



Field Manual for Enumerators: Survey of MSEs and Buyers in Guatemalan Handicrafts and Horticulture Value Chains

microREPORT #52

April 2005

This publication was produced for review by the United States Agency for International Development. It was prepared by Phillip Church (DevTech Systems, Inc., subcontractor to Louis Berger Group), Shand Evans (Louis Berger Group), Elizabeth Dunn (ACDI/VOCA), David Bloom (Harvard University, subcontractor to Louis Berger Group), and Nicole Gaymon (Louis Berger Group). This paper is a co-product of ACDI/VOCA and Louis Berger Group under the Accelerated Microenterprise Advancement Project Business Development Services Knowledge and Practice Task Order.

Field Manual for Enumerators: Survey of MSEs and Buyers in Guatemalan Handicrafts and Horticulture Value Chains

microREPORT #52

Phillip Church, Shand Evans, Elizabeth Dunn, David Bloom, and Nicole Gaymon

APRIL 2005

DISCLAIMER

The author's views expressed in this publication do not necessarily reflect the view of the United States Agency for International Development or the United States Government.

TABLE OF CONTENTS

I. INTRODUCTION	1
1.1 Context for the Research	1
1.2 The Purpose of this Manual.....	1
1.3 Responsibilities of Field Survey Supervisors.....	1
2. KEY TERMS AND DEFINITIONS	3
2.1 General Terms for the Study	3
2.2 Definitions Specific to Textile Handicrafts	5
2.3 Definitions Specific to Horticulture.....	6
3. SELECTING AND LOCATING RESPONDENTS	9
3.1 Buyer Firm Survey	9
3.1.1 Overview	9
3.1.2 Sample Frames for the Buyer Firm Survey	9
3.1.3 Referrals	9
3.1.4 Pilot Test—Buyers	10
3.2 Producer Firm Survey	11
3.2.1 Overview	11
3.2.2 Respondent Driven Sampling	11
3.2.3 Implementing RDS Sampling	11
3.2.4 Pilot Test—Producers	14
4. INTERVIEWING RESPONDENTS.....	15
4.1 Preparing for the Interview.....	15
4.2 Conducting the Interview.....	15
4.2.1 At the beginning of the interview	15
4.2.2 At conclusion of the interview.....	18
4.2.3 Asking for Referrals	18
5. RECORDING RESPONSES TO SPECIFIC QUESTIONS.....	19
5.1 Survey Questionnaire for Buyer Firms	19
5.2 Survey Questionnaire for Producer Enterprises (MSEs).....	21

1. INTRODUCTION

1.1 Context for the Research

Two value chains were selected for the research in Guatemala: textile handicrafts and horticulture. These value chains were selected because of the large numbers of MSEs that are engaged in those sectors and because of their global relevance. Currently, at least 700,000 Guatemalans operate as MSE weavers in the handicrafts sector. Similarly, an estimated 250,000 MSEs work as producers in the horticulture sector. Information about how MSEs contribute to and benefit from these value chains will be broadly applicable in other countries, since handicrafts and small-scale agriculture are significant sources of income for low-income households around the world.

The survey research focuses on the barriers and opportunities for growth for MSEs in these two sectors, specifically looking at the potential for MSE upgrading. The survey research will also look at the effects of social capital and trust, information, and risk preferences on business relationships and decisions to upgrade.

1.2 The Purpose of this Manual

This manual will serve as a reference for surveyors while they are in the field interviewing respondents. It is important that data be collected as carefully and completely as possible. Information collected on the questionnaires will be coded and entered into a database where it will be analyzed to summarize findings from the survey. Carefully collected and reported information will avoid biases and errors in the later data tabulation and analysis.

*****If surveyors have any questions at all about the information in this manual or instructions on the questionnaire, they should consult their supervisors before proceeding with any further interviews. Questions that supervisors cannot answer should be directed to the Aragon and Associates project directors.**

This manual is organized in the same sequence in which respondents will be selected and interviewed. In addition, the Manual contains definitions of terms used in the questionnaire that should be familiar to both the surveyor and to the respondent. Please read and familiarize yourself with these terms. Ask if you need clarifications.

1.3 Responsibilities of Field Survey Supervisors

If you are a field survey supervisor you will:

1. Participate in conducting buyer firm surveys and in obtaining from buyer firms the names of initial producer “seed” firms.

2. Organize and direct the work of the two survey teams – textile handicrafts and horticulture crops – in one of two locations – either Solola/Panahajel or Antigua/Chimaltenango/Sacatepequez.
3. Direct the survey enumerators in conducting each “wave” of the respondent driven sampling based on approved lists of initial “seed” firms
4. Manage funds for paying incentives to producer firm respondents for their participation and for making referrals of other firms
5. Review completed questionnaires to assure they have been filled in correctly and accurately and work with field survey enumerators to correct any errors found in recording responses.
6. Code and inventory all questionnaires and send the questionnaires to Guatemala City for coding and data entry.
7. Communicate with A&A in Guatemala City on any problems or questions that may arise with regard to the conduct of the field data collection

If you are a field survey enumerator you will:

1. Read and become fully familiar with this survey manual and with the survey questionnaire to be used to collect information from respondents in your sector and geographic area.
2. Follow instructions in this manual and from your field survey supervisor in selecting respondents to be interviewed.
3. Conduct survey interviews either at the respondent’s place of work or residence or in a location that will allow the respondent to give answers in privacy.
4. Provide payment of Q. 35.00 to each respondent for their time and their help in identifying other qualified respondents
5. Obtained signed receipts for payments made to each respondent
6. Consult your supervisor when you have any questions or concerns about the questionnaire or about methods of selecting respondents or collecting information.
7. Complete answers to all questions and make any corrections or additions as directed by your supervisor.

