



# Gender Norms, Agency, and Innovation in Agriculture and Natural Resource Management: The GENNOVATE Methodology



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GENNOVATE is a cross-CGIAR qualitative, comparative research initiative which addresses the question of how gender norms and agency influence men, women, and youth to innovate in agriculture and natural resource management (NRM). Carried out across 137 rural communities in 26 countries, this qualitative comparative study aims to provide authoritative “bottom-up” research to advance gender-transformative approaches and catalyze change in international agricultural and NRM research for development.

GENNOVATE is a collaboration of principal investigators from 11 Phase I CGIAR Research Programs (CRPs) worldwide. To learn more, visit <http://gender.cgiar.org/themes/gennovate/>

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## Section I: Introduction to Study and Overview of Fieldwork Protocols

Innovation in agriculture and natural resource management (NRM) that ignores gender inequality is limited in its impact and risks worsening the poverty, workload, and wellbeing of poor rural women and their families. Due to deep-seated gender norms—i.e., societal rules prescribing women’s and men’s roles and behaviors—women and men have different capacities to take advantage of new opportunities in agriculture and NRM. Resultant gender inequalities in the costs and benefits of innovation sometimes contribute to harmful outcomes for different population groups. Yet, how and why this occurs in some circumstances and not others is poorly understood. This limits our capacity to design and scale out agricultural innovations that deliver benefits fairly and efficiently to poor women and men.

Tackling this knowledge gap is urgent to achieve more inclusive and prosperous rural development. A team associated with 11 CGIAR Research Programs (CRPs, from Phase I) collaborated in launching a global qualitative field study entitled GENNOVATE (Enabling Gender Equality in Agricultural and Environmental Innovation). The objectives for the research initiative are to:

- provide robust empirical evidence on the relationship between gender norms, agency, and agricultural innovation, and how these interactions support or hinder the achievement of its development objectives across varied contexts; and
- inform the CRPs’ theories of change and related research portfolios through identifying the gender-based constraints that need to be overcome in different contexts in order to achieve lasting and equitable improvements in agricultural outcomes.

The study will generate in-depth understanding of how gender norms both shape and are shaped by capacities for exercising agency—understood as “the ability to define one’s goals and act upon them” (Kabeer 1999, p. 438)—in agricultural innovation and other development processes at the local level in CRP target regions. It will do so by identifying broad patterns in these interactions and describing local manifestations of these patterns in contexts with different social, economic, agro-ecological, political, and cultural features. Through the collaboration of CRPs in conducting Case studies, the global research initiative will provide comparative findings of relevance across world regions, agricultural systems, and cultural domains.

### *Study questions, concepts, and design*

GENNOVATE seeks to address the following research questions:

- How do gender norms and agency advance or impede the capacity to innovate and technology adoption in agriculture and NRM across different contexts and social structures?
- How do new agricultural technologies or practices affect gender norms and agency across different contexts? Under what conditions can they do harm to women?
- How are gender norms and women’s and men’s agency changing, and under what conditions do these changes catalyze innovation and lead to desired development outcomes (CGIAR System Level Outcomes—SLOs)? What contextual factors influence this relationship?

To address the study questions, GENNOVATE employs a conceptual framework which is informed by selected discourses on agency and structure interactions in feminist literature (e.g., Wharton, 1991; Kabeer, 1999; Ridgeway, 2009). The study questions require exploring interactions between gender norms, agency, and agricultural innovation in specific contexts, or local opportunity structures. Box 1 defines the key study concepts of gender norms, agency, and innovation. The notion of structure refers to “the rules that shape social actions and the resources that furnish agents with the power that makes it possible (to varying extents) for them to act” (Lane, 2001, p. 297). GENNOVATE pays particular attention to gender norms as an important dimension of the local opportunity structure. These norms are upheld across generations by internalized psychological beliefs about men’s higher status, competence, and appropriate gender behaviors, and by processes of social interaction and sanctions of one’s “reference group” through social approval and disapproval (e.g., Ridgeway, 2009; Bicchieri, 2006).

**Box 1. Key study concepts: Gender norms, agency, and innovation**

**Gender norms** refer to gender dimensions of social norms, or the societal expectations of how men and women ought to behave in their everyday affairs. Social norms also “structure social interactions in ways that allow social actors to gain the benefits of joint activity. And they determine in significant ways the distribution of the benefits of social life” (Knight & Ensminger, 1998, p. 105).

As Ridgeway (2009, p. 145) further explains, “Gender is a primary cultural frame for coordinating behavior and organizing social relations.” Despite technological and institutional change in a society, gender-framing persists in shaping social life. For instance, stereotypical beliefs about men’s greater authority and competence compared to women are often “reinscribed into new organizational procedures and rules that actors develop through their social relations in that setting” (p. 152).

