ANNEX 1

Form AC/M/J/03

THE KINGDOM OF SWAZILAND VAC DEPENDENCY SURVEY MAY / JUNE 2003
QUESTIONNAIRE

SECTION 1: IDENTIFICATION

1. Region ————————————

2. Name of Area ————————————

3. Name of Chief / ————————————
   Indvuna

4. Enumeration Area No. [　　]

5. Homestead No. [　　]
6. Household No [　　]

7. Inkhundla No. [　　]

8. Food Economy Zone [　　]

.

9. Name of HH Head ————————————

10. Status of Head [　　]
    1 = married   2 = widowed   3 = divorced   4 = single

    5 = separated   6 = orphan younger than 19

11. Legal Status [　　]

    1 = SNL   2 = TDL Owner
    3 = TDL Leaser   4 = TDL settler (Squatter)

12. Name of Respondent ————————————

13. Name of Enumerator ————————————

14. Date of Enumeration ————————————
15. Supervisor's Name ————————————

16. Date of Supervision ————————————

Wealth Status Criterion:	**Wealth group**
1.Area cultivated	1. Well- off
2. Cattle Owned	2. Middle [　　]
3. Formal/seasonal employement	3. Poor
	4. Poorest of the poor

SECTION 2: DEMOGRAPHIC CHARACTERISTICS

| Member No | Name of member of household | Age in completed years | Gender 1. Male 2. Female | Relationship To Head

1. Thead
2. Dhead
3.Spouse
4.Son/ Daughter
5.Brother/Sister
6.Nephew/ Niece
7. Grandchild
8. Parent
9. Other Relative
10. Not Related
99. Not Stated | Status of HH member Marital Status

For persons 12 yrs and over

1. Widow
2. Divorce
3.Seperated
4.Mbr
5.Mcr
6.Msc
7.Cmr
8.Nmc
9Nmw
10.Ns | Educational Level

For persons 5 yrs and over

1. Illiterate
2. Literate with informal schooling
3. Primary
4. Secondary
5. University
6. Post schooling training | Does this member live permanently (all time) in this household

1. Yes
2. No | During the last 12 months, (since 30 June 2002) , was (name of member) (a) continuously ill for more than 3 months? (or (b) kept getting ill over and over
1. Yes
2. No | For Children Less Than 15 Years Who have lost one or both parents? | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | Is natural Mother dead?

1. Yes
2. No

If no, skip to col.12 | Did the mother die during the last 12 months? **(since 30 June 2002)**

1. Yes
2. No | Is natural Father dead?

1. Yes
2. No

If no, skip to section 3 | Did the fathe… die during th… last 12 month… **(since 30 Ju… 2002)**

1. Yes
2. No |
1	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	**11**	**12**	**13**
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Column 5. Relationship To Head: 1.Thead – True Head.   **2.Dhead** – De-facto Head.
Column 6. Marital Status: 4.Mbr – Married by both civil rites and Swazi law and Custom. **5.Mcr** – Married by civil rites. **6. Msc** – married by Swazi law & custom
7. Cmr – Consensually married **8. Nmc** – Never married with children. **9. Nmw** – Never married without children. 10. **Ns** – Not stated**.**

SECTION 3: DEATH

Serial No.	Death			
	During the last 12 months,(since 30 June 2002) , Has any member of HH Died? 1. Yes 2. No **If no, skip to Section 4**	**Gender** 1. Male 2. Female	**Age** (In Completed Years)	Before s/he died was s/he ill for more than 3 months continuously **OR** Did s/he suffer repeated bouts of illness before dying? 1. Yes 2. No
1	**2**	**3**	**4**	**5**
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20				

SECTION 4: FOOD AND INCOME SOURCES:

Food Sources		Income Sources	

Food Sources

Please rank the normal sources of food during a normal year? (in a good year)

1 = most important
2 = second most important
3 = third most important
4 = forth most important
   and so on…

During the last year, has your household relied on different sources of food than mentioned previously

1.Yes
2.No

If yes, Rank the main sources

If still producing cereal food or cash crop, has the following occurred?

