

Unilever Smallholder Performance Measurement Survey

(Revised version for piloting)

Unilever’s Sustainable Living Plan describes Unilever’s corporate sustainability ambitions, formulated into more than 50 time-bound targets. One of these targets is to: *“engage with at least 500,000 smallholder farmers in our supply network. We will work with our suppliers to help them improve their agricultural practices and thus enable them to become more competitive. By doing so we will improve the quality of their livelihoods.”*

To better know and report on the impact our sourcing has on smallholder livelihoods, Unilever is developing and testing an approach for measuring conditions in smallholder supply chains. By anchoring the measurement approach in Unilever’s understanding of how participation in a Unilever supply chain can improve livelihoods, Unilever can both report on progress and diagnose issues with the potential to improve the experience of small scale producers.

The following survey was developed to assess smallholder performance along 12 key indicators established in consultation with a team of external expert practitioners.

Basic Learning Questions:

I. Are the farmers experiencing good trading relationships?	Trading relationship indicators: price satisfaction, perceived quality of relationships, future planting plans, importance of this crop to livelihood
II. Do farmers have access to training, inputs and services?	Access to services indicators: Satisfaction with access to services, training and technical assistance, Utilisation of services
III. Are the farmers adopting good agricultural practices and experiencing good productivity?	GAP and productivity indicators: Adoption of good agricultural practices, Productivity, Quality of crop produced
IV. Are the basic needs of farmers and their families met?	Livelihood indicators: Food security, Income, Likelihood of poverty, Children in school, gender equality

Categories of questions for the survey:

1. Farm Description
2. Farm Practices and productivity
3. Access to Services and Utilisation of Services
4. Trading Relationships
5. Livelihood
 - a. Includes Progress out of Poverty Index (PPI), Months of Adequate Household Food Provisioning (MAHFP) and Household Dietary Diversity Score (HDDS)

Survey: Note that the flow of the questions is structured to move from the more comfortable to the more personal questions about household finances.

In this general version, the **India** PPI is however used for purpose of illustration. Since PPI is country specific, if this tool is to be used in another country, it should be replaced with the right PPI when it is available or be removed when it is not available.

Questions specific to PPI for **India** in BLUE (do not change the scoring)

Questions specific to the target crop to be identified and added in ORANGE (based on e.g. feedbacks from local agronomists/experts)

Household Dietary Diversity Score in GREEN (check whether it is really useful to include it for the relevant survey!)

YELLOW questions are specific to understanding gender

PURPLE colour letter indicate where changes were made in this version (versus the previous version)

Questions in LIGHT BLUE are provisional asset questions that should be checked whether they are in duplication of the metrics in the PPI for the relevant country.

Farm Description:

Goals: Record farmer name and demographic information to provide context for analysing survey data

1. Farmer name	Name				
2. Farm Location ¹	Village name (as one would use in post address), District				
3. Gender of the person interviewed	Male (1)		Female (2)		
4. Are you the head of the household?	No (0)		Yes (1)		
5. –If not, what’s the gender of the head of the household	Male (1)		Female (2)		
6. What’s your age?	#				
7. How many members does the household support? (Include all people living in the household ²)	# of men (i.e. males 18 and over)	# of women (i.e. females 18 and over)	# of boys (i.e. males 17 and under)	# of girls (i.e. females 17 and under)	
8. How much land do you currently farm? (Include land you are renting, leasing or borrowing ³)	Unit		#		
9. How much land do you own or hold a title to? (= the total land you are farming minus the land you are renting, leasing or borrowing)	Unit		#		
10. Are you a member of a farmer group ⁴ ?	No (0)		Yes (1)		
11. –If so, which of the following types of groups does your household participate in?	Cooperative (1)	Association (2)		Informal farmer group (3)	
12. Does your farm hold any certifications, or is part of a certified group of farms? ⁵	No (0)		Yes (1)		
13. –if so, what certification is it?	Organic (1)	Utz (2)	FairTrade (3)	Rainforest Alliance (4)	Other (5)

Farm Practices and Productivity

Goals: Record adoption of best practices and productivity of target crop to look for possible correlation and/or room for improvements in yield

¹ Farm location choice should be locally relevant to the supply chain. If it is unclear which village a farmer resides in, refer to a village name as one would use in post address.

² Head of household refers to the person in a household who is running the household

³ There are many forms of land tenure. This question must be adapted to culture.

⁴ “Farmer group” is a term that may need to be adapted to culture.

⁵ Certifications listed in option list will vary according to crop and region.