**Agency** is “the ability to define one’s goals and act upon them” (Kabeer, 1999, p. 438), either independently or jointly with others. GENNOVATE’s conceptual framing positions the process of exercising agency as mainly embedded in, and conditioned by, formal and informal local institutions. It recognizes that increased agency, or empowerment, of disadvantaged groups can transform constraining institutions and their rules.

**Innovation** in this study is defined expansively to encompass agricultural technologies, natural resource management practices, learning opportunities, relationships, and institutions which are new for the study communities sampled. These innovations may be locally devised or externally introduced. Our understanding of innovations and innovation systems is informed by Berdegue’s (2005, p. 3) definition of innovation as “social constructs, and as such, they reflect and result from the interplay of different actors, often with conflicting interests and objectives, and certainly with different degrees of economic, social, and political power.”

Qualitative comparative research designs are more standardized than most qualitative approaches. The standardization enables a core set of data about each Case, and the different population groups reached within each Case, to be compared systematically. Each Case provides detailed, context-specific insights from local women and men into:

- existing gender norms, attitudes, and practices around agriculture, NRM, and rural livelihoods, including the division of labor, market access and mobility, village governance and leadership, marriage practices, family structures; intra-household decision making, and how these decisions affect and are affected by agriculture and NRM innovation and other local change processes.

- how and by whom these norms, attitudes, and practices are maintained, negotiated, and sometimes changed, including how and why different women, men, and families either conform to or act outside of these normative bounds, and with what effects on gender relations and livelihoods.
- how new agricultural and NRM technologies and practices have been introduced, adapted, and used; the relationships involved; the distribution of risks and benefits; and how this innovation process is perceived by men and women of different age groups, socio-economic status, and experiences with the agricultural opportunities of their communities.

## A roadmap to the GENNOVATE Methodology

**Section I provides an overview of GENNOVATE's research management needs and protocols for the fieldwork.** The research initiative's collaboration among a global team of principal investigators (PIs), 11 CGIAR Research Programs, and numerous other partners enabled field teams to reach a total of 137 villages in 26 countries between April 2014 and May 2016. This level of collaboration was unprecedented for the CGIAR. Further information about the study can be found on the GENNOVATE website: <https://gender.cgiar.org/collaborative-research/gennovate/>.

In this updated version of the Methodology, we have reorganized and expanded Section I for researchers interested in learning more about the overall approach or about particular procedures taken to balance concerns for context and comparison across the diverse agricultural and cultural contexts reached by the field teams. In Section I, we review GENNOVATE's protocols and field management needs related to: Case selection; the refinement and translation needs of the study's data collection instruments; and the field team's composition, supervision, and training needs. There is also an introductory section with various tips aimed to help teams train and organize their preparations for fieldwork. A final section discusses data management and security.

**Section II features the GENNOVATE data collection instruments** conducted in each Case. In order to provide a record of the methods that were applied during GENNOVATE's original fieldwork, Section II has not been updated. Each instrument details the tool's purpose and application procedures, and the field instruments contain a standardized semi-structured interview resource. The methodology package requires detailed preparation and analysis activities prior to field work (e.g., to refine the instruments, prepare the field team, and review relevant literature) and during the fieldwork (e.g., 15 separate data collection activities).

The instruments discussed in Section II include: a literature review, a semi-structured key informants interview to gain background information about the study community, three different focus group tools (each conducted twice to reach women and men separately), and two semi-structured individual interviews (each conducted with two women and two men for a total of eight interviews). Table 1 provides an overview of the GENNOVATE data collection instruments and their purpose. The fieldwork typically required five to seven long days in a research community.



