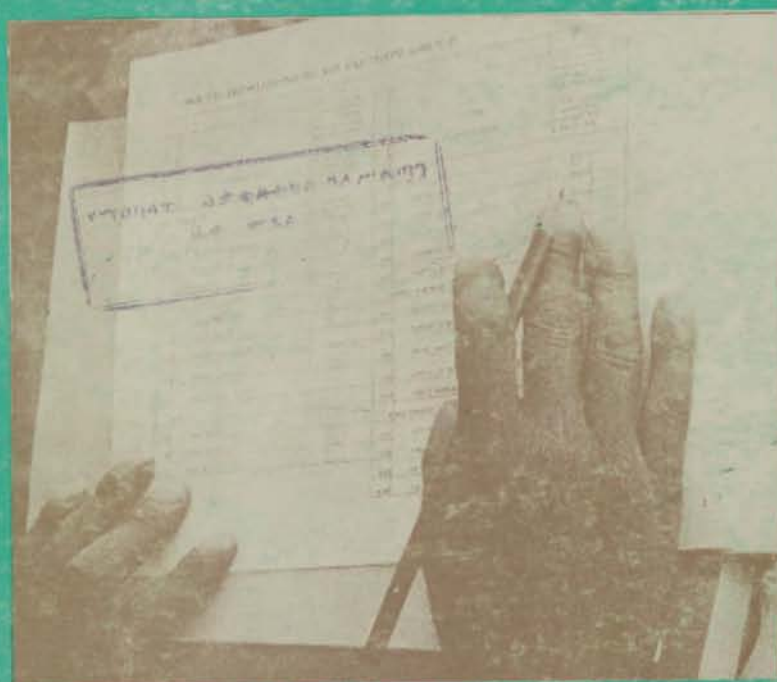


FEDERAL DEMOCRATIC REPUBLIC OF ETHIOPIA  
CENTRAL STATISTICAL AGENCY

ETHIOPIA

RURAL INVESTMENT CLIMATE SURVEY



Basic Information Document

November 2007

Central Statistics Agency  
Addis Ababa  
Ethiopia

<http://www.csa.gov.et/index.htm>

in collaboration with

The World Bank  
Washington, DC

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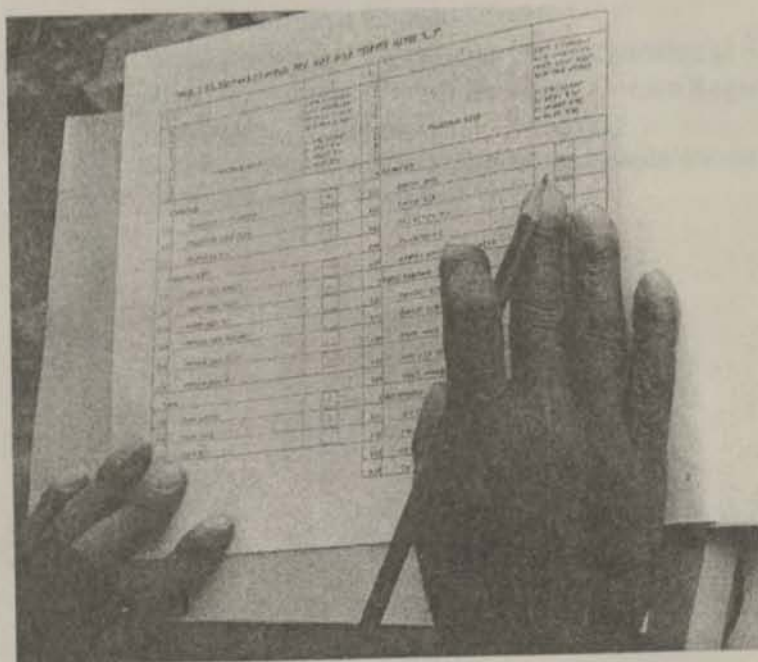
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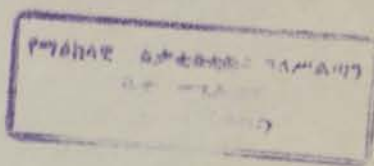
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## ACRONYMS

ADLI	Agricultural Development Led Industrialization Strategy
AgSS	Agricultural Sample Survey
CSA	Central Statistical Agency
EA	Enumeration Area
PASDEP	Plan for Accelerated and Sustainable Development to End Poverty
PPS	Probability Proportional to Size
PSU	Primary Sampling Unit
RICA	Rural Investment Climate Assessment
RICS	Rural Investment Climate Survey
RICS-AgSS	Rural Investment Climate Survey – Agricultural Sample Survey
RICS-Amhara	Rural Investment Climate Survey – Amhara Region
SEPS	Systematic Equal Probability Sampling
SNNP	Southern Nations, Nationalities and People's Region
SRS	Simple Random Sampling

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## 1.0 INTRODUCTION

Ethiopia has one of the highest levels of dependence on agriculture of any country in the world. Agriculture employs some 80 percent of the economically active population and contributed to about 42 percent of GDP in 2004. Over 95 percent of the agricultural output is produced by smallholder and subsistence-oriented farmers. Based on scattered data, it is often believed that there is little diversification beyond agriculture. For Ethiopia, depending on the source, limited and scattered empirical evidence suggests that only some 10-35 percent of rural households are engaged in non-farm enterprise activities. Methodological and data limitations have so far prevented to assess the size of Ethiopia's rural non-farm sector (improving this information gaps was one of the reasons to conduct a Rural Investment Climate Survey for Ethiopia). The low participation compares to an estimated average of about 40-45 percent of average rural household non-farm participation in Africa.<sup>1</sup>

Agricultural growth has been variable, fluctuating around an estimated trend growth rate of only 1.8 percent per annum over the 1981/82-2002/03 period. As employment opportunities within agriculture are unable to keep up with growth in the labor force, there is a need to diversify rural incomes. The government's primary focus in its approach to rural development has been on the intensification of agricultural production within the context of an agricultural development led industrialization strategy (ADLI). More recently, however, as elaborated in the Plan for Accelerated and Sustainable Development to End Poverty (PASDEP), the rural development strategy has been broadened beyond the initial focus on agricultural intensification with recognition of the need to stimulate rural-urban linkages. Overall, the PASDEP continues to advocate the ADLI strategy but adopts a more balanced approach. This is done by emphasizing the importance of private initiative of rural households, income diversification and commercialization of agriculture.

The Rural Investment Climate Survey (RICS) will be an important input to operationalize the PASDEP as it provides detailed information about non-farm enterprises in selected areas in Ethiopia. The purpose of this document is to provide documentation of the Rural Investment Climate Survey (RICS) data to facilitate use and to avoid misuse. The Ethiopia RICS data is

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<sup>1</sup> For a review see Olapade and Guenther (2007). *The Non-farm Economy in Rural Ethiopia 1995-2005: Characteristics and Dynamics*. Background paper for the Ethiopia Rural Investment Climate Assessment. Washington DC: World Bank. Ethiopia's only nationally representative survey was conducted in 1996. For a summary see Ministry of Labor and Social Affairs (1997): *Agricultural Wage Employment and the Rural Non-farm Employment in Ethiopia: Survey Results*. Addis Ababa: MOLSA.

compromised of 2 survey efforts: **RICS-AgSS** and **RICS-Amhara**. The RICS-AgSS comprises a short set of questions about non-farm enterprises which was fielded as part of the national Agricultural Sample Survey (AgSS). The RICS-Amhara comprises a more detailed effort to collect information on non-farm enterprises and their households from the Amhara region.

The report is organized in six sections. Section II contains a detailed outline of the questionnaires used in the administration of the survey. Section III provides information on the sample design used. Section IV provides descriptions of the pilot testing of the questionnaires and the organization of fieldwork for the actual survey. Section V explains how the data is structured and organized. Section VI discusses data quality. The appendices provide additional information on survey management, concepts and definitions, and codes not in the questionnaire.

## **2.0 SURVEY QUESTIONNAIRES**

The Ethiopia RICS is comprised of two survey efforts: RICS-AgSS and RICS-Amhara. The RICS-AgSS consists of a short set of core questions about household non-farm enterprises. The RICS-Amhara survey consists of three questionnaires to collect information: a household questionnaire; an enterprise questionnaire; and a community questionnaire.

### **2.1 RICS-AgSS QUESTIONNAIRE**

The RICS-AgSS questionnaire consists of a set of about 30 questions asked for each non-farm enterprise operated by households. For all those households who do not operate a non-farm business a small sub-set of questions, including investment constraints to open and/or operate a non-farm enterprise, are asked. The questionnaire is asked of a subset of all enumeration areas covered by the AgSS (see section 3.0 on sample design).

### **2.2 RICS-AMHARA HOUSEHOLD QUESTIONNAIRE**

The RICS-Amhara household questionnaire collects information from all sample households, regardless of whether the household has any non-farm enterprise (see section 3.0 on sample design). Table 1 provides an overview of the modules included in the RICS-Amhara household questionnaire.

**Table 1. Contents of the RICS-Amhara Household Questionnaire**

Section	Description
1 Area Identification	This section collects information on the location of the households within the survey area. It also collects information on the individuals (enumerators, supervisors, coordinators, etc) who were involved with the collection and verification of the information.
2 Household Demographics	The household demographics section collects information on the individuals who are resident in the household. It collects basic demographic information such as relationship to the household head, sex, age ethnicity and marital status among other items. It also collects literacy and education information for the household members.
3 Employment	The employment section is administered to all household members 10 years old and older and collects information on: <ul style="list-style-type: none"> <li>• Engagement in productive work</li> <li>• Primary and secondary jobs</li> <li>• Wages</li> <li>• Allowances and gratuities</li> <li>• Average daily wage for casual labor</li> <li>• Industry</li> <li>• Occupation</li> <li>• Days worked per month</li> <li>• Work in non-farm household enterprise in the household</li> </ul>
4 Living Conditions	This section is administered to the household head and collects information on: <ul style="list-style-type: none"> <li>• Ownership of dwelling</li> <li>• Size of dwelling</li> <li>• Sources of lighting</li> <li>• Sources of cooking fuel</li> <li>• Shocks experienced by the household</li> </ul>
5 Household and Farm Consumption Expenditures	This section collects the market value of items or services consumed during the past 7 days for food items, other household and farm goods and services
6 Sources of Household Income	This section collects information on the amounts of agricultural and non-agricultural income received by the household during the last month and the last 12 months. It also collects information on the amount of gifts received by the household and gifts given by members of the household
7 Assistance from Government or Aid Organizations	This section collects information on the aid received by members of the household during the last 3 years (2004, 2005 and 2006) from the government or private aid organizations
8 Credit	This section collects information about loans received by members of the household during the last 5 years. It includes loans received in cash or in-kind.
9 Household and Farm Asset Ownership	This section collects information on the durable goods owned by the household or farm.
10 Access to Basic Infrastructure and Institutions	This section collects information on the availability of infrastructure to the household. This includes such items as telecommunications, schools, health facilities, agricultural services, police and financial institutions.

## 2.3 RICS-AMHARA COMMUNITY QUESTIONNAIRE

The RICS-Amhara Community Questionnaire was designed to collect information that is common to all households in a given geographic area. During the survey a “community” was defined as a farmers’ Association in rural areas or a kebele in urban areas. These are the smallest administrative units in rural and urban areas respectively. The questionnaire was administered to a group of several knowledgeable residents such as the village headman, headmaster of the local school, agricultural field Assistant, religious leaders, local merchants, health workers and long-term knowledgeable residents. Table 2 provides an overview of the modules included in the RICS-Amhara community questionnaire.

**Table 2. Contents of the RICS-Amhara Community Questionnaire**

Section	Description
1 Area Identification	This section collects information on the location of the community so that it can be linked to the households within the survey area. It also collects information on the individuals (enumerators, supervisors, coordinators, etc) who were involved with the collection and verification of the information.
2 Access to Credit	This section collects information on the financial services in the area. It includes information on banks, micro-finance and community groups. It asks how far the institution is from the community, and the types of services offered.
3 Income and Economic Activities	This section collects information on the important sources of employment for individuals in the community.
4 Land and Agricultural Production	This section collects information on the agricultural services available in the community
5 Prices of Agricultural Products and Costs of Inputs, Infrastructure and Consumer Goods	Information on the prices received by farm producers, the costs which local producers pay, the costs of infrastructure and financial services, costs of consumer goods, and costs of wages and equipment rentals.
6 List of Major Enterprises Available in the Community	List of enterprises located in the community.
7 Investment Climate Constraints	List of possible constraints to investment and the level of constraint in the community.
8 Major Constraints	The four main constraints to starting non-farm enterprises in the community.

## 2.4 RICS-AMHARA ENTERPRISE QUESTIONNAIRE

The RICS-Amhara Enterprise Questionnaire was designed to collect information on all non-farm enterprises currently owned by any member of the sampled households. The

questionnaire was administered to the individual in the household who owned, either solely or with someone else, the enterprise. Table 3 provides an overview of the modules included in the RICS-Amhara enterprise questionnaire.