14. How much land did you grow (<i>crop</i>) on last year?	Unit	#	
15. What quantity of (<i>crop</i>) did you harvest from whole farm last year?	Unit	#	
16. What was the average yield of (<i>crop</i>) from your farm?	Unit	#	
17. How do you feel last year's production of (<i>crop</i>) was in terms of weather? ⁶	Worse than a typical year (1)	Same as a typical year (2)	Better than a typical year (3)

18. What variety did you grow last year? (<i>choose the main one if more than one varieties</i>)	Hybrid variety bred for processing purpose (1)	Traditional variety bred for processing purpose (2)	Hybrid variety bred for fresh market (3)	Traditional variety bred for fresh market (4)	
19. Did you do soil testing for macro and/or micro nutrients for your crop last year?	No (0)		Yes (1)		
20. If so, was the testing report supported with a corrective recommendation nutrient management plan?	No (0)		Yes (1)		
21. What is your irrigation method? (<i>choose the main one if more than one methods</i>)	No irrigation (0)	Drip (1)	Sprinkle (2)	Other methods (3)	
22. Did you suffer serious yield loss due to infections of pests and diseases last year?	No (0)		Yes (1)		
23. Who does most of the work on the crop? ⁷	Mainly men from the family (1)	Mainly women from the family (2)	Mainly boys (3)	Mainly girls (4)	Mainly Hired Labour (5)
24. Who receives the money from sale of product?	Mainly man (1)		(2) Mainly woman		
25. Who makes the decisions about investing in the crop? <i>Spending on fertilizer, seeds, etc.</i>	Man, but consulted his wife before decision was made (1)	Woman, but consulted her husband before decision was made (2)	Man, without consulting his wife before decision was made (3)	Woman, without consulting her husband before decision was made (4)	

Access to Services

Goal: Measure the producer's satisfaction with his/her ability to access the services that typically increase productivity

26. How satisfied are you with the access that you have to planting material? ⁸	Not at all satisfied (1)	Not very satisfied (2)	Neither satisfied nor dissatisfied (3)	Quite satisfied (4)	Very satisfied (5)
27. How satisfied are you with the access that you have to fertilizer?	Not at all satisfied (1)	Not very satisfied (2)	Neither satisfied nor dissatisfied (3)	Quite satisfied (4)	Very satisfied (5)
28. How satisfied are you with the access that you have to pesticides?	Not at all satisfied (1)	Not very satisfied (2)	Neither satisfied nor dissatisfied (3)	Quite satisfied (4)	Very satisfied (5)
29. Are you satisfied with your access to credit that you could use to invest in your farm?	Not at all satisfied (1)	Not very satisfied (2)	Neither satisfied nor dissatisfied (3)	Quite satisfied (4)	Very satisfied (5)

⁶ We are asking about whether to account for factors BEYOND farmers control that influence productivity. Therefore focusing on weather.

⁷ Practices chosen to look at gender roles

⁸ Planting material refers to seeds, young seedlings or any transplanting materials. By access, we mean "are you able to get good quality planting material if you wanted it?" Do you have physical access? Do you think it is affordable?⁹ The term "agronomist" will likely require customization to culture.

30. Are you satisfied with the access that you have to technical assistance to help you grow (<i>crop</i>)?	Not at all satisfied (1)	Not very satisfied (2)	Neither satisfied nor dissatisfied (3)	Quite satisfied (4)	Very satisfied (5)					
31. Are you satisfied with the access that you have to market price information about (<i>crop</i>)?	Not at all satisfied (1)	Not very satisfied (2)	Neither satisfied nor dissatisfied (3)	Quite satisfied (4)	Very satisfied (5)					
32. In the last year, how many times did you receive agronomy training or advice from an extension worker/ agronomist ⁹ ?	Never (1)	1-2 times a year (2)	3-5 times a year(3)	6-11 times a year (4)	>=12 times a year (5)					
33. Who participated in the trainings or advisory meetings?	Mainly man (1)			Mainly woman (2)						
34. Do you gain useful knowledge from your trainings and meetings with agronomists?	Never (1)	Seldom (2)	Sometimes (3)	Most of the time (4)	Always (5)					
Trading Relationships										
Goal: Measure the producer's perception of his/her trading relationship within this supply chain to test the sustainability of these relationships										
35. Were you satisfied with the price you received for your crop last year?	Not at all satisfied (1)	Not very satisfied (2)	No opinion (3)	Quite satisfied (4)	Very satisfied (5)					
36. Were you satisfied with the profit you made from the crop last year?	Not at all satisfied (1)	Not very satisfied (2)	No opinion (3)	Quite satisfied (4)	Very satisfied (5)					
37. Do you expect that your relationship with your primary buyer ¹⁰ will continue for a long time?	Disagree strongly (1)	Disagree (2)	Neither agree or disagree (3)	Agree (4)	Strongly Agree (5)					
38. Would you like to strengthen your relationship with your primary buyer in the future?	Disagree strongly (1)	Disagree (2)	Neither agree or disagree (3)	Agree (4)	Strongly Agree (5)					
39. Do you believe that the future of growing this crop is strong and hopeful?	Disagree strongly (1)	Disagree (2)	Neither agree or disagree (3)	Agree (4)	Strongly Agree (5)					
Livelihood										
Goals: Measure producer's poverty status in order to better understand the risks they face.										
40. How much product did you sell last year?	Unit			#						
41. What price did you receive for your product last year?	Unit			#						
42. How much money did you spend paying others to help you grow and harvest this crop last year?	Unit			#						
43. How much money did you spend on fertilizer, pesticide and planting material to grow this crop last year?	Unit			#						
44. Please estimate the percent of your household income that comes from this crop (<i>versus the total that include other cash crops, dairy, animal husbandry and off-farm incomes</i>):	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%
45. Please estimate the percent of your household income that	10%	20%	30%	40%	50%	60%	70%	80%	90%	100%