**Table 1. Overview of data collection instruments (presented in Section II)**

<i>Tool</i>	<i>Purpose: To gather background information about the study topics in the global, country, and local context</i>	<i>Source</i>
<b>Activity A. Literature review</b>	<ul style="list-style-type: none"> <li>– To situate the Case in a wider context by providing general background information about the Case Study country and community, including relevant insights from area experts and studies of gender, agency, agricultural innovation, and wider development processes</li> </ul>	Principal investigator
<b>Activity B. Community Profile</b>	<ul style="list-style-type: none"> <li>– To provide social, economic, agricultural, and political background information about the community; and</li> <li>– To gain understanding of factors that may contribute to changes in gender norms and capacities for exercising agency and innovating in agriculture and NRM</li> </ul>	<ul style="list-style-type: none"> <li>– 1 or 2 male key informants</li> <li>– 1 or 2 female key informants</li> </ul>
<i>Tool</i>	<i>Purpose: To gather observations, interpretations, and lived experiences from diverse community members</i>	<i>Source</i>
<b>Activity C. Focus group: Ladder of Life</b>  (with poor adults)	Key topics addressed: <ul style="list-style-type: none"> <li>– Normative framework shaping gender roles in households and agriculture/NRM</li> <li>– Labor market trends and gender dimensions</li> <li>– Factors enabling and constraining innovation, and their gender dimensions</li> <li>– The culture of inequality in the village, factors shaping socio-economic mobility and poverty trends—and their gender dimensions</li> <li>– Intimate partner violence</li> </ul>	<ul style="list-style-type: none"> <li>– 1 FGD of 8 to 10 adult females, ages 30 to 55</li> <li>– 1 FGD of 8 to 10 adult males, ages 30 to 55</li> </ul>
<b>Activity D. Focus group: Capacities for Innovation</b>  (with middle-class adults)	<ul style="list-style-type: none"> <li>– Agency over strategic life decisions</li> <li>– Enabling and constraining factors for agricultural and NRM innovation, and their gender dimensions</li> <li>– Gender norms shaping household bargaining over housework and care roles, and over women’s economic roles, access to networks, and control of productive assets</li> <li>– Opportunities for and barriers to agricultural entrepreneurship, and their gender dimensions</li> <li>– Social cohesion and social capital—and their gender dimensions</li> </ul>	<ul style="list-style-type: none"> <li>– 1 FGD of 8 to 10 adult females, ages 25 to 55</li> <li>– 1 FGD of 8 to 10 adult males, ages 25 to 55</li> </ul>
<b>Activity E. Focus group: Aspirations of Youth</b>  (with older adolescents and young adults )	<ul style="list-style-type: none"> <li>– Agency over strategic life decisions</li> <li>– Gender norms surrounding education and aspirations for the future</li> <li>– Enabling and constraining factors for agricultural and NRM innovation, and their gender dimensions</li> <li>– Gender norms shaping household bargaining over housework and care roles, and over women’s economic roles, access to networks, and control of productive assets</li> <li>– Women’s physical mobility</li> <li>– Family formation norms and practices</li> </ul>	<ul style="list-style-type: none"> <li>– 1 FGD of 8 to 12 female youth, ages 16 to 24</li> <li>– 1 FGD of 8 to 12 male youth, ages 16 to 24</li> </ul>
<b>Activity F. Semi-structured interview: Innovation Pathways</b>	<ul style="list-style-type: none"> <li>– To explore in-depth the trajectory of individual experiences with new agricultural and NRM practices, and the role of gender norms and capacities for innovation in these processes</li> </ul>	<ul style="list-style-type: none"> <li>– 2 male innovators</li> <li>– 2 female innovators</li> </ul>
<b>Activity G. Semi-structured interview: Individual Life Stories</b>	<ul style="list-style-type: none"> <li>– To understand the life stories of different men and women in the community who have moved out of poverty, fallen into deeper poverty, or remained trapped in poverty; and how gender norms and capacities for exercising agency, livelihood innovation, and other dimensions shaped these different poverty dynamics</li> </ul>	<ul style="list-style-type: none"> <li>– 2 males</li> <li>– 2 females</li> </ul>

As the Methodology highlights throughout, the study's need to balance concerns for context and comparison presents diverse challenges for research design and management. Among other needs, GENNOVATE's fieldwork requires specialized preparations of the interview instruments as well as an expert-led, field-based training of trainers program. Such measures provide the foundations for a core set of comparable data to be generated from each Case, while simultaneously ensuring that the data collection process and information generated is relevant to and meaningful for the diverse community members, PIs, and CRPs collaborating in the research.

### Case selection criteria

A key issue in Case Study research is identifying the Case or object of study. For the global study, the Case will be coterminous with the notion of "site" and refers to a social group living in a single locality that the inhabitants call their village, community, neighborhood (barrio), or hamlet. The principle for defining this unit of analysis is propinquity, or "being in the same place at the same time" (Kadushin, 2012, p. 18) with the high probability that most inhabitants share a common language, culture, and history. The global comparative analysis will identify broad patterns and trends across the Cases.

The rationale for site selection is guided by principles of maximum diversity sampling. The approach seeks to capture and describe "central themes that cut across a great deal of variation" (Patton, 2002, p. 235). The logic is that if a pattern can be uncovered in a large number of varied places—as if from the same population group—then there is more confidence i) in the finding ii) that unobserved variables are less important; and iii) that similar findings likely exist beyond the research sample (Peters, 1998, p. 36-41).

Drawing on this approach, the study sample will seek a good distribution of Cases both across and within world regions. This will introduce significant heterogeneity in economic and biophysical environments and in the sociocultural contexts that underpin gender roles and relations.