**Table 3. Contents of the RICS-Amhara Enterprise Questionnaire**

<b>Section</b>	<b>Description</b>
1 Area Identification	This section collects information on the location of the households with enterprises within the survey area. It also collects information on the individuals (enumerators, supervisors, coordinators, etc) who were involved with the collection and verification of the information.
2 Manager/Owner Characteristics	Demographic characteristics of the household member that owns or manages the non-farm enterprise.
3 Investment Climate Constraints	List of possible constraints to investment and the level of constraint.
4 Major Constraints	The four main constraints facing the enterprise, how those constraints have changed over the past 12 months, and the increase in sales that would result from the lifting of the constraint.
5 Association and Start Up	Membership in trade or business Associations, and source of start-up capital.
6 Labor	Number of permanent and seasonal laborers in the last 12 months and the start up year. These numbers are also divided by household and non-household members.
7 Products/ Services and Sales	Information on the most important products and services sold over the past 12 months. Sales information collects units and prices, production information includes units, costs, and labor inputs. Information is collected for the past 12 months.
8 Expenditures	Expenditures for the last 12 months is collected for wages, transportation, fuel, electricity, water, telecommunication, rent/leasing, and other items.
9 Investments	Information on investments made since its start-up and in the last year.
10 Assets	Assets owned or used by the non-farm enterprise in terms of land, buildings, storage facilities, vehicles, and other equipment.
11 Competition	Competition to the non-farm enterprise within the community and in the country.
12 Market Information	Locations in which the non-farm enterprise markets its products and services.
13 Infrastructure	Use of electricity and telephones for the non-farm enterprise.
14 Non-Farm Enterprise Credit	Use of credit for the enterprise. Applications for loans, success in receiving loans, and repayment information.
15 Enterprise Registration and Permits	Information on registry of the non-farm enterprise with any government agencies.

### 3.0 SAMPLE DESIGN<sup>2</sup>

The RICS in Ethiopia is largely centered around the field work conducted for the Agricultural Sample Survey (AgSS). Most of the RICS-Amhara households are a subset of the RICS-AgSS households, the majority of which are in turn a subset of the AgSS. This section starts with a description of the AgSS in general, and then provides details on the RICS-AgSS sample and the RICS-Amhara sample.

#### 3.1 AGRICULTURAL SAMPLE SURVEY (AgSS)

The Agricultural Sample Survey (AgSS) is a long-standing effort, conducted annually by the CSA. It is designed to collect information from agricultural households about agricultural production and costs. An *agricultural household* is one in which one or more members are engaged in farming or husbandry as self-employed. The AgSS sampling design was last revised in 2002 and can be briefly described as follows for the year 2006/2007:<sup>3</sup>

- The total sample size was 69,806 agricultural households.
- About 30 households were interviewed in 2,332 Enumeration Areas (EAs),<sup>4</sup> of which 2,077 EAs were located in the four major regions of the country (Tigray, Amhara, Oromiya and SNNP).
- The sample is explicitly stratified by zone, intended to furnish estimates for most of Ethiopia's approximately 70 zones. In 2006/2007 65 zones were covered of which 50 are in the four major regions which were covered by RICS-AgSS. Within each zone, the sample is selected in two stages: 1<sup>st</sup> stage is selection of EAs as primary units and 2<sup>nd</sup> stage is selection of households as secondary units.
- EAs were selected with probability proportional to size (PPS) using the number of agricultural households as a measure of size. Apart from minor additions, the sample of AgSS EAs has not changed since they were originally chosen in 2002.

<sup>2</sup> This section is drawn from the document written by Juan Muñoz, "Ethiopia Rural Investment Climate Survey (RICS): Proposed sampling strategy.", July 2006

<sup>3</sup> For a detailed description, see Megill, D. J., *Review of estimation procedures for the Ethiopia National Agricultural Sample Census enumeration, and sampling considerations for the next Agricultural Sample Survey*. U.S. Bureau of the Census. July 2002.

<sup>4</sup> An Enumeration Area (EA) is a unit of land delineated for the purpose of enumerating the population and housing units without omission and duplication. An EA in rural areas usually consists of 150-200 households, and in urban areas an EA constitutes housing units. What do you mean that an EA constitutes housing units?

- In each EA, 30 agricultural households are selected by systematic equal probability sampling (SEPS) from annually updated household listings. The listing of households and household selection is done independently each year in each EA.
- Fieldwork is conducted by resident interviewers. One enumerator, who is a permanent resident of the EA, is assigned to perform all AgSS field activities in that EA and only in that EA.

### 3.2 RICS-AgSS SAMPLE STRATEGY

#### *RICS-AgSS EA Selection*

The RICS-AgSS was conducted in 490 EAs in the four major regions (Tigray, Amhara, Oromiya and SNNP) of Ethiopia. The RICS-AgSS visited all of the EAs visited by the AgSS in four specific zones in Amhara:

North Gonder (44 EAs)	South Gonder (44 EAs)
North Wello (46 EAs)	West Gojjam (48 EAs).

In the rest of Amhara and in the other three major regions, the RICS-AGSS visited a subset of the EAs visited by the AgSS. The number of EAs in each of the subsets is:

Rest of Amhara 50 EAs of 224	Tigray 60 EAs of 165
Oromiya 79 EAs of 573	SNNP 81 EAs of 612

See Appendix 2 for the geographical location of the 4 major zones in Amhara and the 4 major regions in Ethiopia. The number of EAs from the rest of Amhara and the other three major regions was established with the intention of providing in each of these four reporting domains estimations of a quality similar to that of the four specific zones in Amhara (North Gonder, South Gonder, North Wello and West Gojjam). Within each of the four major regions (Tigray, Amhara, Oromiya and SNNP) the RICS-AgSS sub-sample was allocated with a minimum of two EAs in each zone. Within each zone, the RICS-AgSS EAs were selected by SEPS. The zones covered in the RICS AgSS can be clustered into a smaller group following the table in Appendix 3 for easier analysis.

#### *RICS-AgSS Household Selection*

In each of the rural EAs the RICS-AgSS surveyed 32 households:

- all 30 agricultural households visited by the AgSS

- 2 additional non-agricultural households, selected among all non-agricultural households in the EA by SEPS.

If less than 2 non-agricultural households were present in the respective EA, less than 2 non-agricultural households were surveyed and more agricultural households (again selected by SEPS) were interviewed instead so that the total number of households remained 32 per EA. No replacement was made if a household refused to answer, could not be found or had moved to another EA, which led to less than 32 households in some EAs (see Table 9).

### *RICS-AgSS Sample Size*

The total nominal sample size of the RICS-AgSS is thus 14,464 households EAs (32 households in each of the 452 rural EAs). Thereof, 13,560 households are agricultural households (30 households in 452 EAs) and 904 are non-agricultural households (2 households in 452 EAs). Table 4 gives the distribution of the EAs in RICS-AgSS by region and zone.

**Table 4: Distribution of the AgSS and RICS-AgSS EAs**

	AgSS	RICS-AgSS		AgSS	RICS-AgSS
<b>Tigray</b>			<b>Amhara</b>		
1 North Western	31	10	1 North Gonder	44	44
2 Central	40	18	2 South Gonder	44	44
3 Eastern	29	10	3 North Wello	46	46
4 Southern	40	16	4 South Wello	48	16
5 Western	25	6	5 North Shewa	40	10
Total	165	60	6 East Gojjam	48	13
			7 West Gojjam	48	48
<b>SNNP</b>			8 Wag Hemira	28	3
1 Guraghe	38	7	9 Awi	32	5
2 Hadiya	34	6	10 Oromiya	28	3
3 Kembata Alaba Tambaro	33	3	Total	406	232
20 Siltie	32	14			
21 Alaba Special Wereda	20	4	<b>Oromiya</b>		
4 Sidama	44	7	1 West Wellega	42	4
5 Gedeo	34	2	2 East Wellega	45	6
6 Wolayita	40	2	3 Illubor	36	4
7 South Omo	33	4	4 Jimma	48	9
8 Shaka	24	7	5 West Shewa	42	7
9 Keffa	36	3	6 North Wehwa	34	5
10 Gamo Gofa	40	2	7 South West Shewa	40	6
11 Bench Maji	32	2	8 East Shewa	44	9
12 Yem Special Wereda	20	2	9 Arsi	46	6
13 Amaro Special Werea	20	2	10 West Harerghe	40	8
14 Burji Special Wereda	20	2	11 East Harerghe	44	6
15 Konso Special Wereda	20	2	12 Bale	40	3
16 Derashe Special Wereda	20	2	13 Borena	36	3
17 Dawro	32	2	14 Guji	36	3
18 Basketo Special Wereda	20	4	Total	573	79
19 Konta Special Wereda	20	2			
Total	612	81			

### 3.3 RICS-AMHARA SAMPLE STRATEGY

#### *RICS-Amhara EA Selection*

The RICS-Amhara was conducted in four zones of Amhara (North Gonder, South Gonder, North Wello, West Gojam). In these zones the survey visited two kinds of EAs: A subset of the EAs visited by the AgSS in the zone (which are all rural by design) and a random sample of EAs in small towns (operationally defined as towns with less than 10,000 habitants, often rural trading centers).<sup>5</sup> The total number of EAs visited by the RICS-Amhara in each of the special zones (North Gonder, South Gonder, North Wello, West Gojam) was the same as in the AgSS. The total number of EAs was allocated into AgSS (rural) and non-AgSS (small towns) EAs as described in Table 5:

**Table 5: RICS-Amhara EAs**

	AgSS EAs	Non-AgSS EAs (small towns)	Total EAs
RICS-Amhara	146	36	182
North Gonder	31	13	44
South Gonder	37	7	44
North Wello	39	7	46
West Gojam	39	9	48

The constraint of keeping the same number of EAs as in the AgSS and the total number of only 36 non-AgSS (small town) EAs was imposed by both budgetary and technical considerations. The cost of the operation is basically defined by the need to temporarily relocate some of the AgSS enumerators from their base locations (always rural EAs) to new locations in small towns. The number will furnish enough non-urban households (576 of them) to eventually permit some specific analyses of this particular group in the four special zones as a whole (but not for each zone in particular).

The distribution of the 36 non-AgSS (small town) EAs into zones used Markwardt's rule (also called 50/50 equal/proportional allocation,) in an effort to balance several desirable, but not complementary, conditions: Allocating 9 non-AgSS (small town) EAs to each zone would have

<sup>5</sup> The small towns are identified in the data set by the values=1 to 7 for the variable *v05*. These numbers are simply serial counts of small towns in each zone.

spread the relocation effort evenly among the four enumerators, but it would have also reduced the efficiency of the rural sample evenly. An allocation proportional to the number of small town-dwellers in each zone would have represented this group better, but it would have Assigned 17 non-AgSS (small town) EAs to North Gonder, thus trimming down too much the size of the rural sample there.

The selection of the non-AgSS (small town) EAs in each zone was done with PPS, using the number of households as a measure of size. Table 6 below gives the resulting list of all 36 non-AgSS (small town) EAs, along with their sizes and selection probabilities.

**Table 6: RICS-Amhara: Selection of non-AgSS EAs (Small Town EAs)**

Zone	No. of EAs selected	No of HHs in all small towns	Selected Enumeration Areas					
			Geocode *	No. of HHs	Selection probability			
(1)	(2)	(3)	(4)	(5)	(6) = (2) * (5) / (3)			
North Gonder	13	38,589	03 01 01 1 01 001 040	273	0.09197			
			03 01 04 1 01 001 022	231	0.07782			
			03 01 06 1 01 003 040	199	0.06704			
			03 01 08 2 01 001 013	372	0.12532			
			03 01 09 1 01 001 042	150	0.05053			
			03 01 10 2 01 001 030	195	0.06569			
			03 01 11 2 01 001 040	178	0.05997			
			03 01 12 1 01 001 010	196	0.06670			
			03 01 13 1 01 001 021	208	0.07007			
			03 01 14 2 01 002 010	285	0.09601			
			03 01 15 1 01 001 020	392	0.13206			
			03 01 17 2 01 026 010	215	0.07243			
			03 01 18 1 01 001 020	276	0.09298			
			South Gonder	7	11,837	03 02 03 2 01 001 040	219	0.12951
						03 02 05 2 01 001 020	169	0.09994
03 02 06 3 01 001 010	224	0.13247						
03 02 08 1 01 001 011	154	0.09107						
03 02 08 1 01 001 050	338	0.19988						
03 02 10 1 01 001 040	119	0.07037						
03 02 10 2 01 001 032	268	0.15849						
North Wello	7	12,272				03 03 08 2 01 001 060	127	0.07244
						03 03 09 1 01 001 010	315	0.17968
						03 03 10 1 01 001 010	315	0.17968
			03 03 10 1 01 002 061	181	0.10324			
			03 03 12 1 01 001 013	159	0.09069			
			03 03 13 1 01 001 020	143	0.08157			
			03 03 14 2 01 001 050	168	0.09583			
			West Gojjam	9	20,458	03 07 02 1 01 001 080	281	0.12362
						03 07 02 3 01 001 021	228	0.10030
						03 07 03 4 01 001 010	191	0.08403
03 07 12 1 01 001 011	206	0.09062						
03 07 14 1 01 001 020	153	0.06731						
03 07 15 2 01 001 060	95	0.04179						
03 07 15 3 01 001 032	156	0.06863						
03 07 16 3 01 001 020	243	0.10690						
03 07 18 2 01 001 030	295	0.12978						

\* 13-digit code composed of Region (2 digits), Zone (2 digits), Wereda (2 digits), Town (1 digit), Sub-town (2 digits), Kebele (3 digits), and Enumeration Area (3 digits)

The 146 AgSS EAs visited by the RICS-Amhara were selected by SEPS, as an independent process of the selection of the urban EAs. Note that all AgSS EAs visited by the RICS-Amhara were also surveyed by the RICS-AgSS. They are strictly rural EAs.