2. KEY TERMS AND DEFINITIONS

There are several terms and concepts used in the survey questionnaire with which field surveyors must be familiar. The following are definitions of these terms.

2.1 General Terms for the Study

Buyer Firms (“Buyers”) — Firms that buy the product for resale, including firms that buy the product from MSE producers. Buyer firms may resell the product in national and/or international markets. These firms may also participate in activities at other levels of the value chain, including supplying raw materials and production.

Governance — Governance patterns vary, but may include relationships:

1. Between importers and exporters—Hierarchical, balanced, and market. A single exporter may have a balanced relationship with one or more importers and market relationships with others.
2. Between exporters and artisan-brokers—Balanced and market. Mature relationships are typically characterized by a close, balanced type of network governance. Captive relationships are rare, and considered undesirable by both parties. Relationships usually begin as market relationships (see below).
3. Between artisan-brokers and producers—Balanced, captive, and market

Horizontal Relationships — Market and non-market interactions between firms operating at the same level of the value chain. Horizontal relationships take the form of cooperatives, “associations”, and other types of producer groups. In deciding to commit to a group, producers weigh the potential benefits of participation against the potential risks. There are several potential benefits of belonging to a producer grouping:

1. Being represented by leaders with higher levels of human capital, in terms of literacy, numeracy, and ability to speak Spanish.
2. Ability to accept larger orders. This opens up the possibility of working with exporters, who would not work with individual weavers.
3. Access to better communication infrastructure. The group can have a telephone, fax, or internet connection, which individual members would not normally have.
4. Possibility of hiring a professional manager, assuming the group has enough business to support it.
5. Ability to solicit and receive training, technical assistance, and other services from donors and non-profits supporting the sector.

Lead Firms — Firms that play central roles in the value chain and are involved in a significant percentage of total sector sales. Because of their market share, they have an effective influence on governance patterns within the value chain. These firms also often act as brokers in national and international markets.

Micro and Small Enterprise (MSE) Producers — Firms that produce the product and have fewer than 25 full-time and part-time employees. Producers in the handicrafts sector are weavers and tend to be indigenous women living in rural areas (although men

also weave on the foot loom). Producers in horticulture are farmers and tend to be men living in rural areas (although other family members assist with cultivation). For the purpose of this study, MSEs producers need to be either currently producing the product (handicrafts/horticulture), or have produced and sold the product in the past six months to be included in the survey.

Producer Groups -- A group of producers who market their products together. The sales of a producer group may be negotiated by an individual (“leader” or “representative”) who is a member of the group, acts on behalf of the group, and does not receive an individual profit from the sale. However, the representative of the producer group may receive some monetary compensation from the group based on the amount of time spent or to cover travel expenses. If leadership rotates among the group, then it is definitely a producer group.

Risk — A loss or the chance of a loss.

Social Capital — The institutions, relationships, attitudes, and values that can influence interactions among people; norms and networks that drive collective action. High levels of social capital is generally seen as a positive asset, since it can lead to more productive communities through higher levels of trust and shared information, lower transaction costs, and greater networking. However, it is possible for social capital to divide a community and exclude outside groups.

Supplier Firms (“Suppliers”) — Firms that sell the product to other firms.

Transaction Costs — Non-price costs associated with a transaction, including the costs of gathering information, the costs of negotiating a contract, and the costs of enforcing the terms of a contract.

Trust — Willingness to expose oneself to risk in a business agreement with another person or firm.

Upgrading — Innovation that increases value added. There are five specific categories of upgrading:

1. Process Upgrading—increasing efficiency (more output for the same level of input)
2. Product upgrading: improving product quality
3. Functional upgrading: moving to a new level in the value chain
4. Inter-chain upgrading: moving to a new marketing channel in the value chain
5. Inter-sector upgrading: moving to a different product/subsector/value chain

Value Chain — describes the full range of activities that are required to bring a product from its conception to its end use and beyond, including activities such as design, production, marketing, distribution, and support to the final consumer. The activities that comprise a value chain can be contained within a single firm or divided among different firms. Value chain activities can be contained within a single geographical location or spread over wider areas. Global value chains are divided among multiple firms and spread across wide swaths of geographic space, hence the term “global value chain.”

Vertical Relationships — Market and non-market interactions between firms operating at different levels of the value chain. The most interesting aspect of vertical coordination is the unique role of the artisan-broker, who serves as a bridge between producers and exporters. The artisan-broker facilitates communication and successful commercial relationships between people of different social classes, languages/cultures, and education levels. In terms of social capital, the artisan-broker enjoys several types of social capital: linking social capital with exporters, bridging social capital with producers from different villages and ethnic groups, and bonding social capital with producers from the same village and ethnic group as the artisan-broker.

Wholesalers -- Firms that do not produce the product and do not sell to the final consumer. In the most direct case, these firms buy from MSE producers and sell to retailers. Examples include exporters, distributors, brokers.

2.2 Definitions Specific to Textile Handicrafts

Artisan-Broker — Intermediary operating at the wholesale level of the textile handicrafts value chain. Usually an MSE owner with technical knowledge of weaving who coordinates the work of multiple weavers to respond to orders from a third-party buyer. May also be a store owner or market seller in the popular and tourist market.

Back-Strap Loom — Pre-Columbian technique for weaving in which the warp of the loom is stretched between a fixed support (i.e., tree, post) and a strap that wraps behind the weaver's back. The weaver leans forward or backward to control the level of tension on the loom. The width of the loom can vary from just a few inches wide to approximately a meter in width. In Guatemala, back-strap looms are used exclusively by females. (telar de cintura, telar de palitos)

Design — Elements of weaving including colors, color combinations, types of threads used, patterns and representations (figuras, dibujos), spacing of patterns, texture of the cloth, width of the cloth, etc. Design also refers to different ways to combine woven cloth with other materials such as zippers, buttons, leather, etc. to make finished products.