At the village level, Case selection and classification will involve providing information on variation across two dimensions expected to shape interactions between gender norms, agency, and agricultural innovation processes:

- ***Gender gaps in assets and capacities:*** a proposed Case should aim to provide some qualitative or quantitative information germane to this dimension, such as the share of girls completing primary school compared to boys in the village or district; the extent to which women hold important leadership positions (civic and political) in local organizations; and the broadly accepted norms in the village about women's freedom of physical mobility. If this information is hard to obtain or not relevant for the proposed village, other relevant indicators of gender gaps in assets and capacities can be considered to inform the sampling.
- ***Economic dynamism:*** a proposed Case should aim to provide some information germane to this dimension such as the existence and nature of competition over agriculture or NRM resources important for livelihoods in the village; infrastructure development that indicates change in the local economy such as penetration of roads or connectivity; changes in market orientation; changes in the sophistication of processing technologies for key commodities; the percent distribution of buyers and sellers (sex-disaggregated if information is available) in local input and output markets; changes in on- and off-farm employment opportunities; and changes in the local diversification of livelihoods or the potential for this diversification.

We expect this information may be partial for any given village when a Case is proposed and expect that it can be added to as the Case Study progresses. Information is requested on village-level gender and asset gaps and economic dynamism when Cases are proposed to facilitate the initial classification and selection of Cases. This is designed to provide a diverse sample for examining the key study questions.

Additional aspects that will inform the selection of Cases include the number of CRPs present in the Case Study area, proposals for joint CRP research, team capacities to undertake the study, clear plans for using study results, and ability to invest in longitudinal research in the site.

Several Cases (units of analysis) may be located in a single project target area. As well, residents from several Cases may be engaged in a single value chain. In this instance, the project or value chain is not the Case to be studied. The Case is one of the villages, communities, or hamlets engaged in the project or value chain. Where multiple Cases are envisioned, it will be valuable to apply maximum diversity sampling principles.

Of final note, once Case selection is completed, it will be important to clarify to the field team and in the instruments, field notes, and Case Synthesis Report the specific geographic area covered by the Case. Is it the physical living area of the entire village? Is it a larger or smaller part of the village? One or more settlements or hamlets of the village?

### Refining, translating, and ensuring common understanding of data collection instruments

The Case PIs will need to refine each data collection instrument in this Methodology to make them more useful and relevant to their local contexts and the particular informational needs of their CRPs. Of particular importance, space has been created in the data collection instruments for PIs to introduce additional questions, which may include, for example, a focus on a particular innovation of interest to their CRP sponsoring the Case. **The sections and questions that need to be revised or removed by PIs are clearly marked in bold in each of the interview instruments.**

If there is interest in exploring a particular innovation or other informational needs in greater depth, these needs should be identified in advance of refining and translating the tools. Additionally, the field team will need a detailed briefing during the training about these additions to the interview instruments. If examining a particular innovation of importance to the CRP, the team should be informed of the innovation's history and experience in the Case Study and any key gender dimensions. It will be valuable to repeat highlights of this technical briefing immediately prior to commencing data collection.

Again, the bold questions that are present in the interview instruments can be refined, changed completely, or dropped altogether.<sup>1</sup> While working on revisions to each of the data collection instruments, the PIs will need to take into account the data that will already be collected (and require analysis!) and the great time constraints faced by community members and the field teams.

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<sup>1</sup> However, please do not change the variable numbers in the interview instrument when dropping or adding bold questions.

The questions that are not marked in bold are part of the “global study” and we request that these only be modified as may be needed to convey more accurately the intent of the question in the local context. If there is uncertainty about any procedure or meaning of any question in an instrument, please contact the study expert advisor ([patti@pattipetesch.com](mailto:patti@pattipetesch.com) or pattipetesch on Skype) or any member of the GENNOVATE Executive Committee (ExCom).

**The translation of the field instruments** into local languages requires careful supervision and screening for quality, and the ExCom will support coordination among the different PIs who share the same translation needs. Please keep in mind that translators often have limited knowledge of the research topics and fieldwork needs. A common issue with translation is that many formal terms must be substituted with more familiar, everyday terms. Also, some questions may be only partially translated or misinterpreted altogether. Thus, time will have to be set aside to review the translated text extremely carefully against the original version, ensuring everyday terms are used and that each translated question fully captures the intention of the original question in the global instrument.

Where teams are bilingual, it is often useful early in the training agenda to sit in a circle and slowly review and discuss each interview instrument *question-by-question*. The team should first discuss and reach a shared understanding of the purpose of the original question (in the global instrument), and then together verify the quality of the translation with all eyes on both versions. This teamwork provides a crucial cross-check of the translation as well as a strong foundation for the field work. If any translation services will be needed during the actual fieldwork, it will be vital to include your translators as part of the training activities so that they also become knowledgeable of the study topics, terms, and data collection protocols prior to the fieldwork.

### Field team composition, supervision, and training

The Case Study PI is responsible for mobilizing and supervising a field team of at least four members to ensure sex-specific focus group discussions (FGDs) can be conducted without the presence of the opposite sex. The field team should consist of at least one woman and one man who have strong experience facilitating focus group discussions, and one woman and one man who can serve as notetakers during the sessions and be responsible for complete narrative and numerical documentation of the data collection activities (the women on the team would then facilitate and take notes for the women’s FGDs, and the men would facilitate and take notes for the men’s FGDs).