### **RICS-Amhara Household Selection**

The RICS-Amhara survey visited 16 households in each AgSS and non-AgSS EA, but the selection process was different in (1) AgSS (rural) and (2) non-AgSS (small town) EAs.

(1) In AgSS EAs (N=146) the sample was composed of:

- 12 agricultural households, selected among the 30 agricultural households visited by the RICS-AgSS.
- 2 non-agricultural households visited by the RICS-AgSS
- 2 extra non-agricultural households, selected among the remaining non-agricultural households in the EA.

All agricultural and non-agricultural households were selected by systematic equal probability sampling among all agricultural and non-agricultural households in the EA, respectively. It was first of all assumed that in each of the 146 EAs there were at least 4 non-agricultural households. However, in 70 out of the 146 EAs there were less than 4 non-agricultural households. Here, the survey just took the available non-agricultural households and surveyed more agricultural households instead (selected by SEPS), so that the total number of households surveyed in each EA remained 16.

(2) In non-AgSS (small town) EAs (N=36) the sample was composed of:

- 16 households which are randomly selected (a non-stratified sample) from all households in the EA.

If a household refused to answer, could not be found or had moved to another EA the household was replaced by another household of the remaining list of agricultural (or non-agricultural households) by SEPS. Those households have not been recorded, however the total number of replaced households did not exceed 10 (out of 2,912) households. Still, 3 households are “missing” in the RICS-Amhara Survey.<sup>6</sup>

### *RICS-Amhara Sample Size*

The total nominal sample size of the RICS-Amhara is thus 2,912 households (16 in each of the 182 EAs). Table 7 below shows the distribution of EAs and sampled households by zone, rural areas and small towns.

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<sup>6</sup> See Section 3.6 on actual sample size.

**Table 7: Distribution of the RICS-Amhara sample by zone, rural areas and small towns**

Zone	Total No. of EAs	Total sample size	In rural areas				In small towns	
			EAs	Ag HHs	Non-ag HHS	Total HHs	EAs	Total HHs
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
North Gonder	44	704	31	372	124	496	13	208
South Gonder	44	704	37	444	148	592	7	112
North Wello	46	736	39	468	156	624	7	112
West Gojjam	48	768	39	468	156	624	9	144
<b>Total</b>	<b>182</b>	<b>2,912</b>	<b>146</b>	<b>1,752</b>	<b>584</b>	<b>2,336</b>	<b>36</b>	<b>576</b>

### 3.4 AgSS, RICS-AgSS, & RICS-AMHARA: LINKAGES

As described above, most of the RICS-Amhara households are a subset of the RICS-AgSS households, the majority of which are in turn a subset of the AgSS. This was intentionally done in order to expand the amount of information on households in terms of both their non-farm enterprise activities and their agricultural activities. Thus, where the same household is interviewed for the multiple surveys, the data can be merged and analyzed in conjunction. The exceptions are:

- All non-agricultural households in the RICS-Amhara and the RICS-AgSS are NOT included in the AgSS because they are not agricultural households and thus AgSS does not apply.
- The two additional non-agricultural households in AgSS EAs of the RICS-Amhara were not administered the RICS-AgSS. So the set of non-farm activity questions in RICS-AgSS are not available for up to 2 of the non-agricultural households in AgSS EAs. This is “up to two” because, as noted above, some EAs had less than 4 non-agricultural households.
- All 16 households in the non-AgSS (small town) EAs of the RICS-Amhara were administered the RICS-AgSS.

Table 8 describes the overlap of the AgSS, the RICS-AgSS and the RICS-Amhara sample.

**Table 8: RICS Household Sample Design (nominal, not actual, sample)**

	Total EAs	Total HHs	Agri HHs	Non-Ag HHs in RICS- AgSS	Non-Ag HHs NOT in RICS- AgSS
<b>RICS-AgSS</b>					
RICS-AgSS in AgSS EAs	452	14,464	13,560	904	
RICS-AgSS in non-AgSS (small town) EAs	36	576			
<b>RICS-Amhara</b>	182	2,912			
RICS-Amhara in AgSS EAs	146	2,336	1,752	292	292
RICS-Amhara in non-AgSS EAs	36	576			

**3.5 SELECTION PROBABILITIES AND ESTIMATION PROCEDURES**

This section presents the selection probabilities for households in each of the various groups visited by the RICS-AgSS and RICS-Amhara survey.

*Agricultural and non-agricultural households in the RICS-AgSS*

The probability of selecting an agricultural (non-agricultural) household  $zei$  from EA  $ze$  in zone  $z$  of the RICS-AgSS is given by:

$$P_{zei} = P_{ze} \frac{n'_z m'_{ze}}{n_z m_{ze}} \dots\dots\dots(1)$$

- where
- $p_{ze}$  is the selection probability of EA  $ze$  in the AgSS – computed with the formulas given in Footnote 3,
  - $n_z$  is the total number of AgSS EAs in zone  $z$  – given by column (3) in Table 4,
  - $n'_z$  is the number of RICS-AgSS in zone  $z$  – given by column (4) in Table 4,
  - $m_{ze}$  is the total number of agricultural (non-agricultural) households in EA  $ze$  – reported by the household listing operation, and

$m'_{ze}$  is the number of agricultural (non-agricultural) households visited by the RICS-AGSS in EA  $ze$ . The number of agricultural households should be 30, but the number could be increased due to a lack of non-agricultural households. Similar, the number of non-agricultural households should be equal to 2, but it could be decreased, whenever there are less than two non-agricultural households in an EA. Moreover, whenever less than 32 households were interviewed per EA (because no replacement took place) this number was decreased as well.

***Agricultural and non-agricultural households in the RICS-Amhara***

The probability of selecting an agricultural (non-agricultural) household  $zei$  from a rural EA  $ze$  in zone  $z$  of the RICS-Amhara is given by

$$P_{zei} = P_{ze} \frac{n'_z m''_{ze}}{n_z m_{ze}} \dots\dots\dots(3)$$

where  $p_{ze}$ ,  $n_z$  and  $m_{ze}$  have the same meaning as in formula (1),

$n''_z$  is the number of RICS-Amhara AgSS EAs in zone  $z$  – given by column (4) in Table 7.

$m''_{ze}$  is the number of agricultural (non-agricultural) households visited by the RICS-Amhara in EA  $ze$ . In theory, this should be 12 agricultural and 4 non-agricultural households. However, these numbers can change whenever there are less than 4 non-agricultural households within an EA.

***Households in urban (non-AgSS) EAs***

The probability of selecting a household  $z\epsilon\kappa$  from a non-AgSS EA  $z\epsilon$  in zone  $z$  of the RICS-Amhara and RICS-AgSS is given by

$$P_{z\epsilon\kappa} = P_{z\epsilon} \frac{h'_{z\epsilon}}{h_{z\epsilon}} \dots\dots\dots(5)$$

where

$p_{z\epsilon\kappa}$  is the selection probability of EA  $z\epsilon$  – given by column (6) of Table 6.

$h_{z\epsilon}$  is the total number of households in EA  $z\epsilon$  – reported by the household listing operation, and

$h'_{zEK}$  is the number of households visited by the RICS-Amhara in EA  $zE$  (should in most cases be 16.)

### 3.6 ACTUAL SAMPLE SIZE

Table 9 shows the actual sample size as it can be found in the data set in comparison to the survey design (in parenthesis). The discrepancies are caused by

- Fewer (actual) non-agricultural households in an EAs than planned by survey design, which were replaced by agricultural households.
- One missing EA that was covered in the RICS-Amhara survey but NOT covered by the RICS-AgSS survey.
- Non-replacement of households for the RICS-AgSS survey.

**Table 9: Actual RICS Household Sample**

	Total EAs	Total HHs	Agri HHs in RICS- AgSS	Agri HH NOT in RICS- AgSS	Non-Ag HHs in RICS- AgSS	Non-Ag HHs NOT in RICS- AgSS
<b>RICS-AgSS</b>						
RICS-AgSS in AgSS EAs	451 (452)	14,063 (14,464)	13,464 (13,560)		576 (904)	
<b>RICS-Amhara</b>						
RICS-Amhara in AgSS Eas	182 (182)	2,909 (2,912)				
RICS-Amhara in non-AgSS Eas	36 (36)	574 (576)				
RICS-Amhara in AgSS Eas	146 (146)	2,335 (2,336)	1,936 (1,752)	38 (0)	201 (292)	160 (292)

## **4.0 ORGANISATION OF THE SURVEY**

### **4.1 SURVEY MANAGEMENT**

The RICS was executed by the Central Statistical Agency (CSA), under the direction of Habekiristos Beyene (Division Head of crop production forecast and environmental statistics), and a coordination team of statisticians, and the RICS Management Team. The Management Team was responsible for questionnaire design, recruitment of personnel, training of personnel, and implementation of the survey. The management structure was comprised of CSA staff members with defined roles and technical assistance was provided from the World Bank.

### **4.2 DESIGN OF QUESTIONNAIRE AND PILOT TEST**

The questionnaires were designed and produced jointly by the World Bank and CSA. The questionnaires were - together with a Interviewer Manual - translated into Amharic and checked in a pre-test. For the pre-test a total of 6 interviewers were trained in at the CSA head office in Addis Ababa for about one week. The pre-test was done over a time period of 2 weeks in two zones of the Amhara region, North Shewa (near Debre Berhan) and South Wollo (near Kombolcha). The interviewers were accompanied by World Bank consultants and CSA staff. After the pre-test the questionnaires were again revised and the final form of the questionnaires and the Interviewer Manual for the enumerators were prepared.

### **4.3 TRAINING AND ORGANISATION OF FIELD STAFF AND WORK**

Field staff for the RICS were selected from the staff of trained interviewers and supervisors that have been used by CSA for other surveys. Training of the interviewers took place simultaneously in Bahar Dar, Gonder, and Dessie from the 20<sup>th</sup> of November to 1<sup>st</sup> of December 2006. In Bahar Dar, there were 50 interviewer trainees, and 11 supervisors attending the training. In Gonder, there were 92 interviewer trainees and 21 supervisors. In Dessie, there were 48 interviewer trainees, and 10 supervisors attending the training.

Training instructions were given to field staff by statisticians from the RICS Management Team with help from the World Bank staff. The training consisted of classroom instruction on the contents of the questionnaires, concepts and definitions, interview techniques and methods,

and field practices in performing actual interviews to ensure that interviewers fully understood the questionnaires. A detailed Interviewer Manual was prepared for the interviewers to have during the training and to carry with them during the implementation of the survey.

Fieldwork for the RICS started on 4 December 2006 and was administered simultaneously through out the country until end of January 2007. In order to ensure good quality, during the course of the field work, the RICS Management Team would evaluate any problems encountered in the field and send feed back to the field staff. The field work itself was supervised by branch field supervisors, statisticians and for one week by RICS committee members after they had completed the training of the interviewers and supervisors in three branch offices.

#### 4.4 LIMITATIONS OF THE SURVEY

During the course of fieldwork there some challenges and problems encountered; In general (and as in many other surveys), the major salient obstacle was difficulty by respondents to remember or quantify the Birr amount of expenditures, sales, incomes, wages and credit, etc. in all of the surveys. Table 10 highlights some specific questions which were noted by field staff upon completion of the field work. In general, it should be emphasized that based on previous experience in other countries, the households did not have exceptional problems with the questionnaires.