Area under cultivation	Yields	Inputs (seeds)
1=Increased 2=decreased 3=no change	1=Increased 2=decreased 3=no change	1=Increased 2=decreased 3=no change

Income Sources

Please rank the normal sources of income during a normal year? (in a good year)

1 = most important
2 = second most important
3 = third most important
4 = forth most important
   and so on…

During the last year, has your household relied on different sources of income than mentioned previously

1.Yes
2.No

If yes, Rank the main sources

Serial no.	1. Own Food production	2. Purchase	3. Barter	4. Food for work (i.e piece work food)	5. Wild Foods	6.. Food Aid	7.Gifts	8. Other (specify)	1. Own Food Production	2. Purchase	3. Barter	4. Food for work (i.e piece work food)	5. Wild Foods	6. Food Aid	7. Gifts	8. Other (specify)	Area under cultivation (Cereal crops / Cash crops / Tubers)	Yields (Cereal crops / Cash crops / Tubers)	Inputs (Cereal crops / Cash crops / Tubers)	1. Formal Employment	2. Farm casual employment (agric. labour)	3. Non – farm casual empl(unskilled labouring)	4. Remittances	5. Sale of own produce (food & non – food)	6. Petty trade	7. Sale of natural resources	8. Sale of Livestock	9. Sale of assets	10. Borrowing money	1. Formal Employment	2. Farm casual empl. (Agricultural labour)	3. Non – farm casual empl (unskilled labouring)	4. Remittances	5. Sale of own produce (food & non – food)	6. Petty trade	7. Sale of natural resources	8. Sale of Livestock	9. Sale of assets
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17				18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36
1																																						
2																																						
3																																						

ANNEX 2

FRAMEWORK FOR THE CREATION OF PROXY VARIABLES

Introduction
One of the main aims of this report is to investigate the link between HIV/AIDS, demography and livelihoods in rural areas. Since no direct HIV/AIDS questions were asked in the survey, we have to establish any such links in an indirect way. Variables are selected from the data set that mimic suspected HIV/AIDS patterns and trends in terms of illness patterns, mortality by broad age group and the presence of orphans. These variables are used to indicate which households potentially have HIV infected members and/or are affected by HIV/AIDS. Since they are not unambiguous indicators of HIV/AIDS these variables act as a proxy or substitute for definitive HIV/AIDS indicators e.g. blood tests to ascertain whether somebody is infected.

The format of this Swaziland VAC survey provided more detail on the household population in terms of age, sex and relationships etc. This makes it possible to construct more detailed indicators than was possible in the other regional VAC reports.   Besides having the information available to construct specific indicators, the size of the Swaziland sample makes it possible to conduct such analysis at national level, and this opportunity should be used. However, more detailed indicators make data analysis more time consuming and complicated.

<u>Rationale</u>
The rationale for developing this framework includes:
a)   To ensure that the construction of each variable is unambiguous
b)   To ensure that all team members work with exactly the same variables
c)   To provide documentation in a systematic fashion to the data analysis team. At the same   time this becomes a source document for the report writing team.
d)   To provide a list of possible indicators which may be useful in the analysis of the data in our   search for links between HIV/AIDS and livelihoods. Use this list to check whether some   potentially useful indicators were left out

<u>Task for the data analysis team:</u>
Create a variable on the data set for each of the listed items. These variables will be used in later analysis. It should be made clear from the start that although there is a logic that would imply households infected/affected by HIV/AIDS will be worse off in a number of ways compared to households not infected/affected, it is not that easy to prove this association using empirical data. We will have to look for this evidence using the data at hand.

<u>Task for the data analysis team:</u>
a)   The majority of these variables were constructed during the week of the 28th of July to the   1st of August. What remains is to systematize their order and naming in order to assist in   the planned tabulation activities.
b)   Some of the more detailed variables (e.g. number of deaths by sex etc.) may be discarded   or collapsed if they contain too few cases.
c)   The number of composite indicators can be increased (please consider other options). The   function of the composite indicators include:
       i) Indicate higher likelihood's of HIV/AIDS effect or infection
       ii) For use as filters in the analysis
       iii) Attempt to provide a temporal dimension for the epidemic curve at household level