Exporters — Firms selling textile handicrafts to buyers outside of Guatemala.

Foot Loom — Weaving technique introduced by the Spanish in which the warp is attached to a large wood and metal structure and foot pedals are used to mechanically lift and lower the warp. The foot loom can produce much wider fabrics than the back-strap loom, but it can not produce the same complicated brocades. The majority of weavers using the foot loom are men, although women also use the foot loom. Also known as the "treadle loom" or "floor loom". (telar de pie)

Textile Handicrafts — Products made by weaving on a loom, by crochet, or by embroidery. Also includes products that combine these hand-made items with other materials.

Traveler-Exporter — An exporter who resides overseas but visits Guatemala one or more times a year to purchase handicrafts and ship them back home.

2.3 Definitions Specific to Horticulture

Brokers — Firms that operate at the wholesale level in the US and EU. These firms receive products on consignment. They resell the products at the wholesale level (e.g., to distributors) or at the retail level.

Certification — An internal or external validation process indicating that specific practices are being followed with respect to PSS, organic production practices, bioterrorism security measures, etc. An important example is PIPAA.

Distributors — Medium and large firms that, as a sole or main business, sell to retail-level firms, including supermarkets, hotels, restaurants, and institutions. Examples of Guatemalan distributors are La Carreta, Disvegua, and La Meseta. Examples of US distributors include Hanover Foods, Melisas, L.A. Salad, and Mar Bran USA.

Exporters — Firms that, as a sole or main business, sell to non-retail buyers outside of Guatemala. Examples include Mar Bran, Maya-Pac (ALCOSA), Aj Ticonel, Cuatro Pinos, and CEMUSDA.

Horticulture Crops — Crops associated with snow peas in terms of production zones, general production techniques, and market similarities. The horticulture crops included in this definition are snow peas, sugar snap peas, English peas, green beans, French beans, yellow wax beans, baby carrots, baby squash, baby corn, broccoli, cauliflower, cabbage, Brussels sprouts, lettuce, and celery.

Intermediaries — Firms that are MSEs, operate within Guatemala and Central America at the wholesale level, and do not sell outside of Central America. These firms sell to exporters, distributors, and retailers. They may deliver the product to the buyer or sell from wholesale markets, such as Cenma (in Guatemala) and La Tiendona (in El Salvador). Intermediaries often buy directly from producers; in this situation, they are sometimes referred to as coyotes.

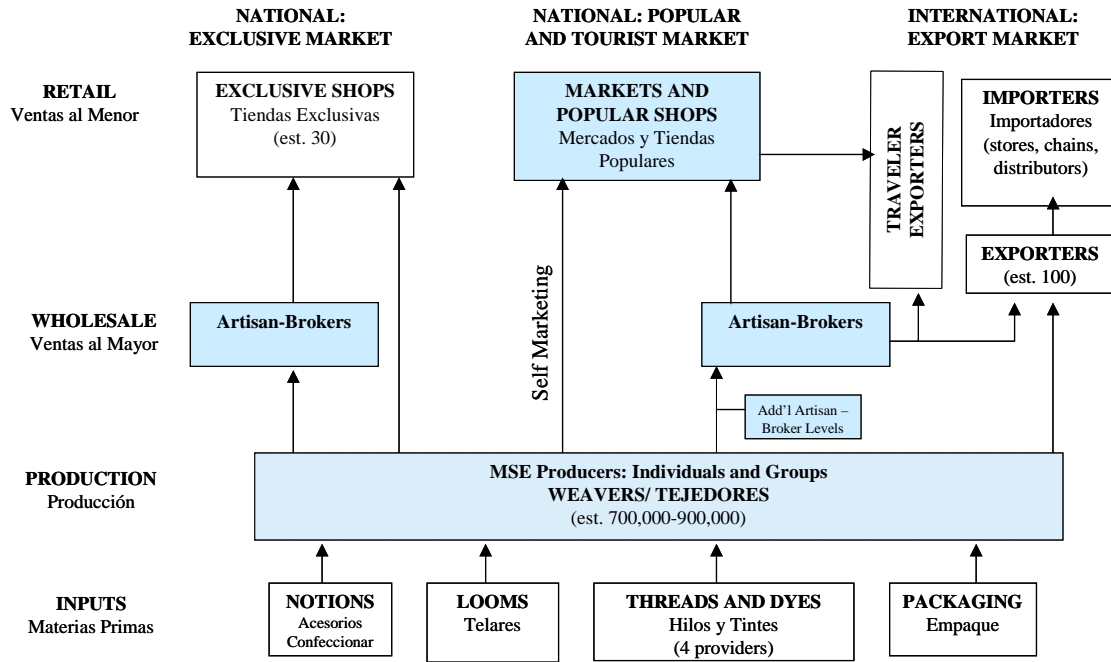
Phyto-Sanitary Standards (PSS) — Requirements and preferences related to protecting the health and safety of the consumer. These include the absence of harmful chemical residues and microbiological contaminants (e.g., E. coli).

Wet markets — The main retail alternative to the supermarket in Guatemala and Central America, sometimes referred to as “local” or “traditional” markets. According to the informants at La Fragua, more than 72% of retail purchases of fresh fruits and vegetables in Guatemala are made in wet markets.