If the PI for the Case is not participating in a full training of trainers (discussed below) or completing the fieldwork with their team, then additional steps will be required to prepare the team and manage their fieldwork. In this case, a master trainer should be identified for the team’s training and a field team leader designated from the team. The team leader’s responsibilities include, for instance, managing relations with community leaders and members, ensuring adequate implementation of the detailed selection criteria for study participants in each data collection activity, and screening the documentation of the field work for high quality and completion.

Recruitment of strong facilitators and notetakers is equally important. Many young and outgoing researchers with background in the study topics can become excellent field team members after observing and learning from more experienced field researchers. Background knowledge of the study

topics and quick learning are essential for both roles. Notetakers, for instance, will need to learn and apply strategies for communicating with and keeping facilitators on track, as well as for managing the study's detailed documentation requirements for the field notes.

It is also recommended to add a local field coordinator to the team who is responsible for logistical preparations, introducing the study team to local leaders, assistance with recruitment of study participants, and other needs prior to and during the fieldwork. The field coordinator may be a leader in the Case community; however, their contributions to the selection of study participants and other needs of the study will require detailed guidance and supervision, as discussed more below.

GENNOVATE's data collection instruments are challenging to implement in the field. They require training of and field-based practice by every single field team member in order to acquire the necessary information and skills. The GENNOVATE model of training features a five-day training of trainers program which combines classroom and field-based sessions for the PIs and/or field team leaders. Annex 1 of the Methodology contains the agenda prepared for the GENNOVATE regional training of trainers in Bangladesh in November 2014. For the training of the field teams themselves, an additional one or two days are highly recommended to allow time for further practice and review, especially of the requirements for managing the rating activities and visuals during the focus groups and for thorough field notes.

This Methodology alone is insufficient to prepare master trainers to run such a training program if they have limited direct experience with management of "medium-n" qualitative comparative field research. Please reach out to the GENNOVATE ExCom or PIs for recommendations of master trainers with direct experience in this type of research and the associated training needs. Also of note, any trainees in the training of trainers who do not have strong fluency in the master trainer's language will either require simultaneous translation throughout the training or their field team will need to repeat the entire training in the trainee's own language. A mere translation of the Methodology cannot substitute for active participation and learning in a live training program. Likewise, translation during the field practices is often necessary in a regional training of trainers for some trainees and/or the master trainer. Of final note, GENNOVATE's terms of reference for the field teams require independent clearance by the study's expert advisor of a complete set of "Ladder of Life" focus group notes from a field-based practice as a quality control step *before* a team begins its field work.

If translation is necessary in the field for the data collection of an actual Case, then translators should participate in the training to ensure that they understand key study terms, and that they practice providing full translations of exactly what people are saying rather than summaries. Translators are often trained to provide a summarized translation; however, study protocols require that the study questions be asked as closely as possible to how they are conveyed in the Methodology and field notes record direct quotes as much as possible. More on this next.

### Fieldwork preparation and management

Successful completion of the 15 data collection activities for a Case requires advance preparations as well as adjustments during the fieldwork to the study schedule, protocols, instruments and other field needs based on the team's relations with the community and what is being learned.

### *Introducing the team and study*

The study attempts to document how community members conceptualize, understand, and interpret their own lives and that of their community. To gather such information, it will be vital to gain the trust and confidence of the local people. Prior consultation with and agreement from community leaders for conducting the study in their community is a crucial part of the process of selecting a Case. Partners are very valuable who can help with the initial needs to identify a Case and make contact with key local leaders.

As part of the training of the field team, it will be useful for team members to consider and agree on a common code of conduct that they can follow before they go out to the field and which will help to generate trust with the community. It will be important for the team to share the field schedule with community leaders, and to arrive on time and well prepared for completing each day of fieldwork. Be respectful and establish a comfortable rapport with community members so that your study participants, in turn, feel they can convey what they honestly think and believe, without fear of being belittled or disregarded.

Prior to starting a data collection activity, the field team members should explain:

- the objectives of the study;
- the type of information being solicited and how it will be recorded;
- that participation is entirely voluntary and that no adverse consequences will come to those who do not wish to participate, who decide to refrain from answering any questions, or who wish to end their participation before the completion of a data collection activity; and
- the provisions being taken to ensure the confidentiality of the data and the anonymity of the informants.