A: LIST OF PROXY VARIABLES

VARIABLE NAME	"LABEL"	DESCRIPTION	METHOD OF CONSTRUCTION

Chronically ill children

VARIABLE NAME	"LABEL"	DESCRIPTION	METHOD OF CONSTRUCTION
Proxy01	Chronically ill child	There is a chronically ill child(ren) aged 0-4 present in this household	Create the variable in the following way: If there is one or more chronically ill children aged 0-4 residing in the household then value =1 (Yes) If not, value =2 (No)
Proxy02	One chronically ill child	There is 1 (one) chronically ill child aged 0-4 present in this household	Create the variable in the following way: If there is one chronically ill child aged 0-4 residing in the household, value =1 If not, value =2
Proxy03	Two or more chronically ill children	There is 2 (two) or more chronically ill children aged 0-4 present in this household	Create the variable in the following way: If there is 2+ chronically ill children aged 0-4 residing in the household then value =1 If not, value =2

Chronically ill adults

VARIABLE NAME	"LABEL"	DESCRIPTION	METHOD OF CONSTRUCTION
Proxy04	Chronically ill adult	There is a chronically ill adult(s) aged 15-49 present in this household	Create the variable in the following way: If there is one or more chronically ill adult(s)aged 15-49 residing in the household then value =1 If not, value = 2
Proxy05	Chronically ill male adult	There is a chronically ill male adult(s) aged 15-49 present in this household	Create the variable in the following way: If there is one or more chronically ill male adult(s)aged 15-49 residing in the household then value=1 If not, value=2
Proxy06	Chronically ill female adult	There is a chronically ill female adult(s) aged 15-49 present in this household	Create the variable in the following way: If there is one or more chronically ill female adult(s)aged 15-49 residing in the household then value =1 If not, value =2

Proxy07	One chronically ill adult	There is 1 (one) chronically ill adult aged 15-49 present in this household	Create the variable in the following way: If there is one chronically ill adult aged 15-49 residing in the household then value=1 If not, value =2
Proxy08	One chronically ill male adult	There is 1 (one) chronically ill male adult aged 15-49 present in this household	Create the variable in the following way: If there is one chronically ill male adult aged 15-49 in the household then value=1 If not, value =2
Proxy09	One chronically ill female adult	There is 1 (one) chronically ill female adult aged 15-49 present in this household	Create the variable in the following way: If there is one chronically ill male adult aged 15-49 residing in the household then value=1 If not, value =2
Proxy10	Two or more chronically ill adults	There is 2 (two) or more chronically ill adults aged 15-49 present in this household	Create the variable in the following way: If there is 2+ chronically ill adults aged 15-49 residing in the household then value=1 If not, value =2
Proxy11	Two or more chronically ill male adults	There is 2 (two) or more chronically ill male adults aged 15-	Create the variable in the following way:

		49 present in this household	If there is 2+ chronically ill male adults aged 15-49 living in the household then value=1 If not, value =2
Proxy12	Two or more chronically ill female adults	There is 2 (two) or more chronically ill female adults aged 15-49 present in this household	Create the variable in the following way: If there is 2+ chronically ill female adults aged 15-49 residing in the household then value=1 If not, value =2

Chronically ill household head

Proxy13	Household head chronically ill	The household head (aged 15-49) is listed as being chronically ill	Create the variable in the following way: If the head of the household is between 15-49 <u>and</u> is chronically ill then value=1. If not, value =2
Proxy14	Male household head chronically ill	The household head (aged 15-49) is a male and is listed as being chronically ill	Create the variable in the following way: If the head of the household is between 15-49 <u>and</u> is male <u>and</u> is chronically ill then value=1 If not, value =2
Proxy15	Female household head chronically ill	The household head (aged 15-49) is a female and is listed as being chronically ill	Create the variable in the following way: If the head of the household is between 15-49 <u>and</u> is female <u>and</u> is chronically ill then value=1 If not, value =2

Children that died in the past year after being chronically ill

Proxy16	Child died after being chronically ill	A chronically ill child(ren) aged 0-4 died in the past year in this household	Create the variable in the following way: If one or more chronically ill children aged 0-4 died in the household during the past year then value=1 If not, value =2
Proxy17	One child died after being chronically ill	One child aged 0-4 died in this household after being chronically ill during the past year	Create the variable in the following way: If one chronically ill child aged 0-4 died in the household during the past year then value=1 If not, value =2
Proxy18	Two or more children died after being chronically ill	Two or more children aged 0-4 died in this household after being chronically ill during the past year	Create the variable in the following way: If 2+ chronically ill children aged 0-4 died in the household during the past year then value=1 If not, value =2