Wholesale market — Local markets in which intermediaries sell products to, distributors, exporters, and/or other intermediaries. (Final consumers may shop at wholesale markets, but the largest volume of sales is at the wholesale level.) The most important Guatemalan wholesale market for horticultural crops is “Cenma” (Central de Mayoreo) in Guatemala City. Another wholesale market in Guatemala City is at “La Terminal”. In El Salvador, the main wholesale market is La Tiendona. In addition to these large markets,

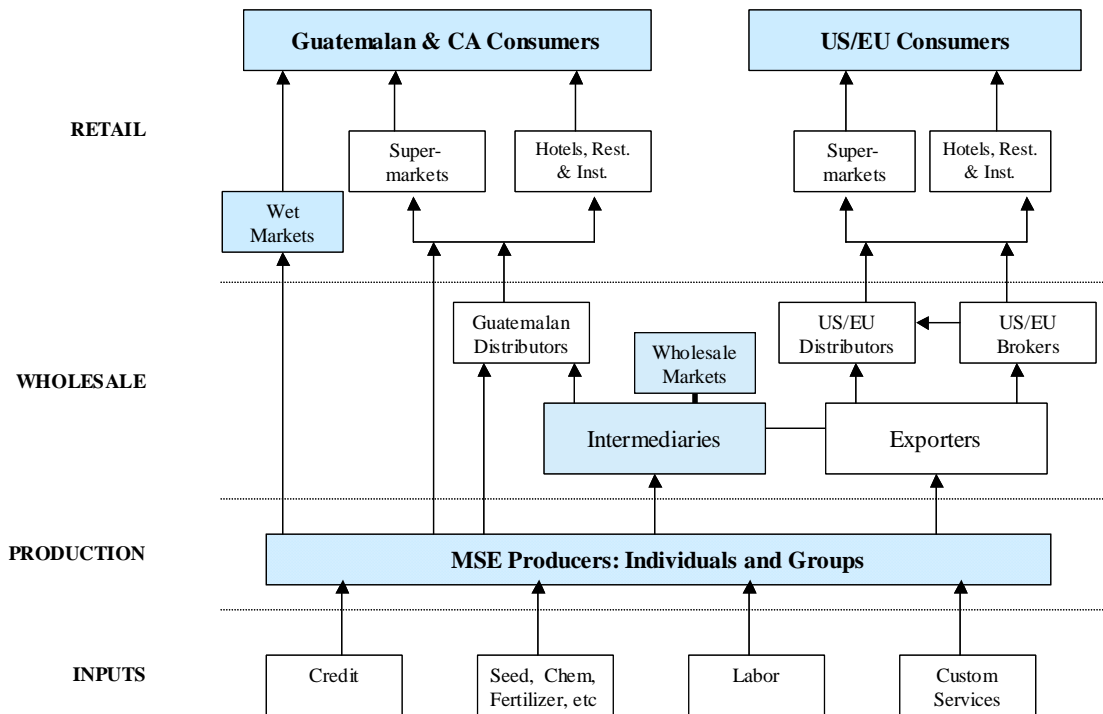
specialized wholesale markets for specific crops operate in the most fertile horticultural zones in Sacatepequez and Chimaltenango. An example is the wholesale market on the streets of Sumpango on Monday, Wednesday, and Friday evenings from 6-8:30 pm.

Figure 1: Guatemalan Textile Handicrafts Value Chain Map



USAID AMAP BDS
Dr. E. Dunn - 11/15/04

Figure 2: Guatemalan Horticulture Value Chain Map



USAID AMAP BDS
Dr. E. Dunn - 11/15/04

3. SELECTING AND LOCATING RESPONDENTS

3.1 Buyer Firm Survey

3.1.1 Overview

The buyer firm survey will collect quantitative data from buyer firms in each value chain. The respondents will be owners or high-level managers of firms from several buyer categories. Buyers are usually deeply engaged in the sector, often acting as intermediaries between producers and retailers, and they may even be involved at many different levels in the value chain. Some buyers, such as exporters, are larger firms and have a vantage point that offers a birds-eye view of the sector.

The questions in the buyer survey focus on vertical relationships between these firms and MSEs. The questions cover governance structures, upgrading, trust, transaction costs, shared information, and social capital.

Field survey supervisors will select the buyer respondents and conduct the buyer surveys. They will be provided with lists of buyer firms engaged in marketing textile handicrafts or horticulture crops. The lists will include the buyer firm names and contact addresses and the person to be interviewed. Field survey supervisors should make phone contact with respondents to make an appointment of at least one hour for conducting the interviews.

In the cases of the popular markets and artisan-brokers in handicrafts, and the intermediaries in horticulture, there are no existing lists to use as a starting point in constructing sample frames. Instead, tables 3.1.3a and 3.1.3b describe an approach that relies on a combination of referrals and random walk sampling to generate random samples of buyer firms in these categories.

3.1.2 Sample Frames for the Buyer Firm Survey

A sample of between 70 and 90 buyers in each value chain (handicrafts and high-value horticulture) is sufficient to provide statistically significant results. As can be seen in Tables 1 and 2, MSE producers in textile handicrafts and high-value horticulture sell their products to several different types of buyers.

There are four types of buyers for textile handicrafts and the five types of buyers for horticulture products. Tables 1 and 2 list each of these categories of buyer firms and describe the sample frames for selecting respondents that represent each type of buyer.

3.1.3 Referrals

By interviewing almost all of the categories of buyers, it should be possible to elicit referrals for producers operating in every channel of the two value chains. Thus, the initial seeds for the RDS producer sample will include producers referred from every category of buyer. With initial seeds from all buyer categories, it may be possible for the producer sample to converge to a sample that is representative of all producers in the value chain.