**Table 10: Respondent Difficulties**

Data file	Section	Variables	Problem
<b>RICS-Amhara Household Survey</b>			
hsec3	Employment	h36, h37, h39 h315	Recall difficulties Being employed not the same as working for. Too few individuals recording to be employed by a non-farm business.
hsec4	Living Conditions	h16	Recall difficulties
hsec5	Expenditures	h53	Recall difficulties Differentiate between bought items and self-consumed items Difficult to separate from enterprise expenditures Section esec8
hsec6a	Sources of Income	h63, h64 (especially items 17-19)	Recall difficulties
hsec6b	Sources of Income	h65-h614	Recall difficulties

Data file	Section	Variables	Problem
hsec8b	Credit	all	Too similar to credit section in the enterprise survey esec14b. Households are often not able to differentiate.
		h810 h815 h822 h16 h17 h18 h19	Recall difficulties Households pay back when they can, often no real contract of loan conditions are made
<b>RICS-Amhara Community Survey</b>			
csec3	Economic Activities	c34-c38	Too detailed, given that only very few enterprises exist
csec6a	Major Enterprises	C6a1	Community leaders might not remember the most important enterprises. Also if it is not a complete list, the usefulness of this list might be questioned.
csec6b	Major Enterprises	c6b2 c6b3	Needs to be revised. Was not cleared. Often blank.
<b>RICS-Amhara Enterprise Survey</b>			
esec2	Manager/Owner Characteristics	all	In any case only filled out for those where manager/owner not a household member. Could use a skip pattern to fasten data collection and entry
esec3	Investment Constraints	all	The given constraints in the survey do not correspond with the responses of enterprise owners/managers. Needs to be revised.
		e31 item 93 and 131	Corruption and unofficial levies has the same meaning
esec6	Labor	all	Most only have household members work. So a skip pattern can be introduced, first asking about whether enterprise has non-household employees.
esec7a	Product and Services	e65 e72	Difficulties to quantify average wages. Sometimes difficult to quantify all major products of a non-enterprise. Has to be revised. Open question is problematic.
		e74 e79-e712	Open question is problematic. Overlapping with section 8. Should be merged
esec8	Expenditures	e75-e14 all	Recall difficulties Most items are not seen as expenditure over 12 months, but less. Suggested to merge with section 7a.
esec10	AgSSets	e105-e107	Difficulties in evaluating Assets.
esec14b	Non-Farm Enterprise Credit	all	Too similar to credit section in the household survey hsec8b. Households are often not able to differentiate. Suggested to merge with hsec8b.

Data file	Section	Variables	Problem
esec15a	Registration and Permits		15b was not properly skipped.
esec15b	Registration and Permits	e151	Difficult due to length of detail.
<b>RICS-AgSS</b>			
nfasec1	Enterprise owner characteristics		This section should be asked after household characteristics, within the enterprise part, i.e. after it is clear whether there is a non-farm enterprise owner in the household. Could be asked after question nfa08 and nfa09 in nfasec2b. Now this is sometimes (but not always) filled out for each person in the household. And it is always filled out for the household head. Also the personal IDs were not properly filled out, as no personal IDs exist in the AgSS (only for the household owner(s)).
nfasec2a	Household characteristics		There is a major problem that for some households the survey was filled out for each enterprise or each holder of the household. So sometimes the household information is different for the same household. There should have been a clear rule.
nfasec2b	Enterprise characteristics	nfa08, nfa09 nfa25, nfa28	Again, the IDs cannot properly be filled out as no personal IDs exist in the AgSS. Difficulties in stating average monthly sales. Sometimes confused with last month's sales. Should be asked over the whole year.

#### 4.5 DATA ENTRY AND DATA CLEANING

The RICS data entry centre was centralized at the CSA headquarters. The data entry room was equipped with 30 desktops for 70 Data Entry Clerks and a Data Editor, under the supervision of a Data Processing Manager. The data entry process followed the following steps: Before data entry the questionnaires were coded and edited. Instructions on how to correctly undertake coding the questionnaire and correcting inconsistencies were thoroughly explained to the editors. A total of 67 editors/coders were involved in this operation. During data editing and coding the editors were assisted and supervised by RICS committee members to verify the editing and coding. The data were then key entered with CSPro twice by two different data entry clerks in order to verify the data entry process. The data entry also used the automatic data checks included in CSPro for acceptable values and data range of variables and checks between different variables and modules of the questionnaire.

The data cleaning room was equipped with 8 desktops for 7 data cleaning staff and 1 supervisor. The data cleaning process was done in several stages. The first stage was to make sure that the data as key entered reflected what the informants provided. The Data Processing Manager did skips, ranges and consistency error checks for each enumeration area. These were cross examined physically with the questionnaires, and the errors were documented, and an executive decision was made by the Management Team to do the necessary modifications in CSPro. Finally the data was backed up on CD-ROM and converted to SPSS and STATA as a raw version of the data set. The data was then again checked and cleaned for outliers, duplicates, missing observations and variables, coding, labeling of variables and codes as well as consistency within files, across files and across modules of the survey and modified when applicable using STATA. The data was further cleaned by the World Bank staff.

## 5.0 USING THE DATA

### 5.1 FILE STRUCTURE

It is STRONGLY recommended that the researcher refer to the questionnaires and this Basic Information Document when using the data. The file structure in the data set directly reflects the modules in the questionnaire. Furthermore, the questionnaires contain the exact wording of the questions and interviewer instructions. The interviewer was to read out only the things written in lower case (see Interviewer Manual). Upper case print indicates instructions for the interviewer. For example, sometimes a list of possible responses was to be read to the respondent, but more often the interviewer was simply to code the response given. Only by referring to the questionnaire can a researcher determine which the case for any specific question was.

The most important reason to consult the questionnaire is that extensive use is made of *skip patterns*. This was done to maximize the ease with which the interview could be conducted and to include all questions that applied to a particular household or individual, but exclude those that were not relevant to a particular respondent or household. The researcher must be aware of these skip patterns so that the data are properly interpreted. The skip patterns are, in most cases, clear. If there is no instruction the next question should be asked regardless of the response. An

arrow followed by a number in parentheses (» 2) after a particular response indicates which question should be asked if that reply is given. This implies skipping over other questions. An arrow in a rectangle indicates which question to ask next regardless of the response. The skip codes are explained in detail in the Interviewer Manual. Copies of the questionnaires and the manuals are available (see Appendix 1).

The questionnaire is also useful in interpreting the codes. Most codes, except codes in the “other specify” categories used in the RICS are contained in the questionnaire itself. Other codes, which were added as the survey progressed or after the survey was undertaken, can be found in Appendix 2-6 of this document. When interpreting any codes referring to years, one has to notice that the Ethiopian calendar, which is based on the old Coptic calendar, is referred to in the data. The Ethiopian year starts in September and is 7 1/2 years “behind” the “Western” or Gregorian calendar. This means that the most recent Ethiopian year 1999 corresponds to the “Western” year 2006/2007, the year 1998 corresponds to the year 2005/2006, etc. (see Appendix 7).

## 5.2 IDENTIFICATION VARIABLES

Table 9 describes the data files for the RICS and the set of variables that uniquely identifies observations in each file. There are 7 key variables that uniquely identify households. These are variables v02-v08, which are, respectively:

- region (v02)
- zone (v03) within the region
- wereda (v04) within the zone
- town status (v05) in the wereda
- kebele (v06) within in the wereda
- enumeration area (v07) within the kebele
- household serial number (v08) within the enumeration area.

The variable v05, “town”, indicates the location of the area. For rural areas, the variable v05 is coded 8. For towns, v05 runs from 1-7. The town codes within a wereda are given serially starting from the north western area of the wereda. Hence, for example, a wereda with 4 towns can have only values of v05 from 1-4.

Table 11: RICS Data Files

Data file	Section	Observation Unit	Unique ID variables
<b>RICS-Amhara Household Survey</b>			
hsec1	Area Identification	Household	v02 v03 v04 v05 v06 v07 v08
hsec2	Household Demographics	Person	v02 v03 v04 v05 v06 v07 v08 h21
hsec3	Employment	Person	v02 v03 v04 v05 v06 v07 v08 h31 (=h21)
hsec4	Living Conditions	Household	v02 v03 v04 v05 v06 v07 v08
hsec5	Expenditures	Expenditure item	v02 v03 v04 v05 v06 v07 v08 h51
hsec6a	Sources of Income	Income source	v02 v03 v04 v05 v06 v07 v08 h61
hsec6b	Sources of Income	Household	v02 v03 v04 v05 v06 v07 v08
hsec7a	Assistance	Household	v02 v03 v04 v05 v06 v07 v08
hsec7b	Assistance	Program	v02 v03 v04 v05 v06 v07 v08 h71
hsec8a	Credit	Household	v02 v03 v04 v05 v06 v07 v08
hsec8b	Credit	Loan	v02 v03 v04 v05 v06 v07 v08 h81 h82
hsec9	Asset Ownership	Asset	v02 v03 v04 v05 v06 v07 v08 h91
hsec10	Access to Services	Service/Institution	v02 v03 v04 v05 v06 v07 v08 h101
<b>RICS-Amhara Community Survey</b>			
csec2	Access to Credit	Community	v02 v03 v04 v05 v06
csec3	Economic Activities	Community	v02 v03 v04 v05 v06
csec4	Agricultural Production	Community	v02 v03 v04 v05 v06
csec5	Prices	Community	v02 v03 v04 v05 v06
csec6a	Major Enterprises	Enterprise	v02 v03 v04 v05 v06 c6a1
csec6b	Major Enterprises	Enterprise	v02 v03 v04 v05 v06 c6b1
csec7	Investment Constraints	Community	v02 v03 v04 v05 v06
csec8	Major Constraints	Major constraint	v02 v03 v04 v05 v06 c81
csec9	Interviewer perception	Community	v02 v03 v04 v05 v06
<b>RICS-Amhara Enterprise Survey</b>			
esec1	Area Identification	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
esec2	Manager/Owner Characteristics	Manager/Owner	v02 v03 v04 v05 v06 v07 v08 ev14 e25 (=h21)
esec3	Investment Constraints	Constraints	v02 v03 v04 v05 v06 v07 v08 ev14 e31
esec4	Major Constraints	Major constraints	v02 v03 v04 v05 v06 v07 v08 ev14 e41
esec5	Association and Start Up	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
esec6	Labor	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
esec7a	Product and Services	Product	v02 v03 v04 v05 v06 v07 v08 ev14 e71
esec7b	Product and Services	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
esec8	Expenditures	Expenditure item	v02 v03 v04 v05 v06 v07 v08 ev14 e81
esec9	Investments	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
esec10	Assets	Asset	v02 v03 v04 v05 v06 v07 v08 ev14 e101
esec11	Competition	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
esec12	Market Information	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
esec13	Infrastructure	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14

Data file	Section	Observation Unit	Unique ID variables
esec14a	Non-Farm Enterprise Credit	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
esec14b	Non-Farm Enterprise Credit	Loan	v02 v03 v04 v05 v06 v07 v08 ev14 e141
esec15a	Registration and Permits	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
esec15b	Registration and Permits	Registration	v02 v03 v04 v05 v06 v07 v08 ev14 e151
esec16	Interviewer perception	Enterprise	v02 v03 v04 v05 v06 v07 v08 ev14
<b>RICS-AgSS</b>			
nfasec1	Owner characteristics	Enterprise owner	v02 v03 v04 v05 v06 v07 v08 v09
nfasec2a	Household characteristics	Household	v02 v03 v04 v05 v06 v07 v08
nfasec2b	Enterprise characteristics	Enterprise	v02 v03 v04 v05 v06 v07 v08 nfa0a

### 5.3 LINKING DIFFERENT MODULES OF THE DATA

Merging files within the 3 modules of the RICS-Amhara is straight forward. In the Household Survey the household (v02 v03 v04 v05 v06 v07 v08) is used as a unique identification code. In the Community Survey the community (v02 v03 v04 v05 v06) is used as a unique identification code and in the Enterprise Survey the enterprise (v02 v03 v04 v05 v06 v07 v08 ev14) is used as a unique identification code.

The three parts of the RICS-AgSS survey should be merged as follows. Merging the household characteristics (nfasec2a) with enterprise characteristics (nfasec2b) the household identification code should be applied (v02 v03 v04 v05 v06 v07 v08). Also, merging the enterprise characteristics or household characteristics (nfasec2b or nfasec2a) with enterprise/household owners' characteristics (nfasec1) again only the household identification (v02 v03 v04 v05 v06 v07 v08) should be used.<sup>7</sup>

The 3 modules of the RICS-Amhara survey can be merged as well as linked to the RICS-AgSS survey as described in Table 12. There is no problem linking households with enterprises and communities in the RICS-Amhara survey as well as linking households in the RICS-Amhara

<sup>7</sup> In theory the individuals ID should have been used to merge nfasec1 with nfasec2b, which would have been (v02 v03 v04 v05 v06 v07 v08 v09) for nfasec1 and (v02 v03 v04 v05 v06 v07 v08 nfa08) for nfasec2b. However, due to problems of survey design and data entry there was very rarely an entry for the variable v09 in nfasec1. So it was decided to keep only those households where only an entry for one individual was made and assume that this individual is indeed the enterprise/household owner. Note that because of this nfa09 cannot be interpreted anymore. This choice was made because it required the least assumptions to be made and at the same time kept most households in nfasec1 (94% of households).

with households in RICS-AgSS. However, linking enterprises in the RICS-Amhara survey with enterprises in the RICS-AgSS survey should be interpreted with caution as interviewers might not always have strictly used the same enterprise IDs in the RICS-AgSS survey as in the RICS-Amhara survey. Since the vast majority of households with an enterprise only own 1 (>80%) this issue does not affect most households.

Table 13 describes the distribution of the RICS-Amhara households (N=2,909), by type of EA and type of household.