⁹ The term "agronomist" will likely require customization to culture.

¹⁰ Specify what we mean by the local buyer so that it can be defined by the interviewer

comes from other activities in the farm (include other cash crops, dairy and animal husbandry, but exclude off-farm incomes):									
46. How important is this crop to your overall livelihood?	Not very important (1)			Somewhat important (2)			Very important (3)		
47. How do you feel about your overall economic situation compared to last year?	Worse (1)			Same (2)			Better (3)		
48. Who makes the decisions about investing in big household items (e.g. TV, furniture, motorcycle, etc.)	Man, but consulted his wife before decision was made (1)		Woman, but consulted her husband before decision was made (2)		Man, without consulting his wife before decision was made (3)		Woman, without consulting her husband before decision was made (4)		
49. In the last two years, what is the most significant change in your life resulting from the trade in this crop? ¹¹	Open text answer (short).								
50. How many school-age children (normally between the ages 6 and 12) does the family has?	#								
51. How many male children attend school more than 8 months per year?	#								
52. How many female children attend school more than 8 months per year?	#								
53. What is the primary source of drinking water for your household	<input type="checkbox"/> Interior plumbing <input type="checkbox"/> Indoor tap/spigot <input type="checkbox"/> Water merchant <input type="checkbox"/> Water truck <input type="checkbox"/> Rainwater <input type="checkbox"/> Neighbor's tap/spigot <input type="checkbox"/> Neighbor's well				<input type="checkbox"/> Private outside tap/spigot <input type="checkbox"/> Public tap <input type="checkbox"/> Well with pump <input type="checkbox"/> Well without pump (artesian well) <input type="checkbox"/> River, lake, spring, pond <input type="checkbox"/> Bottled water <input type="checkbox"/> Other				
54. Do you have access to electricity?	No (0)				Yes (1)				
55. What is the main source of cooking fuel used by your household?	Not cooking (0)	Wood picked (1)	Purchased wood (2)	Charcoal (3)	Gas (4)	Electricity (5)	Oil (6)	Other (7)	
56. What is the general education level of the male head/spouse?	No male head/spouse (0)		Not literate, no formal school, or primary or below (0)		Middle school (3)		Secondary or higher secondary (5)		Diploma/certificate course, graduate, or postgraduate and above (7)
57. What is the household type?	Labour (agricultural, casual, or other) (0)				Self-employed (agriculture or non-agriculture), regular wage/salary-earning, or others (5)				
58. What is the primary source of energy for cooking?	Firewood and chips, dung cake, kerosene, charcoal, coke or coal, gobar gas, or others (0)			LPG or electricity (3)			No cooking arrangement (9)		
59. Does the household possess any casseroles, thermos, or thermoware?	No (0)				Yes (5)				

¹¹ This is the "most significant change" open ended question. Answers would be entered as very short key word summaries.