Table 1: Sample Frames for Buyer Firms in Textile Handicrafts (Total: 90)

Type of Buyer	Buyer Level	Population (approx.)	Sample Size	Sample Frame
Exporters	Wholesale	100	24 - 30	list
Artisan-Brokers (Note: These are also MSEs)	Wholesale	unknown	30	referral
Markets & Popular Shops (Note: These are also MSEs. Many will also be producers who are self-marketing.)	Retail	unknown	10 - 16	1. List markets 2. Stratify by region 3. Select 2 randomly 4. Conduct random walk
Exclusive Shops	Retail	30	20	list

Table 2: Sample Frames for Buyer Firms in Horticulture Products (Total: 73)

Type of Buyer	Buyer Level	Population (approx.)	Sample Size	Sample Frame
Exporters	Wholesale	25-30	30	list
Intermediaries (Note: These are also MSEs)	Wholesale	350	30	referral plus random walk
Guatemalan Distributors	Wholesale	8	8	list
Supermarkets	Retail	5	5	list
Wet Markets	Retail	unknown	0	none

3.1.4 Pilot Test—Buyers

The questionnaire and referral process will be pilot tested and revised based on the results of the pilot test. This pilot test will take place AFTER the buyer firm sample frames have been constructed and AFTER the random samples have been selected. In this way, the pilot test can be conducted on buyer firms that have NOT been selected as part of the sampling process.

Four buyers from the handicrafts value chain will be interviewed for the pilot test: one firm from each of the buyer categories. Three firms in the horticulture value chain will be interviewed: one exporter and two intermediaries. Of the horticulture intermediaries, one will come from the exporter referral and the other will be approached in a wholesale market.

The pilot test will provide information on how well the questions are structured and how well the referral process works. It will also provide information on the expected length of the interviews.

3.2 Producer Firm Survey

3.2.1 Overview

The producer survey will focus on quantitative data collected from producers in each value chain. The respondents will be owners or principal decision makers of MSE producer firms in the handicrafts and horticulture sectors. The major sections of the questionnaire cover finance and credit, labor and capital, competition and trade, risk aversion and discount rate, business development support awareness and demand, social capital, value chain governance and upgrading, and demographic information.

While certain questions are more qualitative in nature, such as describing what obstacles might be interfering with business or whether access to credit is easy or hard, for the most part the survey focuses on collecting quantitative data that will be entered into a database and analyzed statistically. We will be using Respondent Driven Sampling (RDS) to define our sample frame.

3.2.2 Respondent Driven Sampling

The basic methodology is to start with an initial set of seeds, which are given an incentive to be interviewed, and then given an additional incentive to recruit other respondents to also be interviewed, who are also then given incentive to recruit more respondents. This process proceeds to a predetermined number of waves.

One general concern worth addressing is that groups have a strong tendency to recruit from within the group, termed “inbreeding”. Thus, the extent to which members of any given group will be sampled depends on three factors – the size of the group, its tendency toward inbreeding, and the strength of inbreeding in other groups. If all groups’ inbreeding terms are equal, then an RDS sample would yield an unbiased sample because the probability of sampling an individual would be related only to the size of the group that individual belonged to.

In the case where social networks do not cross at all and referrals thus do not cover both populations, for instance in cases of geographic isolation, it is possible to partition the sample into two or more sub-samples and each system will reach their own equilibrium distribution.

3.2.3 Implementing RDS Sampling

A. **Initial Seeds** — At the end of the buyer surveys, respondents will be asked to refer a number of producers that they either have business operations with or that they know about through other relationships. Buyers will be instructed to provide referrals that are currently

active MSEs producers in the relevant value chain. The number of referrals will be larger than the actual number of initial seeds, which is to be fifteen in each value chain.

Initial seeds will be selected on the basis of three criteria:

1. Type of buyer making the referral. In handicrafts, three initial seeds each from referrals by a) exporters and b) artisan-brokers, two each from c) markets and popular shops and d) exclusive shops. In horticulture, three initial seeds each from referrals by a) exporters and b) intermediaries; and two each from c) Guatemalan distributors and d) supermarkets.
2. Geographic location. In each value chain, the initial seeds should be evenly divided over the research area, which includes the departments of Guatemala, Sacatepequez, Chimaltenango, and Sololá.
3. Size of the firm (employment). Based on the information provided by buyers, the initial seeds should represent the full range of MSE firm size – that is between 1 and 25 full-time employees -- with more initial seeds coming from the most common firm sizes in the list of referrals. It is important to selecting a diverse set of initial seeds in order to accelerate convergence on the equilibrium distribution of producers. The exact distribution of initial seeds will be selected in consultation between the AMAP research team and the local consulting firm.

B. Number of Waves and Respondents — Either six or seven waves with three referrals for each respondent is recommended in order to establish the equilibrium distribution. The pilot test will help to clarify how long travel and interviews may take. However, it will probably not be extensive enough to estimate the number of waves needed to reach an overall equilibrium distribution. The current sampling plan, summarized in Table 3, attempts to work around time and resource limitations while still maintaining statistical integrity.

Table 3: Number of Waves and Referrals for Each Sector (Final Survey)			
Number of Wave	Total Respondents in Wave	Referrals Used per Respondent	Cumulative Number of Respondents
1	10	2	10
2	20	2	30
3	40	2	70
4	80	1	150
5	80	1	230
6	80	1	310
7	80	-	390

The proposed sampling structure for each sector is to begin with 15 initial seeds in each sector, for a total of 30 initial seeds. As indicated in Table 3, it is recommended that there be seven waves of referrals. In order to create a sample that is reasonably unbiased and representative, it is important to complete no fewer than six waves (rather than have fewer waves with more referrals in each wave). The total number of producer interviews will be 780, or 390 in each of the two sectors.

C. Survey and Recruitment Incentives —Survey and recruitment incentives will be used to attract respondents and motivate them to provide accurate referrals. Q.20 will be

offered as an incentive to participate in the survey. Payments should not be made until successful completion of the survey. Respondents will be paid for their own interview on completion of the interview, and then given an opportunity to earn a Q.15 referral bonus by providing three possible referrals of producers who fit the interview criteria, which is an actively producing MSE in the textile handicrafts or horticulture sectors. Depending on the number of the wave, only one or two of the referrals will be interviewed (see Table 3 above).