Each instrument contains suggested language on these topics at the start of the interview. Facilitators should slowly read aloud this text and clarify it as may be needed for the study context. Field team members should be prepared to address any questions or concerns that study participants might have. Research of this kind can often generate expectations of some sort of benefits among the people participating in the data collection, even when it is indicated that no direct benefits should be expected. It will be important to manage these expectations as openly and clearly as possible throughout the data collection. Both the facilitator and notetaker are encouraged to add notes in parentheses to the field notes to share reflections on how their own status as outsiders/experts and the study participants' desires to be courteous or expectations of benefit may be shaping responses. It is important to be respectful of people's testimonies, time, and expectations throughout the fieldwork.

### *Balancing concerns for exploration, context, and inclusion with the study's comparative needs for standardization, richly detailed documentation, and completion of data collection*

When applying a data collection instrument in the field, the facilitator should work to bring to life the kind of free-flowing reflections and discussions that enable study participants to present richly detailed perspectives, interpretations, and lived experiences. Rather than moving quickly through the questions in the interview instruments, the challenge for focus groups in particular is to nurture a kind of chemistry where study participants feel comfortable talking to, responding to, building on, deepening, and openly refuting and disagreeing with one another's contributions to the discussion.



This fundamental objective of “learning from below,” however, must be carefully balanced against the comparative study’s need for a core set of data to be systematically and fully documented for each Case. The interview instruments’ standardized semi-structured questions and formats for documentation of the field notes provide a vital foundation for the data coding and systematic comparative analytical work that follows the data collection. Unfortunately, these comparative needs—along with scarce time and other issues faced by study participants and field teams—constrain the time and space for exploration, learning, and inclusion during the data collection.

For comparative purposes, the facilitators are requested to stick closely to asking the *same* questions and creating the *same* visuals presented in the interview for each data collection instrument. To better enable exploration, learning, and inclusion, however, facilitators are encouraged to build strong rapport and trust with study participants and their community, catalyze inclusive and free-flowing discussions, and echo aloud and probe on topics that emerge as important for the study participants and for their families and community.

An effort is made in the selection criteria for focus group members to encourage the participation of individuals with similar status and backgrounds. Yet, it happens sometimes that two to three people dominate the discussion while the rest are passive. These active focus group members tend to be the most influential in the community. One means to foster a more inclusive discussion is to disengage the powerful. If an extra field team member is available, an individual dominating the discussion might be taken aside to conduct one of the interviews. The team leader or field coordinator can do this activity, while the rest of the group carries on with the focus group. Another way of overcoming this problem is to meet with community leaders on the first day to gain their trust and conduct a community profile. This will often allow the team to carry on more independently.

Another tactic to encourage more inclusive, interactive, and richer discussions is to try to gently draw out quieter members of the group by asking if they might have the *same view or a different view* or experience to share on a topic being discussed. It can also be helpful for a facilitator to repeat aloud a thoughtful or surprising response—using the very same words that the study participant used—and then ask if there are others (among the quieter ones) *who agree or disagree* with what was shared.

Even if perhaps obvious, try to frame any additional questions in a way that does not assume the new issue to be beneficial or harmful in any way from the point of view of a study participant. Let them choose any positive or negative qualifiers to convey their perceptions or experiences. You may then become surprised by your (mistaken) assumptions (especially if gender is a new topic for you!). In addition, several study questions contain suggestions for probing in parenthesis as a means to enrich reflections and to foster more inclusive discussion. Facilitators and other team members should practice these and other techniques for fostering inclusive and richly detailed focus group discussions during the training. Below is an illustration from the GENNOVATE pilot focus group with middle-class women from a village in Mukono, Uganda:

**D.17 (facilitator):** If a woman from this village wants to use improved seeds or other inputs for her plot, but she does not have any money, what would she do?

*Participant 1: She sells some of her pigs and she gets some money and she goes and buys improved seeds.*

*Participant 2: For me, I go to our friend or a neighbor. I talk to that neighbor and tell him or her to lend me some seeds, and when I have some I can bring back some seed. And then I can plant.*

*Participant 3: The woman goes for these village credit circles and borrows money from them and goes to buy improved seeds and other inputs like fertilizer.*

*Participant 4: A woman usually doesn't need (to buy) fertilizer because she has some animals.*

*Participant 5: They go to another farmer and offer cheap labor. And she's given some little money. And she uses that money to buy some input like maybe seed or fertilizer.*

Strong facilitation is both a great art and a skill that must be honed and practiced. Depending on how the discussions are going, facilitators are free to change the sequencing of the modules in the interview instruments, and to skip questions that have already been answered. For questions that are met in silence, it can sometimes be helpful to revisit them again later during a focus group or interview when there is more rapport. Again, facilitators are strongly encouraged to probe more deeply on issues that emerge as important or that spark heated discussions. Please be mindful, however, not to prolong the discussions. If an activity goes on for too long, respondents may become irritated and want to finish. This may be even before the team has received answers to important questions for the study in the interview instrument. So all of the field team members need to help one another to keep an eye on their watch.