Adults that died in the past year after being chronically ill

Proxy19	Adult died after being chronically ill	A chronically ill adult (s) aged 15-49 died in the past year in this household	Create the variable in the following way: If one or more adults aged 15-49 died in the household during the past year after being chronically ill then value=1 If not, value =2
Proxy20	Male adult died after being chronically ill	A chronically ill male adult (s) aged 15-49 died in the past year in this household	Create the variable in the following way: If one or more male adults aged 15-49 died in the household during the past year after being chronically ill then value=1 If not, value =2
Proxy21	Female adult died after being chronically ill	A chronically ill female adult (s) aged 15-49 died in the past year in this household	Create the variable in the following way: If one or more female adults aged 15-49 died in the household during the past year after being chronically ill then value=1 If not, value =2

Proxy22	One adult died after being chronically ill	One adult aged 15-49 died in this household after being chronically ill during the past year	Create the variable in the following way: If one adult aged 15-49 died in the household during the past year after being chronically ill then value=1 If not, value =2
Proxy23	One male adult died after being chronically ill	One male adult aged 15-49 died in this household after being chronically ill during the past year	Create the variable in the following way: If one male adult aged 15-49 died in the household during the past year after being chronically ill then value=1 If not, value =2
Proxy24	One female adult died after being chronically ill	One female adult aged 15-49 died in this household after being chronically ill during the past year	Create the variable in the following way: If one female adult aged 15-49 died in the household during the past year after being chronically ill then value=1 If not, value =2
Proxy25	Two or more adults died after being chronically ill	Two or more adults aged 15-49 died in this household after being chronically ill during the past year	Create the variable in the following way: If two or more adults aged 15-49 died in the household during the past year after being chronically ill then value=1 If not, value =2
Proxy26	Two or more male adults died after being chronically ill	Two or more male adults aged 15-49 died in this household after being chronically ill during the past year	Create the variable in the following way: If two or more male adults aged 15-49 died in the household during the past year after being chronically ill then value=1 If not, value =2
Proxy27	Two or more female adults died after being chronically ill	Two or more female adults aged 15-49 died in this household after being chronically ill during the past year	Create the variable in the following way: If two or more female adults aged 15-49 died in the household during the past year after being chronically ill then value=1 If not, value =2

Household head that died in the past year after being chronically ill

Proxy28	Adult household head died after being chronically ill	The household head (aged 15-49) died during the past year after being chronically ill	Create the variable in the following way: If the head of the household is between 15-49 <u>and</u> died after being chronically ill then value=1. If not, value =2
Proxy29	Male adult household head died after being chronically ill	The male household head (aged 15-49) died during the past year after being chronically ill	Create the variable in the following way: If the head of the household is between 15-49 <u>and</u> a male <u>and</u> died after being chronically ill then value=1. If not, value =2
Proxy30	Female adult household head died after being chronically ill	The female household head (aged 15-49) died during the past year after being chronically ill	Create the variable in the following way: If the head of the household is between 15-49 <u>and</u> a female <u>and</u> died after being chronically ill then value=1. If not, value =2

Orphans

Proxy31	Child(ren) who lost both parents	Household where a child or children aged 0-14 is living and who lost both the father <u>and</u> the mother to death (i.e. double orphan)	Create the variable in the following way: If there is one or more children aged 0-14 who lost both parents to death in the household then value=1. If not, value =2
Proxy32	Child(ren) who lost at least one parent	Household where a child or children aged 0-14 is living and who lost the father or the mother or both to death	Create the variable in the following way: if there is one or more children aged 0-14 in the household who lost either the mother, the father or both to death then value=1. If not, value =2
Proxy33	Child(ren) whose father died	Household where a child or children aged 0-14 is living and who lost the father to death (i.e. paternal orphan)	Create the variable in the following way: If there is one or more children aged 0-14 in the household