**Table 12: Linking RICS data files**

Data file	Unique ID	Variable	Data file	Unique ID	Variable
<i>Linking RICS-Amhara Households with RICS-Amhara Enterprises</i>					
hsec1	v02 v03 v04 v05 v06 v07 v08		esec1	v02 v03 v04 v05 v06 v07 v08	
<i>Linking RICS-Amhara Individuals with RICS-Amhara Enterprises</i>					
hsec2	v02 v03 v04 v05 v06 v07 v08 h21		esec2	v02 v03 v04 v05 v06 v07 v08 e25	
<i>Linking RICS-Amhara Households with RICS-Amhara Communities</i>					
hsec1	v02 v03 v04 v05 v06		csec2	v02 v03 v04 v05 v06	
<i>Linking RICS-Amhara Households with RICS -AgSS Households</i>					
hsec1	v02 v03 v04 v05 v06 v07 v08		nfasec2a	v02 v03 v04 v05 v06 v07 v08	
<i>Linking RICS-Amhara Enterprises with RICS-AgSS Enterprises</i>					
esec1	v02 v03 v04 v05 v06 v07 v08 ev14		nfasec2b	v02 v03 v04 v05 v06 v07 v08 nfa0a	

**Table 13: Households in RICS-Amhara survey and existence of RICS-AgSS questionnaire (N=2,909)**

EA type (146 AgSS; 36 non-AgSS [small town])	AgSS household	Any enterprise (hv10)	Number of households (total)	Number of households with RICS-AgSS questionnaire <sup>c)</sup>	Number of households with <b>no</b> RICS-AgSS questionnaire <sup>e)</sup>
AgSS <sup>a)</sup>	Yes	Yes	289	281 (97.2%)	8 (2.8%)
AgSS	Yes	No	1685	1,655 (98.2%)	30 (1.8%)
AgSS	No <sup>b)c)</sup>	Yes	113	64 (56.6%)	49 (43.4%)
AgSS	No <sup>b)</sup>	No	248	137 (55.2%)	111 (44.8%)

Non-AgSS (small town)	No <sup>d)</sup>	Yes	298	275 (92.3%)	23 (7.7%)
Non-AgSS (small town)	No <sup>d)</sup>	No	276	241 (87.3%)	35 (12.7%)

a) All rural EAs. b) Non-farming households by sample design. c) In each AgSS EA, up to 4 non-agricultural households were interviewed. 2 of these have RICS-AgSS, 2 do not, by design. d) Randomly selected from all households in the trading center EA. They could be farming households or not. e) For two EAs in RICS-Amhara, all RICS-AgSS questionnaires were misplaced. The number of such households are, by rows respectively: 6 of 8; 8 of 30; 1 of 49; 1 of 111; 5 of 23; 11 of 35.

## 5.4 CONSTRUCTED VARIABLES

In addition to the variables collected by the survey, variables have been constructed to facilitate analysis of the data. These are outlined in Table 14.

**Table 14: Constructed Variables**

Data file	Section	Constructed Variable	Interpretation
<b>RICS-Amhara</b>			
hsec1	Household Identification	weight	Sampling weight
		hv12	Indicates agricultural household in AgSS
		miss_agss_nfa	Indicates households in 2 EAs of RICS-Amhara missing RICS-AgSS questionnaire data
hsec5	Household Expenditure	h54	Recall period in days
esec1	Enterprise Identification	ev13	Sector of enterprise
<b>RICS-AgSS</b>			
nfasec2a	Household Information	weight	Sampling weight for households from AgSS EAs (covering 4 major regions as described above)
		weight_st	Sampling weight for households from non-AgSS (small town) EAs (all in RICS zones of Amhara) "weight" and "weight_st" are mutually exclusive.
		AgSS_hh	Indicates agricultural household in AgSS
		AgSS_ea	Indicates household from AgSS EA
		rics_am_ea	Indicates household from RICS-Amhara EA
nfasec2b	Enterprise Information	v13	Household Size
		v16	Number of enterprises per household

## 5.5 WEIGHTING FACTORS

To obtain unbiased estimates from the survey data, the results should be expanded by sampling weights, which are equal to the inverse of the calculated selection probabilities in Section 3.5. For the RICS-Amhara survey sampling weights are provided in the data file “hsec1” of the household survey. For the RICS-AgSS sampling weights are provided in the data file “nfasec2a”. The sum of the sampling weights of all households within a zone should be equal to the number of households within that zone. This means that the survey is representative at the zone level.

The RICS-Amhara survey when weighted is representative for:

- agricultural and non-agricultural households
- in the four major zones North Gonder, South Gonder, North Wello, West Gojjam of Amhara
- in rural and small town areas.

In the RICS-AgSS there are two sets of weights:

1. Weights for households from the AgSS EAs
2. Weights for households from the small towns added for the RICS-Amhara work.

Using the first set of weights (1), the RICS-AgSS survey when weighted is representative for:

- agricultural and non-agricultural households
- in the four major regions Tigray, Amhara, Oromiya and SNNP of Ethiopia
- in rural areas

Using the second set of weights (2), the RICS-AgSS survey when weighted is representative for:

- agricultural and non-agricultural households
- in the four major zones North Gonder, South Gonder, North Wello, West Gojjam of Amhara
- in small town areas

Note that the sampling framework was done in 2002, i.e. the probability weights for the EAs refer to the households in 2002 whereas the weights for the households within each sampled EA refer to the households in 2006 (see also Section 3.5).

## 6. DATA QUALITY

In general, data quality is good as quality control was ensured through a number of procedures as discussed below. The only exception being that there are some obstacles (special cases) in merging some RICS-AgSS files to RICS-Amhara, along with standard recall difficulties, as discussed in sections 4.4 and 5.3. In addition, caution should be applied when using the income and expenditure data in the RICS data. The figures are appropriate for simple descriptive analysis but not useful for poverty analysis.

Data quality control was assured through:

1) Pilot testing of the questionnaires indicated a number of places in which the questions need to be revised, where new questions needed to be added, and some questions needed to be deleted.

2) Thorough training of the interviewers was done during a two week period. The trainers went through each question on each questionnaire explaining its purpose and how the interviewers were to ask it. Interviewers did mock interviews during the training to make sure that they understood how to administer each of the questionnaires.

3) Intensive supervision was done during the data collection process. The fieldwork was continuously monitored by field staff. Field staff reviewed completed questionnaires for errors, monitored actual interviews and provided Assistance to interviewers who encountered problems in the field.

4) The data entry and cleaning process with CSPro used careful data checks to verify the skips, ranges and intra record consistency of the data.

5) The data cleaning process with STATA intensively checked for outliers, duplicates, missing observations and variables, coding, labeling of variables and codes, consistency within files, across files and across surveys.

As a further check of data quality, selected descriptive statistics of rural households in the RICS-Amhara sample were compared with the descriptive statistics of rural households in the welfare monitoring survey (WMS) for years 2000 and 2004. The WMS sample were limited to the four zones in rural Amhara covered by the RICS-Amhara survey. The resulting statistics are presented in Table 15. The statistics from the three surveys are quite close except in very few

cases. This further supports the quality of the RICS-Amhara data. In addition, the interviewers were asked to give their opinion of the validity of responses pertaining to perceptions and opinions provided by household members and community leaders. In both cases, about 95 percent of responses were deemed to be accurate by the interviewers.

**Table 15: Household Characteristics for the Four Specific Zones in Rural Amhara (mean/percent)**

	RICS- Amhara	WMS 2000	WMS 2004
Age of household head	44.2	44.4	43.5
Education of household head (years completed)	0.8	0.3	0.7
Household head has some education	21.9	6.9	19.5
Female headed household	21.8	22.0	22.0
Household size	4.6	4.6	4.5
Household members <age6	0.9	0.9	0.8
Household members age 6 to 14	1.2	1.3	1.3
Household members age 15 to 29	1.2	1.1	1.2
Household members age 30 to 59	1.1	1.0	1.0
Household members >age 60	0.2	0.2	0.2
Farm income source in past 12 months	89.9	88.1	86.9
Non-farm enterprise income source in past 12 months	12.6	11.7	7.3
Wage/salary income source in past 12 months	7.5	4.7	6.4
Rental/pension income source in past 12 months	8.1	1.2	0.8
Received transfers in past 12 months	12.9	9.1	2.2
Received social benefits in past 12 months	34.9	n/a	n/a
Experienced food shortage in past 12 months	32.2	n/a	37.3
Months experienced food shortage in past 12 months	1.1	n/a	1.3
Distance to nearest market (kms)	9.4	8.4	5.7
Distance to nearest post office (kms)	29.3	24.7	18.0
Distance to nearest primary school (kms)	3.5	4.1	3.2
Distance to nearest secondary school (kms)	n/a	26.0	19.1
Distance to nearest health center (kms)	10.1	9.0	19.1
Distance to nearest bus stop (kms)	19.8	20.2	18.0
Distance to nearest road (kms)	17.3	16.8	12.9
Distance to nearest phone booth (kms)	17.1	28.1	19.6
<b>Sample size</b>	<b>2,335</b>	<b>1,440</b>	<b>1,968</b>

Note: Statistics are weighted. (1) RICS-Amhara covers rural areas and trading centers in four zones in Amhara: North Gonder, South Gonder, North Wello, and West Gojjam. RICS Amhara survey period-November 2006 to January 2007. The sample here is restricted to rural households. (2) The WMS sample here is restricted to rural areas in four zones in Amhara: North Gonder, South Gonder, North Wello, and West Gojjam. WMS 2000 survey period: June 1999-February 2000. WMS 2004 survey period-June 2004 to July 2004.

## 7.0 APPENDICES

### APPENDIX 1. HOW TO OBTAIN THE DATA

The data from the 2006 Ethiopia Rural Investment Climate Survey are the property of the Government of Ethiopia and the World Bank. Each party can use and distribute the data for their own research.

Potential users should contact primarily CSA in Ethiopia and follow the institution's data use policy. They must not, directly or indirectly, in any way, reveal, report, publish, disclose, transfer or otherwise use any firm- or household specific information that allows to identify enterprises or individuals.

For further questions please contact:

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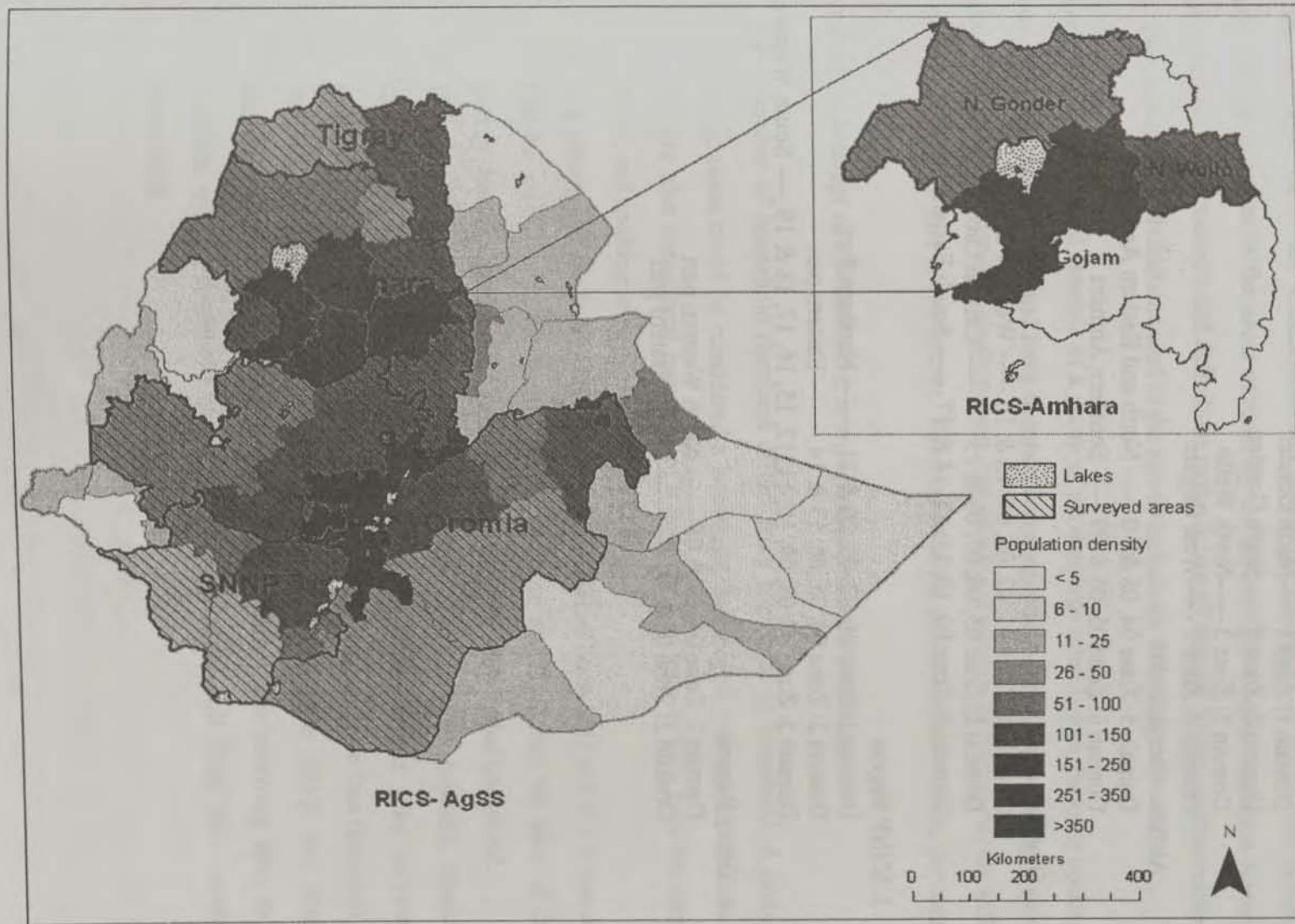
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Isabel Guenther	Göttingen University	Data processing and analytical report	<a href="mailto:isabel.guenther@wiwi.uni-goettingen.de">isabel.guenther@wiwi.uni-goettingen.de</a>
Gbemisola (Mimi) Oseni	World Bank	Data processing and statistical report	<a href="mailto:goseni@worldbank.org">goseni@worldbank.org</a>

APPENDIX 2. MAPS ON SAMPLING STRATEGY



### APPENDIX 3: ZONE CLUSTERS FOR RICS-AgSS NON-FARM MODULE

The RICS-AgSS zones can be clustered into the following group for analysis:

#### 1. Amhara Region

4 zones covered by RICS-Amhara, each of the zones is assigned its own reporting domain.