A&A Field Supervisors will provide enumerators with a random selection method for immediately prioritizing the three referrals (i.e., ranking them first priority, second priority, and third priority). Once the referrals have been ranked, the enumerator will ask the respondent to bring the enumerator to meet the one or two top priority referral(s). If the top priority producer(s) cannot be found, or do(es) not agree to participate in the survey, then the next highest priority referral(s) should be invited to participate.

Referrals within one wave should all be completed before moving on to begin the interviews in the next wave. For instance, in wave 1, if Respondent A is interviewed and refers Respondents B, C and D, and B and C are selected to be interviewed, then B and C should both be interviewed before any of B and C's referrals are interviewed. After initially being introduced to the referred producer, and assuming the referred producer accepts the interview, then the enumerator will need to return at a later time to complete the interview.

In some cases, the enumerator will have to go to the respondent's location twice: once with the referring producer to be introduced, then a second time to conduct the interview. In other cases, the enumerator will be able to proceed immediately with the interview, provided these three conditions are met:

1. The enumerator has completed all of the interviews for the previous round;
2. The enumerator does not need to go with the referring producer to meet a second referral;
3. The referring producer can be politely asked to leave so that the referred producer can be interviewed in private.

In summary, the procedure to be followed by enumerators is the following:

1. Complete an interview
2. Make the Q20 payment to the respondent and ask the respondent for three referrals for an additional Q.15 bonus.
3. Prioritize the referrals based on a random process and select one or two of the referrals, depending on the wave number.
4. Accompany the respondent to meet the selected referrals and secure their agreement to be interviewed or obtain precise information on when/where the referral can be located.
5. Return, if necessary, at a later time to interview each referral

In order to avoid repeat interviews of the same producer, survey teams will work in specific geographic areas, with no overlap between teams. Teams will only interview producers in their assigned area, and if a referral is for a producer outside of their area, they will relay the information to the relevant team. A member of this relevant team will be brought by the referring producer to the referred producer. This process minimizes other problems that could arise if producers are approached for interviews more than once by different enumerators.

3.2.4 Pilot Test—Producers

The pilot buyer interviews will include the request for producer referrals. For each sector, the initial seeds for the producers should come from two different buyer categories. Beginning with two producers in each sector, the RDS methodology will be pilot tested by completing three waves of referrals. The referral process should be conducted in as similar a way as possible to what is planned for the final survey, including the mechanism for providing incentive payments to respondents.

Table 4: Number of Waves and Referrals for Each Sector (pilot test)

Number of Wave	Total Respondents in Wave	Referrals Used per Respondent	Cumulative Number of Respondents
1	2	2	2
2	4	2	6
3	8	-	14

As indicated in Table 4, the total number of producer interviews for the pilot test will be 28 interviews, or 14 interviews in each of the two sectors.

The pilot test results will be analyzed to provide information in the following areas:

1. The effectiveness of the referral process for obtaining contact information on intermediaries, artisan-brokers, and producers.
2. Whether producer firm owners in that area respond to the recruitment incentive.
3. Preliminary estimates on how much time each interview and each wave might take.
4. Preliminary information on the distribution of characteristics of the population, and how those characteristics might affect recruitment (inbreeding, or the tendency for group members to select other members of a group). This may or may not lead to a useful estimate on how many waves we need to reach an equilibrium, though the data will probably not be extensive enough.
5. The appropriateness of questions and the value of answers for both producer and buyer firm questionnaires.

4. INTERVIEWING RESPONDENTS

4.1 Preparing for the Interview

Dress— When interviewing, it is important to look professional at all times. Your dress should be appropriate and comfortable. Do not necessarily wear your best clothes, or clothes that would make you stand out (such as a business suit). Do not wear expensive jewelry that may make you appear to be much richer than the people that you are interviewing. Such considerations are important, and have been found to influence how comfortable people feel about being interviewed.

Supplies required—Before leaving for the field, check to make sure you have adequate supplies for the day's work. These supplies include:

1. A sufficient supply of questionnaires (bring extras)
2. This Field Survey Interviewer's Manual
3. Identification documents
4. Referrals from previous waves where appropriate
5. Information sheets on the survey study
6. A clipboard
7. Blue ballpoint pens
8. A briefcase or bag to carry the questionnaires
9. Any personal items you will need to be comfortable

Finding a Good Interview Location—Try to conduct the interview in a location that is private and where there are not many distractions. This could be a room in the house or business location, or outside at some other location. It is important that the respondent is not listening carefully during the interview, and if you cannot find a suitable location to conduct the interview, try to set up a time in the future.

4.2 Conducting the Interview

4.2.1 At the beginning of the interview

Remember to build rapport with respondents. At the beginning of an interview, you and the respondent are strangers to each other. The respondent's first impression of you will influence his/her willingness to cooperate with the survey. Be sure that your manner is always friendly.

1. Make a good first impression—When first approaching the respondent, do your best to make him or her feel at ease. Open the interview with a smile and greeting such as "Good Afternoon" and then proceed with introducing yourself and the purpose of your visit.
2. Always have a positive approach—Never adopt an apologetic manner, and do not use words such as "Are you too busy?", "Would you spare a few minutes?" or "Would you mind answering some questions?" Such questions invite refusal before you start.