			who lost the father to death then value=1. If not, value =2
Proxy34	Child(ren) whose mother died	Household where a child or children aged 0-14 is living and who lost the mother to death (i.e. maternal orphan)	Create the variable in the following way: If there is one or more children aged 0-14 in the household who lost the mother to death then value=1. If not, value =2
Proxy35	One child is a double orphan	Household where there is one child aged 0-14 listed that lost both parents	Create the variable in the following way: If there is one child aged 0-14 in the household who lost both parents to death then value=1. If not, value =2
Proxy36	One child is an orphan (any configuration)	Household where there is one child aged 0-14 listed that lost at least one of its parents to death	Create the variable in the following way: If there is one child aged 0-14 in the household who lost one parent to death then value=1. If not, value =2
Proxy37	One child is a maternal orphan	Household where there is one child listed that lost the mother to death	Create the variable in the following way: If there is one child aged 0-14 in the household who lost his/her mother to death then value=1. If not, value =2
Proxy38	2-3 children are double orphans	Household where there is 2-3 children aged 0-14 listed that lost both parents to death	Create the variable in the following way: If there is 2-3 children aged 0-14 in the household who lost both parents to death then value=1. If not, value =2
Proxy39	2-3 children are orphans (any configuration|)	Household where there is 2-3 children aged 0-14 listed who lost at least one parent to death	Create the variable in the following way: If there is 2-3 children aged 0-14 in the household who lost at least one parent to death then value=1. If not, value =2
Proxy40	2-3 children are maternal orphans	Household where there is 2-3 children listed that lost the mother to death	Create the variable in the following way: If there is 2-3 children aged 0-14 in the household who lost their mother to death then value=1. If not, value =2
Proxy41	4+ children are double orphans	Household where there is 4+ children aged 0-14 listed that lost both parents to death	Create the variable in the following way: If there is 4+ children aged 0-14 in the household who lost both parents to death then value=1. If not, value =2
Proxy42	4+ children are orphans (any configuration|)	Household where there is 4+ children aged 0-14 listed who lost at least one parent to death	Create the variable in the following way: If there is 4+ children aged 0-14 in the household who lost at least one parent to death then value=1. If not, value =2
Proxy43	4+ children are maternal orphans	Household where there is 4+ children listed that lost the mother to death	Create the variable in the following way: If there is 4+ children aged 0-14 in the household who lost the mother to death then value=1. If not, value =2

Presence of adults

Proxy44	Household with no adult	Household without any adult aged 15-65	Create the variable in the following way: If there is no (0) adults aged 15-65 listed in the household schedule then value=1. If not, value =2
Proxy45	"Grand parent" households	Households consisting of children and older persons but without anyone in the economic active ages (15-65) Note: This proxy differs from Proxy44 as it doesn't include households with only elderly persons	Create the variable in the following way: If there is no (0) adults aged 15-65 listed in the household schedule and there is children aged 0-14 and persons 65+ in the household then value=1. If not, value =2
Proxy46	Household with 1 adult	Household with 1 adult aged 15-65	Create the variable in the following way: If there is only 1 adult aged 15-65 listed in the household schedule then value=1. If not, value =2
Proxy47	Household with 2 adults	Household with 2 adults aged 15-65	Create the variable in the following way: If 2 adults aged 15-65 are listed in the household schedule then value=1. If not, value =2
Proxy48	Household with 3+ adults	Household with 3+ adults aged 15-65	Create the variable in the following way: If 3+ adults aged 15-65 are listed in the household schedule then value=1. If not, value =2
Proxy44A	Household with no adult	Household without any adult aged 20-65	Create the variable in the following way:

		Note: This is a slightly different formulation of Proxy44. Proxy44 assumes that persons aged 15-19 are adult and able to look after a household. See also Proxy 45A – Proxy48A	If there is no (0) adults aged 20-65 listed in the household schedule then value=1. If not, value =2
Proxy45A	"Grand parent" households	Households consisting of children and older persons but without anyone in the age group 20-65	Create the variable in the following way: If there is no (0) adults aged 20-65 listed in the household schedule and there is children aged 0-19 (NB) and persons 65+ in the household then value=1. If not, value =2
Proxy46A	Household with 1 adult	Household with 1 adult aged 20-65	Create the variable in the following way: If there is only 1 adult aged 20-65 listed in the household schedule then value=1. If not, value =2
Proxy47A	Household with 2 adults	Household with 2 adults aged 20-65	Create the variable in the following way: If 2 adults aged 20-65 are listed in the household schedule then value=1. If not, value =2
Proxy48A	Household with 3+ adults	Household with 3+ adults aged 20-65	Create the variable in the following way: If 3+ adults aged 20-65 are listed in the household schedule then value=1. If not, value =2