Domain 1: Zone 1 ----North Gonder

Domain 2: Zone 2 ----South Gonder

Domain 3: Zone 3 ----North Wello

Domain 4: Zone 7 ----West Gojjam

Amhara other domains:

Domain 5: Zone 04, 08 & 10 ----- North and Eastern Amhara

Domain 6: Zone 05, 06 & 09 ----- Southern Amhara

#### 2. Oromia Region

Domain 1: Zone 01, 02, 03, 04, 15 & 16 ----- Western Oromia

Domain 2: Zone 05, 06, 07, 08 & 13 ----- Central Oromia

Domain 3: Zone 09, 10, 11, 12, 14 & 17 ----- South Eastern Oromia

#### 3. SNNP Region

Domain 1: Zone 01, 02, 03, 20 & 21 ----- Northern Part

Domain 2: Zone 04, 05, 06, 13 & 14 ----- Eastern part

Domain 3: Zone 07, 08, 09, 10, 11, 12, 15, 16, 17, 18 & 19 ---- South Western part

#### 4. Tigray Region

Domain 1: Zone 01, 02 & 05 ----- North Western part

Domain 2: Zone 03 & 04 -----South Eastern part

## APPENDIX 4: CONCEPTS AND DEFINITIONS

Data items and related terms used in RICS survey are distinctly defined and identified. The purpose of using standard concepts and definitions is not only to ensure quality data but also to ensure that the right items are enumerated and measured accurately to reflect the existing investment climate situation in the areas covered by the survey. The Central Statistical Agency (CSA) communicated the concepts and definitions to the field staff through training and instruction manuals. The concepts and definitions used in the survey include the following:

1. **Household:** - a household consists of a group of persons who often live in the same housing unit or in connected premises and have common arrangements for cooking and eating meals. A household could consist of a single person, but usually, it consists of a husband, his wife, his children, relatives and non-relatives. The non-relatives could include friends, servants, employees, etc.

To understand the concept of a household it is important to know the following: -

- Number of household members differs from household to household. A person living alone could be considered a household. Individuals like guards, servants... etc. are also considered members of a household as long as they have the same living and cooking arrangement with a family.
- If a person left his family and is a visitor in another household and if it is known that he stayed with the family for six or more months before the time of the survey, he/she is considered a regular household member in that household.
- If a marriage is monogamous, then a household includes husband, spouse, children, adopted children, other relatives and non-relatives (like servants, guards... etc.). In a polygamous marriage (person who has more than one wife) if the wives, children, relative, etc. do not have the same eating and living arrangement we consider the husband with the very first surviving wife as a member of the household and the remaining wives will form their another household.

**2. Usual Member of a Household:** A person is said to be a usual member of the household if he/she lives at least six months continuously with the household. In addition, a person is considered to be a usual member of the household if he /she has intention to live with the household forever even though he/she lived with the household less than six months. Persons who left their household temporarily for less than six months are considered as usual member of their households. However, persons are not considered as usual members of the household if they left their households for six months or more, or who left their households for less than six months but have the intention to stay away for more than six months.

The following members of the household are considered as usual household members.

- i. All persons who have lived with the household for at least six months preceding the day of the survey.
- ii. All persons who have intention to stay with the household for six months or more, even though they have being with the household for less than six months. For example, a woman married to a man who moves into his home is considered a usual member of her husband's household even if she has lived there for less than six months at the time of the survey. In addition, a person who gets a job that requires him/her to live with a household for an indeterminate amount of time is considered a usual member of the household where he/she is found during the census even if he has been living with the household for less than six months.
- iii. House maids who usually stay the night with the household and who do not have another residence.
- iv. Persons who left their household temporary for less than six months: for example persons who are on annual leave, persons on vacation in another place, in-patient persons, persons visiting relatives and persons who went to other places in relation to their businesses.
- v. All persons who do not have permanent residence and who live with the household during the survey: For example if individuals do not have permanent residence but they live in various houses, they are considered to be usual member of the household where they are found at the time of the survey
- vi. Students: Students who left their households, relatives or usual place of residence and who are attending regular schools, colleges, universities, etc. are considered to be usual residents and should be counted in the place where they are attending school. During the

enumeration, if the students went back to their households or relatives due to learning break, they should be enumerated as usual members of their households. Students who are getting their education by hiring service houses or who live with relatives away from their usual households, should be enumerated in areas they actually live during the survey even if they commute weekly or monthly to visit their households. However, students who commute daily to attend their schools are considered as usual members of their households.

**3. Head of Household:** A head of household is a person who is usual member (male or female) in the household acknowledged as head by the other members. If a man has two or more wives who live in separate households, he will be enumerated as head of the household with his first wife if he is recognized as head. Other wives will be enumerated with their households as head or member of the households.

**4. Housing unit:** - a housing unit is a separate and independent part of the whole of a building or a group of buildings used or intended to be used for habitation by a household, or if not so, used or intended to be used as habitation and enterprise or only for enterprise purpose.

**5. Enterprise:** - is defined as the whole of the premises under the same ownership or management at a particular address. (e.g. a bakery, a pottery, etc). However, the cottage/handicraft manufacturing industries are usually located in a household or small workshops and depend normally on own or family labor. Manual skills rather than machines play the major role in the production activity in these manufacturing industries. Thus, cottage/handicraft manufacturing establishments include mainly household type enterprises like production of local drinks, leather tanning, weaving of cultural clothes, tailoring, pottery making, treatment and coating of metals and hand tools...etc.

**6. Productive activity:** In this survey, productive activity is defined as work, which involves the production of goods and/or services for sale or exchange and production of certain products for own consumption. According to the above general definition, economic/productive activity covers production of goods and services intended for sale on the market – aiming at generating incomes. Those include production of items or services for market (cash) or in exchange for

other items. In other words, a productive activity includes paid employment in household, private, governmental, agricultural activities, engagement in production of goods for sale, working in household enterprise and agricultural sectors without payment and apprentices as well. The remuneration might be daily, weekly, monthly or according to the amount of work done. It also includes unpaid family workers.

The following list of production of goods and services are included as productive activities.

- A. Production of items for sale: For instance, industrial products, production of pottery ,etc and persons providing services to generating income for example barbers, sellers of local drinks like " Tella" and "Katikalla" and weavers, brokers, etc.
- B. Paid employment activities in governmental, other households or organizations: for example physicians, teachers, employed farmers, shepherd, etc. It also includes unpaid communal work, for example, food for work, planting trees (forestry), communal labour, etc.
- C. Producing items for own consumption or for sale or production of durable goods for domestic use are as follows:
  - i. Activities involved in primary production for own consumption: Example- producing agricultural products, (crops like cereals/pulses, fruits and vegetables, cotton, etc); hunting, forestry, fishing, mining and quarrying are the components of primary production. Growing or gathering agricultural primary products; animal husbandry/ poultry, hunting, fishing and cutting or collecting of fire woods, charcoal or for other purpose from own holdings. Collecting, thatching and weaving materials and burning charcoal – mining, salt cutting, peat, digging of soil for house or household utensils, digging or collecting sand and stone, etc.
  - ii. Processing of primary commodities for own consumption<sup>8</sup>: It covers activities such as milling grain, making butter, cheese and other dairy products , sinning and tanning, making baskets and hats and constructing wooden furniture and fixture.

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<sup>8</sup> It should be emphasized that these various activities are considered as economic activity only if they involve the processing of primary products. Thus, pounding "teff" (a primary product) to make "injera" is included; thus-using flour (a processed product) to make "injera" is excluded. It should further be noted that only the processing of primary commodities by the producers of these items, which means that the processing for own consumption of primary commodities by those who do not produce them is excluded. Thus, for example making flour of "teff" at the market is not included but making flour of "teff" produced by oneself is counted.

- iii. Processing those above mentioned products to finished or semi-finished products for own consumption: Examples are spinning, making butter or cheese, grinding corns or cereals. Producing furniture like tables, chairs, containers, etc. However, processing those finished or semi-finished items to other forms for own consumption can not be considered as a productive activity.
- iv. Processing of primary commodities (goods & services) for sale are also productive activities: Example making local drinks (like "Tella") for sale and partially used for own consumption. It can also be considered if the drink is partially used for the home.
- v. Production of fixed assets for own use (those fixed assets should at least have been used for one year): Examples include construction of dwellings, construction of farm buildings, clearing land for cultivation production of agricultural tools, etc.

To make the definition of productive activity clearer, the list below outlines some activities that are not considered productive.

Non productive economic activities: While the SNA definition of the production of goods and services covers a wide range of activities many other activities still remain outside its scope.

a) Unpaid activities such as domestic tasks are taken as non-productive economic activities. For example, water carrying for domestic use, collecting firewood/dung from field or forest (not from own holding) and spinning of cotton for own consumption of primary commodities who do not produce them.

b) Other unpaid domestic activities that do not count as economic activities include; preparing food for household consumption, nursing of children and current repair and maintenance of dwelling and farm buildings and unpaid community and volunteer services, and voluntary service in international or national centers or local organizations, etc.

c) Activities that generating income but not earned are not considered economic activities like; persons that receive pensions only, those earning money by renting a house only, beggars, gamblers, etc.

d) Individuals working as apprentice to get experience working in offices, garage, and in other sectors not relating to training /education are also considered non-economic activity.

## **7. Employment status**

**7.1 Self employed worker:** This is an individual who works in his/her own enterprise. In this survey, those who use family labour without payment are also included.

**7.2 Employer:** A person who hires at least one employee for his/her (income generating) enterprise. Any one who uses hired labour for his/her enterprise and takes part in the productive activity is also included.

**7.3 Employee:** An Employee is any worker hired by someone on contract, permanent or temporary basis. The payment could be in cash or kind on weekly, bimonthly or monthly basis.

**7.4 Unpaid family worker:** A member of a household who is working for the establishment/activities of the household without payment.

**7.5 Other Workers-** Any worker who is not included in the aforementioned categories, that is, those working in charity organizations, public enterprises, religious organizations, etc. without payment or apprenticeship.

**8. Manager:** A person who operates and controls/manage the overall activity of his or her own or household or others' economic enterprise.

## **9. Form of Ownership**

**9.1 An Individual Proprietor:** - is a person who owns and controls an establishment.

**9.2 Partnership:** is an establishment owned and operated by more than one person with unlimited liability.

**9.3 Share Company:** is a business organization formed by an agreement made between at least 5 or more persons with limited liability. The shares are transferable.

**9.4 Private Limited Company:** is a business organization formed by an agreement between two or more persons but not exceeding fifty with limited liability. The shares are not transferable except with consent of three quarters of the members.

- 9.5 Co-operative:** is an establishment owned and run jointly by its members with profits shared between them.
- 10. Government institution:** are organizations which are under the different government ministries. They represent units under different government departments. There also government agencies which are connected to individual ministries.
- 11. Non-Government Organization (NGO):** is a group of individuals in a non-profit making organization, whose purpose is to render assistance materially and in some cases financially to individuals and households. Their main objective is alleviation of poverty and the uplifting of the living standards of the households. They rely on donor support which may be bi-lateral or multilateral in nature.
- 12. Persons engaged in an economic activity:** are persons taking part in the activity of an establishment with or without payment. They could be family members and apprentices. This category includes permanent, contract and temporary workers but excludes the operators.
- 13. Work permit (License):** is a legal document (Certificate) issued by government office (internal Revenue Authority, Ministry of Trade and industry, Municipality Regional or Zonal or Wereda Trade and Industry bureau...etc.) as a permission to operate a certain type to enterprise/activity.
- 14. Permanent Employee:** A person engaged in the activity of the enterprise and hired on salary basis for unlimited period of time.
- 15. Contract Worker:** A person engaged in the activity of the enterprise hired on written agreement for a limited period of time. However, his tenure could be extended or terminated depending on the agreement.
- 16. Seasonal and Temporary Workers:** - include workers who are employed for a whole or a part of the year. These workers are not regularly on the payroll of the establishment.