60. Does the household possess a television and a VCR/VCD/DVD player?	No, neither one (0)				Yes, only one (4)				Yes, both (9)			
61. Does the household possess a mobile handset and a telephone instrument (landline)?	No, neither one (0)				Yes, only mobile (9)				Yes, a landline, regardless of mobile (15)			
62. Does the household possess a sewing machine?	No (0)						Yes (1)					
63. Does the household possess an almirah/dressing table?	No (0)						Yes (5)					
64. Does the household possess a bicycle, motorcycle/scooter, or motor car/jeep?	No, none (0)			Yes, bicycle only, no motorcycle/scooter, or car (1)			Motorcycle/scooter, but no car (regardless of bicycle) (13)			Motor car/jeep (regardless of others) (18)		
65. Months of Adequate Household Food Provisioning. -Were there months in the past 12 months, in which you did not have enough food to meet your family's needs?	No (0)						Yes (1)					
66. -If so, which were the months in the past 12 months when you did not have enough food to meet your family's needs? (<i>Do not read the list of months aloud</i>)	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
67. Please describe the foods (meals and snacks) that you ate or drank yesterday during the day and night, whether at home or outside the home. ¹² Start with the first food or drink of the morning. <i>Write down all foods and drinks mentioned.</i> <i>When composite dishes are mentioned, ask for the list of ingredients.</i> <i>Do not include any food used in a small amount for seasoning or condiments (like chillies, spices, herbs, or fish powder)</i> <i>When the respondent has finished, probe for meals and snacks not mentioned.</i>												
Breakfast:												
Morning snack:												
Lunch:												
Afternoon snack:												
Dinner:												
Evening snack:												

¹² The dietary record will be used to calculate an Individual Dietary Diversity Score (IDDS) which aims to reflect nutrient adequacy.

<p>When the respondent recall is complete, fill in the food groups based on the information recorded above.¹³ For any food groups not mentioned, ask the respondent if a food item from this group was consumed.</p>		<p>Place a 1 in the box if an item in the group was consumed, place a 0 if not.</p>				
A.	All starchy staples: bread, rice noodles, biscuits, or any other foods made from millet, sorghum, maize, rice, or wheat as well as potatoes, yams, manioc, cassava or any other food made from roots or tubers	[___]				
B.	Beans and peas: dried beans, dried peas, lentils, or foods made from these (<i>such as hummus</i>)	[___]				
C.	Nuts and seeds: nuts, seeds or foods made from these (<i>such as peanut butter</i>)	[___]				
D.	Dairy: milk, cheese, yogurt or other milk product	[___]				
E.	Flesh foods: beef, pork, lamb, goat, rabbit, game, chicken, duck, other birds, insects, fresh or dried fish or shellfish, liver, kidney, heart or other organ meats or blood-based foods	[___]				
F.	Eggs: eggs from chicken, duck, guinea fowl or any other egg	[___]				
G.	Vitamin A-rich dark green leafy vegetables: including amaranth, cassava leaves, kale, and spinach (including wild forms)	[___]				
H.	Other vitamin A-rich vegetables and fruits: pumpkin, carrot, squash, or sweet potato that are orange inside or any ripe mango, cantaloupe, apricot (fresh or dried), ripe papaya, dried peach, and 100% fruit juice made from these	[___]				
I.	Other vegetables: tomato, onion, eggplant and others	[___]				
J.	Other fruits: apple, orange and others (including wild fruits and 100% fruit juice made from these)	[___]				
68.	How many times a week do you eat dairy , such as milk, curd cheese, yoghurt or other milk product?	Never or <1 x/week	1-2 x/week	3-5 x/week	6-7 x/week	> 1 x/day
69.	How many times a week do you eat flesh foods , such as beef, pork, chicken, fish, mutton, or insects?	Never or <1 x/week	1-2 x/week	3-5 x/week	6-7 x/week	> 1 x/day
70.	How many times a week do you eat eggs ?	Never or <1 x/week	1-2 x/week	3-5 x/week	6-7 x/week	> 1 x/day
71.	How many times a week do you eat vitamin A-rich dark green leafy vegetables such as amaranth, cassava leaves, kale, and spinach (including wild forms)	Never or <1 x/week	1-2 x/week	3-5 x/week	6-7 x/week	> 1 x/day
72.	How many times a week do you eat other vitamin A-rich vegetables and fruits , such as pumpkin, carrot, squash, or mango?	Never or <1 x/week	1-2 x/week	3-5 x/week	6-7 x/week	> 1 x/day
73.	In the last year, did your family produce vegetables or fruits or keep animal for meat or eggs for family consumption?	No (0) Continue to question xx		Yes (1)		
74.	In the last year, how many types of animals did you keep for family consumption?	#				
75.	In the last year, how many types of vegetables did you produce for family consumption?	#				
76.	In the last year, how many types of fruits did you produce for family consumption?	#				

¹³ The lists should be adapted to the local context by using local names for food items and foods commonly consumed in the area.