Dependency ratios

Proxy49	"Crude" dependency ratio	The "crude" dependency ratio within a household	Create the variable in the following way: The "crude" dependency ratio is obtained by dividing the dependents in a household with those in the economic active years Numerator: (0-14) + (65+) Denominator: (15-65) Ranges: 0-1= Low 1.0001-2.5 =Medium 2.5001+ =High If denominator =0 (no one 15-65) = Very high
Proxy50	"Effective" dependency ratio	The "effective" dependency ratio within a household	Create the variable in the following way: The "effective" dependency ratio is obtained by dividing the dependents in a household with the healthy individuals in the economic active years Numerator: (0-14) + (65+) + (chronically ill aged 15-65) Denominator: (15-65) – (chronically ill aged 15-65) Ranges: 0-1= Low 1.0001-2.5 =Medium 2.5001+ =High If denominator =0 (no one 15-65) = Very high

Composite indicators

Proxy51	Adult died after being chronically ill and chronically ill adult present	A chronically ill adult (s) aged 15-49 died in the past year in this household and there is a chronically ill adult(s) aged 15-49 present in this household (Proxy19 and Proxy04)	Create the variable in the following way: If a chronically ill adult (s) aged 15-49 died in the past year in this household and there is a chronically ill adult(s) aged 15-49 present in this household then value =1 If not, value =2
Proxy52	A chronically ill adult member died and a chronically ill child died	An adult died in the past year after being chronically ill and a chronically ill child(ren) aged 0-4 died in the past year in this household (Proxy19 and Proxy16)	Create the variable in the following way: If adult(s) aged 15-49 died after being chronically ill the past year and child aged 0-4 died in the past year after being a

			chronically ill in this household then value =1 If not, value =2
Proxy53	A chronically ill adult member is present and a chronically ill child died	There is chronically ill adult member(s) present and in this household and a child 0-4 died after being chronically ill in the past year (Proxy04 and Proxy16)	Create the variable in the following way: If there is a chronically ill adult(s) aged 15-49 present in this household and a child aged 0-4 died the past year after being chronically ill in this household then value =1 If not, value =2
Proxy54	A chronically ill adult member is present and there is a chronically ill child	There is chronically ill adult member(s) and chronically ill child(ren) aged 0-4 present in this household (Proxy04 and Proxy01)	Create the variable in the following way: If there is a chronically ill adult(s) aged 15-49 present in this household and a chronically ill child aged 0-4 present in this household then value =1 If not, value =2
Proxy55	Adult household member died or chronically ill adult member present	A chronically ill adult (s) aged 15-49 died in the past year in this household or there is a chronically ill adult(s) aged 15-49 present in this household (Proxy19 or Proxy04)	Create the variable in the following way: If a chronically ill adult (s) aged 15-49 died in the past year in this household or there is a chronically ill adult(s) aged 15-49 present in this household then value =1 If not, value =2
Proxy56	Adult died and chronically ill adult present and chronically ill child present or a child died	A chronically ill adult (s) aged 15-49 died in the past year in this household and there is a chronically ill adult(s) aged 15-49 present in this household and there is a chronically ill child aged 0-4 present or a child aged 0-4 died after being chronically ill during the past year (Proxy19 and Proxy04) and (Proxy16 or Proxy01)	Create the variable in the following way: (If a chronically ill adult (s) aged 15-49 died in the past year in this household and there is a chronically ill adult(s) aged 15-49 present in this household) and (a chronically ill child(ren) aged 0-4 died in the past or there is a chronically ill child(ren) aged 0-4 present in this household) then value =1 If not, value =2
Proxy57	Households with only child members	The household consists only of members 0-19. There are no persons 20 years and older present in the household.	Create the variable in the following way: If there are only persons aged 0-19 present in this household then value = 1 If not, value = 2