- 17. Manufacturing/Production:** is defined here as the physical or chemical transformation of materials or components into new products, whether the work is performed by power-driven machines or by hand, whether it is done in a factory or in the worker's home, and whether the products are sold at wholesale or retail. The assembly of bodies and parts to produce a new product is also considered a manufacturing activity.
- 18. Wholesale trade:** refers to the resale (sale without transformation) of new and used goods to retailers, industries, commercial, industrial or professional users or to other wholesalers, etc.
- 19. Retail trade:** - refers to the resale (sale without transformation) of new and used goods to the general public for personal or household consumption or utilization.
- 20. Service trade:** The act of giving service on payment basis to individuals, households or enterprises.

Example of service trade: -

- Hotels, camping sites and other provision of short stay accommodation.
- Restaurants, bars and canteens;
- Renting of real states and buying and selling activities;
- Renting of machinery, equipment, personal, and household goods;
- Data processing activity;
- Maintenance and repair of office and accounting equipment;
- Advertising;
- Motion picture projection;
- Showing of cinema, theatre, dramatic arts, music, and other activities;
- Sporting and other entertainment activities;
- Washing and dry-cleaning of textiles and dyeing activities;
- Hairdressing and hair beauty treatment;
- Transport service giving activities (land transport, air transport, and shipping) travel agency, etc.
- Educational service (only those who earn from it)
- Health services (only those who earn from it);
- Power providing activities;
- Professional services;
- Accounting and auditing service;
- Architectural, engineering, and other technical services;
- Painters;
- Writers;

- Consultancy services, etc.
21. **Cottage or handicrafts industry:** - is an industry which has a distinguished location and managed by one manager or owner and does not use generated power to produce its product. Examples are waving, pottery, metal work, producing "tella" or "tej" and selling them as a whole or in retail, etc.
  22. **Agricultural activity:** refers to activities such as ploughing, fattening, that are directly related to agriculture.
  23. **Agricultural Enterprise:** refers to activities/operations and businesses that are associated with large-scale farming such as state and commercial farms, poultry farms, fattening schemes/programs, etc
  24. **Non-Farm Enterprise:** is an economic unit operating on its own account fully or partly in non-agricultural pursuits. It excludes economic entity engaged only in the raising livestock or fish, in the growing of crops, in fishing or in forestry, when the products of these activities are simply sold and not processed. Selling unprocessed farm products is a marketing activity that is part of farming, not a trade enterprise activity. Processing farm products and then selling them is a manufacturing activity and thus included under the heading of non-farm enterprises. Running a mining activity is also included as a non-farm enterprise.
  25. **Agricultural input for work:** is a program sponsored by NGOs' and carried out in drought prone and food insecure areas where the victims are offered agricultural inputs, such as improved seed, chemical fertilizer, pesticides, etc in exchange for work preformed in the ongoing infrastructure development program.
  26. **Extension Package Program/Services:** are outreach programs operating in rural areas for private peasant holdings to learn modern agricultural technologies to increase crop and livestock productivity. The methods commonly used to transfer modern agricultural technologies are:

- i. Through on farm practice oriented training given by development agents on extension package and programs available, where by farmers easily adopt the newly introduced technology from the advantages obtained over the practical training given.
- ii. Provision of technical advices on the use of chemical fertilizers, rate of application on different soil types, use of chemicals and use of improved farming systems.

**27. Community:** refers to a group of people with a common background or with shared interests and live in the same town or Kebele.

**28. Infrastructure:** are services such roads, telephone, electricity, water, etc which are made available for public use.

**29. Construction:** includes new work, additions and alterations, the erection of prefabricated buildings or structures on the site and also construction of temporary structures.

**30. Consumable goods:** are goods/ commodities, such as food, shoes, cleaning materials, ready made cloths, transport and telephone services, etc. that are used/consumed by individuals or household regularly /on daily bases.

**31. Expense:** is payment in-cash or in-kind made for the purchase of services, raw materials, products or commodities, etc.

**32. Income:** is the amount received in-cash or in-kind from the sales services, commodities and labor, etc.

**33. Competition:** to improve the quality of products/services with the goal of outperforming others.

**34. Food for work:** is a Food Aid program sponsored by NGOs' and carried out in drought prone and food insecure areas where the victims receives food items such as cooking oil,

milled/un milled food crops i.e. maize, sorghum, beans, etc in exchange of the work preformed in the on going infrastructure development program sponsored by NGOs'.

35. **Loan:** refers to the amount borrowed in cash or in kind, with and without interest and to be repaid in a pre-fixed time period with an agreement made between two or more persons.
36. **Loan Interest:** is payment made for the amount of loan taken. The rate of interest is expressed as a percentage of the principal paid for its use for a given time, usually a year.
37. **Collateral:** refers to property or goods used as security against a loan and forfeited if the loan is not repaid.
38. **Public institution:** is an association/ co-operative that includes 'Edir', 'Ekub', 'Senbetee', etc where group of persons voluntarily come together with an objective of promoting the economic and social welfare of its members.
39. **Tax:** the amount of money enterprises and individuals pay to the government from income received from sales of products and/or services or from salaries and wages.
40. **Informal Sector:** is defined as business not registered formally with the appropriate government agency. Examples include street vendors, some small household enterprises, small farmers, etc.
41. **Micro finance, credit and savings institutions:** are institutions that provide small-scale entrepreneurs/farmers access to credit and savings services. These institutions are registered with the Central Bank and their transactions are written and legal.
42. **Foreign Trade:** is a trade activity that involves the export of good and services for sale abroad and the import of goods and services from abroad for sale in domestic markets.

43. **Remittance:** is a gift in-cash or goods given or received by a household member, relative or friend, every week or month or yearly.
44. **Rent/Lease:** a payment made in cash or in kind to the owner (individual or government) in a legal contract allowing somebody exclusive possession of another's property for a pre fixed time period.
45. **Raw materials:** include all raw and auxiliary materials, parts and containers, which are consumed during the reference year and include the purchase price, transport charges, taxes and other incidental costs.
46. **Initial Capital:** is that part of the issued capital of an establishment that has been paid by the shareholders or the individual owner to start the operation.
47. **Marriage:** a legally recognized relationship, established by a civil or religious ceremony, between two people who intend to live together as sexual and domestic partners. The two types of marriage are:-
- **Monogamy:** the practice of being married to only one person at a time
  - **Polygamy:** the custom of having more than one spouse at the same time. *Also called plural marriage*
- Marital status has six different categories here. The following are codes for the various marital status categories:
- i. **Never married:** Are persons who have never married before and at the time of the survey.
  - ii. **Married Monogamous:** Are persons who at the survey time are married only to one partner whether they were staying in the same house or not. The marriage may be both under the legal system of the country, religious or the customs of the local area.
  - iii. **Married Polygamous:** Are persons who at the survey time are married to more than one partner whether they were staying in the same house or not. The marriage may be both under the legal system of the country, religious or the customs of the local area.

- iv. **Divorced:** For all persons who at the reference time have had their marriage formally annulled either in court or by custom and have not married again at the time of the survey.
  - v. **Separated:** For all persons who because of dispute or other reasons were no longer staying in the same house as "married partners " but whose marriage had not been declared culturally or legally dissolved.
  - vi. **Widowed:** For all persons who at the time of the survey have lost their marriage partners through death and have not remarried.
  - vii. **Living together/Cohabiting:** Are persons who at the time of the survey are living together as husband and wife. The marriage is not in the legal system of the country or the customs of the local area. These persons may or may not have had common child.
48. **Unemployed-1:** refers to all economically inactive persons who have never been employed but are actively looking for work including those currently jobless but had been employed.
49. **Unemployed-2:** refers to all economically inactive persons who do not want to work for various reasons, has never been employed but are actively looking for work including those currently jobless but had been employed.
50. **Retail Price:** is the money cost to the final purchase of a specified unit of sale. It is inclusive of all sales and excise taxes.
51. **Enterprise Head:** is the owner/manager of one or more enterprises or head of different sections within the enterprise who control and supervise the performance of paid or unpaid workers of the enterprise.
52. **Rural non-farm sector:** refers to all activities in rural area, outside of agriculture performed for the purpose of generating income /profit to sustain a household. Such activities include self or wage employment, full or part time formal/informal work, seasonal and episodic non-farm production, and processing among others.

**53. Rural non-farm enterprise:** refers to all enterprises outside of agriculture established for the purpose of generating income for the household. Excludes salary and wage employment.

**54. Household Suffered Food Shortage:** a household that suffered food shortage at any given time within a crop production year. When the income generated from the sales of farm produce, livestock and livestock products, etc( except draught animals and farm tools) and income generated through performing different productive activities are found not to be enough to feed the household from month to month. This sometimes results in the members of the household doing the following:

- ▶ One or more members are forced to sell draught animals and farm tools
- ▶ The household is forced to borrow money with higher interest rate from local lenders or using the fixed assets and furniture for collateral.
- ▶ The household is forced to sell assets, furniture, and jewelry, etc
- ▶ One or more members are forced to perform unproductive activities considered as taboo, by the society such as bar lady, begging, theft, burglary, etc.

## APPENDIX 5. INVESTMENT CONSTRAINT CODES – RICS-AgSS

141	Shortage of Money	146	No need to work other than agriculture
142	Shortage of Time	147	Student
143	Too Old	148	No financial problems
144	Domestic Work	149	Sickness/Disability
145	Shortage of Knowledge	150	Others

## APPENDIX 6. PRODUCT CODES - RICS-Amhara

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1 tella - local beer	33 yeast trading
3 katikala -local liquor	34 spices
4 natala - single local scarf	35 injera - local bread
5 gabi - double local scarf	36 fruit and vegetables
6 bed cover	37 code 42
7 hair cut for male	38 shoe polish
8 hair cut for female	39 sewing for handicrafts
10 soap	40 milling service
11 cooking oil	41 Tailor
12 kerosene	42 Carpenter
13 hair care	43 goat or sheep trading
14 sugar	46 pepper trading
15 coffee	47 stitchery
16 other shop items	49 restaurant
17 clay pot	50 honey trading
18 clay coffee pot	51 egg trading
19 clay oven	52 shoe trading
28 cotton coil	56 leather
29 cattle	62 steel work
30 cloth trading	68 code 41
31 bread sale	82 jewelry trading
32 cereal trading	90 other goods and services

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## APPENDIX 7. UNIT CODES - RICS-Amhara

1 bottle (1 liter)	28 code 18
2 liter	29 dunkey load (100 kg)
3 goug (2 liters)	30 code 8
4 number	31 code 16
5 kilogram	32 pile
6 birelle (0.5 liters)	33 month
7 glass (200 ml)	34 bottle lid
8 liquor glass (2 cl)	35 gallon (4 liters)
9 small can (0.5 liters)	36 rope
10 duracell battery (?? g)	37 kel (200-1000ml)
11 quintile (100 kg)	38 kuna (6-10 kg)
13 cup (200 ml)	39 dozen
14 meter	40 ensra (20-30 liters)
15 cotton thread	41 code 27
16 bundle	42 code 18
17 packet	43 code 13
18 plate	44 carton of cigarettes
19 lekakit (home made cotton thread)	45 code 32
20 gram	46 code 17
21 arm length	47 minute
22 barrel (1591 liters)	48 can (2 liters)
23 small bottle (200 ml)	49 code 11
24 pair	50 sack (50 kg)
25 jerrican (5/10/25 liters)	51 code 4
26 day	52 single trip
27 tee glas (100 ml)	

## APPENDIX 8. INDUSTRY CODES – RICS-Ambara & RICS- AgSS

### **Manufacturing**

- 15 Manufacture of food products and beverages
- 16 Manufacture of tobacco products
- 17 Manufacture of textiles
- 18 Manufacture of wearing apparel; dressing and dyeing of fur
- 19 Tanning and dressing of leather; manufacture of luggage, saddlery, harness, footwear
- 20 Manufacture of wood and of products of wood and cork, except furniture;
- 21 Manufacture of paper and paper products
- 22 Publishing, printing and reproduction of recorded media
- 23 Manufacture of coke, refined petroleum products and nuclear fuel
- 24 Manufacture of chemicals and chemical products
- 25 Manufacture of rubber and plastics products
- 26 Manufacture of other non-metallic mineral products
- 27 Manufacture of basic metals
- 28 Manufacture of fabricated metal products, except machinery and equipment
- 29 Manufacture of machinery and equipment n.e.c.
- 30 Manufacture of office, accounting and computing machinery
- 31 Manufacture of electrical machinery and apparatus n.e.c.
- 32 Manufacture of radio, television and communication equipment and apparatus
- 33 Manufacture of medical, precision and optical instruments, watches and clocks
- 34 Manufacture of motor vehicles, trailers and semi-trailers
- 35 Manufacture of other transport equipment
- 36 Manufacture of furniture; manufacturing n.e.c.
- 37 Recycling

### **Wholesale, retail trade and repair of motor vehicles and personal and household goods**

- 50 Sale, maintenance and repair of motor vehicles and motorcycles
- 51 Wholesale trade and commission trade, except of motor vehicles and motorcycles
- Retail trade, except of motor vehicles and motorcycles; repair of personal and household
- 52 goods

### **Hotels and restaurants**

- 55 Hotels and restaurants

### **Transport, storage and communications**

- 60 Land transport; transport via pipelines
- 61 Water transport
- 62 Air transport
- 63 Supporting and auxiliary transport activities; activities of travel agencies
- 64 Post and telecommunications