### *Probing into capacities for innovation*

A central goal for this study is to shed light on the factors that hinder, enable, or perhaps even motivate individual and collective capacities for innovation in agriculture and NRM. Many sections of the data collection instruments explore these questions, and the bullets below may be useful for PIs reflecting on i) how to refine the tools and ii) train their teams to probe more strategically on these issues during their data collection in the field.

- Hardware changes: For instance, did they involve new equipment, new crops or varieties, new biological control mechanisms (i.e., weed, pest, disease control), new storage set ups, and so forth?
- Software changes: Especially probe on new knowledge and ways of learning, for instance, about pest control methods, informed choices about varieties based on evaluation, soil management, post-harvest processing techniques, and so forth. Software is also about mindsets and openness to try new things and about the different actors/institutions/networks/relationships involved in testing, adapting, and providing feedback and enabling innovation.
- Changes in gender roles and relations: Are there differences in how men and women learned about, tested, used, or benefited from the new practice? Are there gender differences in disadvantages associated with the new practice? Has the new practice changed how couples or other household members interact or make decisions, or how the community thinks about what is appropriate for women and men to do, own, or control?

The interviews for each data collection instrument encourage the facilitators to slow down and really probe into the questions posed about local agricultural practices, learning, and relationships and how

these are changing in the community. Moreover, issues related to local innovation processes and related gender roles and relations may surface at any point in the data collection. Hence, teams need to be well trained and prepared to use these moments as valuable opportunities to probe and document local men's and women's views and experiences with learning about, accessing, testing, adapting, and benefiting (or not) from the local innovation processes of their village.

### *Visuals and pre-coded questions*

All of the field instruments contain pre-coded questions and all but one (the community profile) also contain other interactive visual and ranking activities involving ladders and matrices. In the case of the FGDs, the pre-coded questions, and their response options, need to be recreated on flipcharts so that they are easily readable at some distance by all of the members of the focus group. Visual exercises involving ladders and matrices will also need to be prepared in advance on flipchart paper. The procedures for managing these different interactive exercises are discussed one-by-one in the data collection instruments. Also, [annex 2](#) to the Methodology provides a summary of every single pre-coded question and ladder or matrix visual that must be prepared in advance for each data collection instrument. Annex 2 was created to help field teams prepare more quickly for their fieldwork. Many teams working in multiple Cases found creative ways to reuse some of the flipcharts.

Each of the interactive activities that involves a flipchart differs and requires practice during the training to capture the necessary information. In activity C, with poor women's and poor men's focus groups, for example, some pre-coded questions can be handled by asking FGD members to raise their hands when their preferred response option is called out. Most pre-coded questions with focus groups, however, require individual focus group members to vote in private for their preferred response option. Teams are free to collect this information in different ways as long as the focus group members are not aware of each other's responses until *after* the individual ratings are completed and collected. One suggestion to minimize the disruption of this task is to provide each focus group member with a pencil and small pack of Post-its at the start of the focus group. After reading out a closed-ended question and the response options, the participants then simply record the number that corresponds with their response, and deposit the Post-it in a cup that is passed around. The facilitator and notetaker can then work together to post the responses quickly on the flipchart, or to group the responses into piles and record totals on the flipchart. The numerical responses to these questions will also need to be recorded in the field notes as well as in Excel format.

Providing an opportunity for individual FGD members to respond privately to a pre-coded question is one technique that can help reduce the bias that may arise from whoever replies aloud first to a question that is put to the whole group. Meanwhile, the creation of visuals during focus groups can be a useful vehicle for capturing a lot of data quickly. Moreover, the narrative and numerical information recorded by the facilitator on a flipchart provides a helpful basis for reflection on and discussion of complex topics in a group setting. Meanwhile, the notetaker should be capturing the fuller discussions that accompany the interactive rating and visual activities, as this will be important for interpretation and analysis of the more synthesized information captured by the facilitator on the flipchart. Also, all of the numerical and narrative data entered on the flipcharts during a focus group needs to be recreated as part of the field notes, even if there is some duplication of information by the facilitator and notetaker (in fact, the duplication provides a valuable cross-check).

For contexts where literacy may be limited, teams will need to move more slowly through the pre-coded questions and visual exercises. Options for rankings, for instance, may need to be repeated several times and symbols used (instead of or alongside text) that can be easily interpreted.

Please remember that identifying patterns in numerical data can be challenging for study participants who rarely work with numbers (perhaps most or all of them?). Facilitators should therefore always present and summarize the pattern of results from the closed-ended questions for the focus group. This summary then provides a basis for the group's discussion of their ratings. It is often useful to begin with the most prevalent response, and asking for volunteers to explain these responses. Then reasons for the other less prevalent ratings can be discussed.