3. Stress confidentiality of responses when necessary—If the respondent is hesitant about responding to the interview or asks what the data will be used for, explain that the information you collect will remain confidential, no individual names will be used for any purpose, and that all information will be grouped together to write a report. Never mention other interviews or show completed questionnaires to other interviewers or supervisors in front of a respondent or any other person. Request honesty and openness.
4. Give the respondent the opportunity to ask questions before continuing with the interview—Before agreeing to be interviewed, the respondent may ask you some questions about the survey or how she was selected to be interviewed. Be direct and pleasant when you answer. Answer any questions from the respondent frankly.
5. Explain that the purpose of the survey and research—is to better understand the opportunities and constraints for growth in the sub-sector, and that the questions will be related to their business and the environment in which it operates. Indicate that a copy of the final report can be sent to them.
6. Indicate that the interview should take no more than an hour—ask if the respondent has available that much time. If not indicate your willingness to return at another time if it is inconvenient for her to answer questions then.
7. Before starting the actual interview make sure you have already filled in the following information—
 - Interviewer name;
 - Date, time start interview;
 - Location of interview; and
 - How respondent was selected
8. Be neutral throughout the interview—Most people are polite and will tend to give answers that they think you want to hear. It is therefore very important that you remain absolutely neutral as you ask the questions. Never, either by the expression on your face or by the tone of your voice, allow the respondent to think that he has given the "right" or "wrong" answer to the question. Never appear to approve or disapprove of any of the respondent's replies.
9. If the respondent gives an ambiguous answer—try to probe in a neutral way, asking questions such as:
 - "Can you explain a little more?"
 - "I did not quite hear you, could you please tell me again?"
 - "There is no hurry. Take a moment to think about it."
10. Never suggest answers to the respondent—If a respondent's answer is not relevant to a question, do not prompt him by saying something like "I suppose you mean that..... Is that right?" Rather, you should probe in such a manner that the respondent himself comes up with the relevant answer.
11. Do not change the wording or sequence of questions—The wording of the questions and their sequence in the questionnaire were carefully chosen for a reason. If the respondent has misunderstood the question, you should repeat the question slowly and

clearly. If he still does not understand, you may reword the question, being careful not to alter the meaning of the original question. Provide only the minimum information required to obtain an appropriate response.

12. Handle hesitant respondents tactfully—If the respondent is reluctant or unwilling to answer a question, try to overcome his or her reluctance by explaining that the same question is being asked of business owners all over the country and that the answers will all be merged together. If he still refuses, simply write REFUSED next to the question and proceed as if nothing had happened. If you have successfully completed the interview, you may try to obtain the missing information at the end but the respondent should not be forced to give an answer.
13. Do not make assumptions—You should also be careful not to jump to conclusions based on previous information. Do not assume the answer to any question based on your previous experience with ‘the way people behave or think.’
14. Do not skip questions—Do not skip a question even when you think the answer is obvious. Some of the questions are purposefully overlapping in order to check for consistency in answering.
15. Do not hurry the interview—Ask the questions slowly to ensure the respondent understands what he is being asked. After you have asked a question, pause and give him time to think. If the respondent feels hurried or is not allowed to formulate his own opinion he may respond with "I don't know" or give an inaccurate answer. If you feel the respondent is answering without thinking, just to speed up the interview, say to the respondent, "There is no hurry. Your opinion is very important so consider your answers carefully."
16. Do not show the questionnaire to anyone, including the respondent—You must not show the questionnaire to anyone, unless otherwise told to by your supervisor or field-editor. For example, sometimes a respondent may want to complete the questionnaire himself, or to read a question himself. It is important that you do not show the document to him. If respondent does request this, be polite but firm about your refusal.
17. If you are ever unsure, write out all of the respondent's reply on the questionnaire—Anything out of the ordinary can also be noted on the front page in the comments box or in the margins directly on the survey.
18. Use "Show Cards"—Use a show card with the numbered 1 to 7 scale for relevant questions so as to give the respondent something visual and concrete to help him/her answer. Be clear in indicating out loud and by pointing to which ends of the scale correspond to which statements. If the respondent points to a number, repeat the answer verbally in order to confirm what he/she meant. Also use a show card for sensitive information such as education and income (currently the income questions are not broken up into chunks). In this case, do not repeat the answer verbally, but rather point to confirm the respondent's answer.
19. Write legibly—It is important that those who will be entering the data from your survey can decipher what you have marked. Checks should be clearly within one box and not another. If you are circling an item, be sure not to circle other items nearby.

4.2.2 At conclusion of the interview

1. Say that the interview is now over and thank the respondent for their participation.
2. Explain that an integral part of our research will be on the producers that their firm does business with, and that we hope to understand better how they fit into the whole picture and hopefully think of ways that will strengthen the entire sub-sector.

4.2.3 Asking for Referrals

Each respondent will be asked for a predetermined number of referrals. These referrals will be used to contact the next wave of respondents.

1. Ask if they would be willing to provide names producers that we can contact who they have worked with.
2. Ask that they provide producers that are relatively diverse in terms of 1) Ethnicity, 2) Geography, 3) Size (production/capacity), 4) Gender, and 5) Religion. Explain that this will lead to better results and a better diagnosis of what is going on in the sub-sector.
3. Record the contact information for each producer.
4. Double check the survey at the end of the interview before you leave to make sure that you've properly followed skip patterns. It is the responsibility of the interviewer to review each questionnaire when the interview is finished. This review should be done before you leave the household, so that you can be sure that every appropriate question was asked, that all answers are clear and reasonable, and that your handwriting is legible. Also check that you have followed the skip instructions correctly. You can make minor corrections yourself, but if you made a big mistake, you should simply explain to the respondent that you have made an error, and ask the question again.
5. Do not re-copy questionnaires. As long as the answers are clear and readable, it is not necessary that the questionnaire itself be neat. Every time you transcribe the answers to a new questionnaire, you increase the chance of an error. Record ALL information on the questionnaires you have been provided.