### **Real estate, renting and business activities**

- 70 Real estate activities
- 71 Renting of machinery and equipment and of personal and household goods
- 72 Computer and related activities
- 73 Research and development
- 74 Other business activities

### **Public Services**

- 75 Public administration and defense; compulsory social security
- 80 Education
- 85 Health and social work
- Other community, social and personal service activities**
- 90 Sewage and refuse disposal, sanitation and similar activities
- 91 Activities of membership organizations n.e.c.
- 92 Recreational, cultural and sporting activities
- 93 Other service activities
- Activities of private households as employers and undifferentiated production activities**
- 95 Activities of private households as employers of domestic staff
- 96 Undifferentiated goods-producing activities of private households for own use
- 97 Undifferentiated service-producing activities of private households for own use
- Extraterritorial organizations and bodies**
- 99 Extraterritorial organizations and bodies
- Manufacturing**
- 1511 Production, processing and preserving of meat and meat products
- 1512 Processing and preserving of fish and fish products
- 1513 Processing and preserving of fruit and vegetables
- 1514 Manufacture of vegetable and animal oils and fats
- 1520 Manufacture of dairy products
- 1531 Manufacture of grain mill products
- 1532 Manufacture of starches and starch products
- 1533 Manufacture of prepared animal feeds
- 1541 Manufacture of bakery products
- 1542 Manufacture of sugar
- 1543 Manufacture of cocoa, chocolate and sugar confectionery
- 1544 Manufacture of macaroni, noodles, couscous and similar farinaceous products
- 1549 Manufacture of other food products n.e.c.  
Distilling, rectifying and blending of spirits; ethyl alcohol production from fermented materials
- 1551 materials
- 1552 Manufacture of wines
- 1553 Manufacture of malt liquors and malt
- 1554 Manufacture of soft drinks; production of mineral waters
- 1600 Manufacture of tobacco products
- 1711 Preparation and spinning of textile fibres; weaving of textiles
- 1712 Finishing of textiles
- 1721 Manufacture of made-up textile articles, except apparel
- 1722 Manufacture of carpets and rugs
- 1723 Manufacture of cordage, rope, twine and netting
- 1729 Manufacture of other textiles n.e.c.
- 1730 Manufacture of knitted and crocheted fabrics and articles
- 1810 Manufacture of wearing apparel, except fur apparel
- 1820 Dressing and dyeing of fur; manufacture of articles of fur
- 1911 Tanning and dressing of leather
- 1912 Manufacture of luggage, handbags and the like, saddlery and harness

- 1920 Manufacture of footwear
- 2010 Sawmilling and planing of wood
- 2021 Manufacture of veneer sheets; manufacture of plywood, laminboard, and boards
- 2022 Manufacture of builders' carpentry and joinery
- 2023 Manufacture of wooden containers
- 2029 Manufacture of other products of wood; manufacture of articles of cork, straw and plaiting
- 2101 Manufacture of pulp, paper and paperboard
- 2102 Manufacture of corrugated paper and paperboard and of containers of paper
- 2109 Manufacture of other articles of paper and paperboard
- 2211 Publishing of books, brochures and other publications
- 2212 Publishing of newspapers, journals and periodicals
- 2213 Publishing of music
- 2219 Other publishing
- 2221 Printing
- 2222 Service activities related to printing
- 2230 Reproduction of recorded media
- 2411 Manufacture of basic chemicals, except fertilizers and nitrogen compounds
- 2412 Manufacture of fertilizers and nitrogen compounds
- 2413 Manufacture of plastics in primary forms and of synthetic rubber
- 2421 Manufacture of pesticides and other agrochemical products
- 2422 Manufacture of paints, varnishes and similar coatings, printing ink and mastics
- 2423 Manufacture of pharmaceuticals, medicinal chemicals and botanical products
- 2424 Manufacture of soap and detergents, cleaning preparations, perfumes and toilet preps
- 2429 Manufacture of other chemical products n.e.c.
- 2511 Manufacture of rubber tyres and tubes; retreading and rebuilding of rubber tyres
- 2519 Manufacture of other rubber products
- 2520 Manufacture of plastics products
- 2610 Manufacture of glass and glass products
- 2691 Manufacture of non-structural non-refractory ceramic ware
- 2692 Manufacture of refractory ceramic products
- 2693 Manufacture of structural non-refractory clay and ceramic products
- 2694 Manufacture of cement, lime and plaster
- 2695 Manufacture of articles of concrete, cement and plaster
- 2696 Cutting, shaping and finishing of stone
- 2699 Manufacture of other non-metallic mineral products n.e.c.
- 2710 Manufacture of basic iron and steel
- 2720 Manufacture of basic precious and non-ferrous metals
- 2731 Casting of iron and steel
- 2732 Casting of non-ferrous metals
- 2811 Manufacture of structural metal products
- 2812 Manufacture of tanks, reservoirs and containers of metal
- 2813 Manufacture of steam generators, except central heating hot water boilers
- 2891 Forging, pressing, stamping and roll-forming of metal; powder metallurgy  
Treatment and coating of metals; general mechanical engineering on a fee or contract basis
- 2892 basis
- 2893 Manufacture of cutlery, hand tools and general hardware

- 2899 Manufacture of other fabricated metal products n.e.c.
- 3610 Manufacture of furniture
- 3691 Manufacture of jewelry and related articles
- 3692 Manufacture of musical instruments
- 3693 Manufacture of sports goods
- 3694 Manufacture of games and toys
- 3699 Other manufacturing n.e.c.

**Wholesale and retail trade; repair of motor vehicles, motorcycles and household goods**

- 5010 Sale of motor vehicles
- 5020 Maintenance and repair of motor vehicles
- 5030 Sale of motor vehicle parts and accessories
- 5040 Sale, maintenance and repair of motorcycles and related parts and accessories
- 5050 Retail sale of automotive fuel
- 5110 Wholesale on a fee or contract basis
- 5121 Wholesale of agricultural raw materials and live animals
- 5122 Wholesale of food, beverages and tobacco
- 5131 Wholesale of textiles, clothing and footwear
- 5139 Wholesale of other household goods
- 5141 Wholesale of solid, liquid and gaseous fuels and related products
- 5142 Wholesale of metals and metal ores
- 5143 Wholesale of construction materials, hardware, plumbing and heating equipment /supplies
- 5149 Wholesale of other intermediate products, waste and scrap
- 5151 Wholesale of computers, computer peripheral equipment and software
- 5152 Wholesale of electronic and telecommunications parts and equipment
- 5159 Wholesale of other machinery, equipment and supplies
- 5190 Other wholesale
- 5211 Retail sale in non-specialized stores with food, beverages or tobacco predominating
- 5219 Other retail sale in non-specialized stores
- 5220 Retail sale of food, beverages and tobacco in specialized stores
- 5231 Retail sale of pharmaceutical and medical goods, cosmetic and toilet articles
- 5232 Retail sale of textiles, clothing, footwear and leather goods
- 5233 Retail sale of household appliances, articles and equipment
- 5234 Retail sale of hardware, paints and glass
- 5239 Other retail sale in specialized stores
- 5240 Retail sale of second-hand goods in stores
- 5251 Retail sale via mail order houses
- 5252 Retail sale via stalls and markets
- 5259 Other non-store retail sale
- 5260 Repair of personal and household goods

**Hotels and restaurants**

- 5510 Hotels; camping sites and other provision of short-stay accommodation
- 5520 Restaurants, bars and canteens

**Transport, storage and communications**

- 6010 Transport via railways
- 6021 Other scheduled passenger land transport

- 6022 Other non-scheduled passenger land transport
- 6023 Freight transport by road
- 6030 Transport via pipelines
- 6110 Sea and coastal water transport
- 6120 Inland water transport
- 6210 Scheduled air transport
- 6220 Non-scheduled air transport
- 6301 Cargo handling
- 6302 Storage and warehousing
- 6303 Other supporting transport activities
- 6304 Activities of travel agencies and tour operators; tourist assistance activities n.e.c.
- 6309 Activities of other transport agencies
- 6420 – Telecommunications

**Real estate, renting and business activities**

- 7010 Real estate activities with own or leased property
- 7020 Real estate activities on a fee or contract basis
- 7111 Renting of land transport equipment
- 7112 Renting of water transport equipment
- 7113 Renting of air transport equipment
- 7121 Renting of agricultural machinery and equipment
- 7122 Renting of construction and civil engineering machinery and equipment
- 7123 Renting of office machinery and equipment (including computers)
- 7129 Renting of other machinery and equipment n.e.c.
- 7130 Renting of personal and household goods n.e.c.
- 7210 Hardware consultancy
- 7221 Software publishing
- 7229 Other software consultancy and supply
- 7230 Data processing
- 7240 Database activities and online distribution of electronic content
- 7250 Maintenance and repair of office, accounting and computing machinery
- 7290 Other computer-related activities
- 7310 Research and experimental development on natural sciences and engineering (NSE)
- 7320 Research and experimental development on social sciences and humanities (SSH)
- 7411 Legal activities
- 7412 Accounting, bookkeeping and auditing activities; tax consultancy
- 7413 Market research and public opinion polling
- 7414 Business and management consultancy activities
- 7421 Architectural and engineering activities and related technical consultancy
- 7422 Technical testing and analysis
- 7430 Advertising
- 7491 Labour recruitment and provision of personnel
- 7492 Investigation and security activities
- 7493 Building-cleaning and industrial-cleaning activities
- 7494 Photographic activities
- 7495 Packaging activities
- 7499 Other business activities n.e.c.

**Public Services**

- 8010 Primary education
- 8090 Other education
- 8511 Hospital activities
- 8512 Medical and dental practice activities
- 8519 Other human health activities

**Other community, social and personal service activities**

- 9000 Sewage and refuse disposal, sanitation and similar activities
- 9111 Activities of business and employers organizations
- 9112 Activities of professional organizations
- 9120 Activities of trade unions
- 9191 Activities of religious organizations
- 9192 Activities of political organizations
- 9199 Activities of other membership organizations n.e.c.
- 9211 Motion picture and video production and distribution
- 9212 Motion picture projection
- 9213 Radio and television activities
- 9214 Dramatic arts, music and other arts activities
- 9219 Other entertainment activities n.e.c.
- 9220 News agency activities
- 9231 Library and archives activities
- 9232 Museums activities and preservation of historic sites and buildings
- 9233 Botanical and zoological gardens and nature reserves activities
- 9241 Sporting activities
- 9249 Other recreational activities
- 9301 Washing and (dry-)cleaning of textile and fur products
- 9302 Hairdressing and other beauty treatment
- 9303 Funeral and related activities
- 9309 Other service activities n.e.c.
- 9900 Extraterritorial organizations and bodies

**APPENDIX 9: MAJOR IINDUSTRY CODES, RICS-Amhara**

Two-digit codes	Major Industries
01	Agriculture, Hunting and Forestry
02	Fishery
03	Mining
04	Manufacturing and Industry
05	Electricity and gas
06	Construction
07	Wholesale and retail trade
08	Hotel and restaurant
09	Transport and storage
10	Finance
11	Real estate
12	Defense and social security
13	Education
14	Health
15	Other services
16	Households with hired workers
17	International organizations

## APPENDIX 10. ETHIOPIAN CALENDAR

The Ethiopian year consists of 365 days, divided into twelve months of thirty days each plus one additional month of five days (six in leap years). Ethiopian New Year's falls on September 11 and ends the following September 10, according to the Gregorian (Western) calendar. From September 11 to December 31, the Ethiopian year runs seven years behind the Gregorian year; thereafter, the difference is eight years. Hence, the Ethiopian year 1999 began on September 11, 2006, according to the Gregorian calendar, and ended on September 10, 2007.

Ethiopian month	Gregorian month (in leap years)	Ethiopian year	Gregorian year
Mäskäräm	September 11 (12)	2000	2007/2008
Teqemt	October 11 (12)	1999	2006/2007
Hedar	November 10 (11)	1998	2005/2006
Tahsas	December 10 (11)	1997	2004/2005
T'er	January 9 (10)	1996	2003/2004
Yäkatit	February 8 (9)	1995	2002/2003
Mägabit	March 10	1994	2001/2002
Miyazya	April 9		
Genbot	May 9		
Säne	June 8		
Hamle	July 8		
Nähase	August 7		
Pagumän	September 6		

## APPENDIX 11: DOCUMENTATION FOR ETHIOPIA RURAL INVESTMENT CLIMATE SURVEY

Basic Information Document
<i>Questionnaires</i> RICS AgSS Non-Farm Activities Questionnaire, Amharic RICS AgSS Non-Farm Activities Questionnaire, English RICS-Amhara Household Questionnaire, Amharic RICS-Amhara Household Questionnaire, English RICS-Amhara Community Questionnaire, Amharic RICS-Amhara Community Questionnaire, English RICS-Amhara Enterprise Questionnaire, Amharic RICS-Amhara Enterprise Questionnaire, English
<i>Manuals for Field Staff</i> RICS-AgSS NFA Manual, Amharic RICS-Amhara Manual, Amharic RICS-Amhara Manual, English