5. RECORDING RESPONSES TO SPECIFIC QUESTIONS

5.1 Survey Questionnaire for Buyer Firms

General

- The shaded cells are instructions for the interviewer. There are two types of instructions:
 1. Where it says “Read”: Those that are in bold should be read out loud to the respondent.
 2. Other notes in regular font should not be read out loud but are guides for the interviewer.
- In the cases where the respondent does not know the answer or refuses to respond, code the question with a “9” or “99”.
- Fill in as much information about the respondent as possible before the interview. Complete the rest of the general information during the interview.
- For all questions in which brackets (i.e., “[]”) are used, read ONLY the one word or phrase that is relevant for the question. That is, the enumerator should say only one of the choices within the brackets. Brackets are used for the following categories:

[producer/intermediary]

Front Section

#4.3 Area

- Guatemala City, metropolitan area includes surrounding contiguous communities such as Mixco, Fraijines, Ciudad Viejo
- Other urban includes all Department and Municipio cities such as Solola, Panajachel, Chimaltenango, Tecpan, Antigua, San Lucas Sac.
- Rural includes all communities at the aldea level and below

#4.4 Type of buyer: Use same categories as used in buyer lists from which sample was drawn

Section A: Background Information

A.6 Record answer in full-year equivalents

A.5 If the respondent firm is owned by another firm, then follow these special instructions for section C:

- Answer questions C.1-C.4 from the perspective of the respondent firm for question C.5
- count the owning firm as one buyer and find out whether the respondent firm sold products to any additional buyers.

For example, if the respondent firm shipped products to the owning firm and sold some products to a local handicrafts retailer, then the answer to C.5 would be “2”. Note that shipping products to their final location is not the same as selling to that final location. If the owning firm does the selling and collects the money, then a shipment is considered sold by the owning firm.

Section B: Business and Market Conditions

B.3-B.5 The most important raw materials are the following:

- for textile handicrafts, the most important raw materials are threads, dyes, and notions (zippers, buckles, buttons, trim, etc.; in Spanish “acesorios para confeccionar”)
- for horticulture production, the most important raw materials are seeds, seedlings (*pilones*), and agrochemicals (fertilizers, herbicides, insecticides, and fungicides)

B.8-B.9 Use the same set of alternatives for both questions. Questions should be open-ended. Enumerator should record respondent’s verbatim response in the line provided, then match the response to the appropriate category.

Section C: Information About Buyers

C.1 Try to correctly classify the firm in categories 1-4, avoiding response choice “5-other” if possible.

C.8 “Top buyer” is the one who bought the greatest value of products, compared to all other buyers.

C.9 It is not assumed or implied that this was the “top buyer” in any previous years.

Section D: Information About Suppliers

D.1 Buying from a producer group should be recorded as “1-directly from producers”. Add definition and discussion on producer groups from the check list for the pilot test.

D.5 Record only the most important influence.

D.9-D.15 Ask these questions even if the respondent only deals with one type of supplier.

Section E: Contracts With Suppliers

E.5-E.7 Ask these questions even if the respondent has only used one type of contract.

Section F: Assistance to Producers and Producer Upgrading

F.1 It is critical that respondents understand that the assistance may be either provided directly or provided indirectly. Add full explanation of indirect assistance in enumerators’ manual and instruct enumerators to explain this carefully to respondents.

End Section

Be sure to ask the respondent if he/she would like a summary of the results of the survey. The easiest and preferred way to send this is through email.

Enumerator Observations

This section must be completed immediately after the interview and before conducting the next interview.

5.2 Survey Questionnaire for Producer Enterprises (MSEs)

Caution

1. Many of the respondents will be illiterate. Therefore, we need to use caution in designing any visual aids or cards.
2. Some of the respondents will not speak Spanish. These should not be excluded from the study. Provisions must be made for respondents who speak only Kakchiquel or other indigenous languages.

Section A: Background Information

A.1 Explain fully at the beginning of the interview what is meant by “textile handicrafts” or “horticulture products.” For horticulture, all of the crops should be named, and the enumerator should speak slowly.

A.4 The number recorded should be at least “1”, which represents the respondent. “Household members” is defined in the field manual.

A.5 Horticulture is highly seasonal, with the most paid labor occurring during the 6-8 weeks when the harvests are occurring. During this time, several day laborers (*jornaleros*) may be employed. This question provides information on peak employment rather than average employment. Do NOT count other members of a producer group who may sell products with the respondent but receive separate revenues. During the pilot test, probe to see if respondents are including members of their producer group. It might be necessary to say something during the introduction preceding question A.4. Also, be sure this question is expressed and answered with the singular form of the subject pronoun (usted, yo NOT ustedes, nosotros).

A.6 The language screening instructions have been placed above question A.6. Read these carefully. Consult your supervisor if you need clarification.

Section B: Marketing Practices

B.1 These answers should be in terms of the first person to whom the respondent sold, not the eventual destination of the product.

B.3 This is the value of sales revenue, or total of the payments received for all sales. Do not ask respondent to subtract out expenses. This is a critical concept for the functioning of this question. It must be communicated to respondents clearly and enumerators must also understand it completely.

Section C: Information About Buyers

C.10-C.12 These can be written or unwritten agreements

Section D: Business Services

D.3 This is the only question in this section that will be asked to those respondents who only sell to final consumers. In this case, the wording of the question should be slightly modified: "In the past 12 months, have you received any of the following types of assistance from any source?"

Section E: Relationships Between Producers

E.1 This is a very important screening question that determines whether the rest of the questions in Section E will be asked.

Section F: Upgrading Practices

F.1-F.10: Make special note of the skipping instructions.

Section G: Demographic and Household Information

G.6: Enter the year and level of education completed (aprobado). For example, an entry of "3", then "1" would indicate "third year of primary school". An entry of "1", then "2" would indicate "first year of secondary school".

End Section

Consult Section 3.2.3 of the Field Manual for Instructions on the compensation and referral process.

Enumerator Observations

Provide detailed notes describing which questions and/or sections were:

- difficult for the respondent to understand and/or answer
- caused suspicion or resistance from the respondent
- problematic in any way.