### *Specifying the geographic area and recall period for the Case*

Be sure to clarify to the field team and to study participants the geographic area covered by the Case. Is it the physical living area like the village? Is it a larger or smaller part of the village? One or more settlements or hamlets of the village? To ensure there is common understanding of the area covered by the Case, it may be easiest to add this information to the opening introductions in the blue boxes of each interview instrument.

One important objective of the data collection is to capture men's and women's perceptions of change in their lives on key dimensions of concern for the study. Hence, there are many questions spread across the instruments that ask study participants to reflect back on their lives 10 years ago. For example, different ladder visual activities are included in most of the data collection instruments, and these mainly examine perceptions of change in agency/decision making over the last decade.

To assist with the recall, it will be important to substitute "10 years ago" where this is mentioned in the interviews instruments with a fixed reference year. The year selected might be 2003, 2004, or 2005—i.e., one that is roughly a decade ago and that will stand out in most local people's minds because of a particularly important event. This might be a natural disaster, a change of government, the end of a conflict, an epidemic, or some other major event that will help people place themselves back in time. If there is not a compelling national event, then a local one can work very well, too (e.g., in 2004 when the high school first opened and the highway was completed). In short, instead of "10 years ago," all of those clauses with "10 years ago" across the interview instruments should be revised to say something like, "In 2004 when so-and-so was just elected president . . ."

Ideally the PI can identify the recall year and event(s) when tailoring the tools for the fieldwork and all of the recall questions can easily be modified with "search" and "replace" functions in Word. Alternatively (and riskier for quality control), the community profile interview provides an opportunity for pinning this information down, and the team members can then enter the changes manually in their own instruments in advance of the remaining data collection in the Case. The variable numbers in the instruments with recall questions include: B1.2, B1.3, B2.1, B2.5, B2.18, B2.24, B3.2, B4.8a-c, C.9, C.10, C.11, C.24, C.41, D.31, D.34, D.35, E.16, E.17, F1.B, G1.B, G.12, and G.21.

### *Documentation and cross-checking of evidence during fieldwork*

*Both the facilitator and notetaker are together responsible for ensuring high quality and thorough application of the interview instrument and documentation of the field notes from their data collection activity.* The training of the field teams will need to prioritize and enable extensive practice sessions to build learning on the study's specialized documentation needs, including how to use the formats for entering the field notes, and how to cross-check these formats once data collection is complete in order to ensure high quality and a completed documentation of the field notes.

As part of the data collection and data security procedures, field teams are encouraged to make voice recordings of focus groups and interviews as a backup, provided that study participants are informed about and agree to such recordings. However, it is not recommended that the teams rely solely on tapes and transcripts to document the data collection. Not only is transcription from tapes costly and time consuming, but the volume of transcripts can quickly become overwhelming and difficult to analyze. The study instead calls for notetakers to use the interview instruments as formats for documenting the narrative evidence, and to take their notes directly on laptops during the focus groups and interviews. Hand-written notes are fine as well, but these will need to be typed up later in the formats.

Careful and thorough notetaking during focus groups is *critical*. Arguably, the notetaker is the most important person in the room during a data collection activity, as what they miss will be lost forever to the study. However, it is as much the facilitator's job as the notetaker's to ensure that the data being elicited is richly and fully documented in the field notes. The following practices are recommended as part of the field team's documentation process:

**1. Capture people's own voices:** To the fullest extent possible, document the testimonies *in people's exact words*. This is the foremost guiding principle for research under this project. The notes should be in the first person if the study participant's response is in the first person. It may be necessary to paraphrase especially long responses, but endeavor to capture in full quotes the most important testimonies *exactly* as they are spoken by the study participants.

**2. Reference individual focus group members in the discussions and the notes:** In all publications and outreach, actual names of study participants and communities need to be substituted with pseudonyms to prevent identification. Nevertheless, it can be very helpful to build rapport if focus group facilitators refer to people with their actual names. During the pilots, in fact, the teams found it useful to provide focus group members with nametags (improvised with strips of the masking tape for the flipcharts). This not only helped to put everyone on a first-name basis quickly and build trust and rapport in the group, but the notetaker is *greatly* aided when the facilitator calls each person by name in advance of their testimony. Also, it is important for analysis that individual focus group members can be linked to their roster data and their individual testimonies can be traced across their focus group discussion. This can be accomplished by giving each study participant a unique number to identify them in the roster and in their testimonies, and then notetakers can later substitute numbers where first names appear in the notes. Pls who are considering revisits, however, may want to retain a roster with first names and the corresponding identification numbers separately (and securely) from the field notes.

**3. Keep language simple:** Facilitators and notetakers, please use everyday language. This research does not demand heavy terminology. Simply record local people's own terms, proverbs, and sayings. It is valuable for researchers to note in parenthesis the meanings of local terms or sayings that may be unfamiliar to external researchers.

**4. Note the emotions and nonverbal forms of communication during testimonies:** It can help greatly with interpretation and analysis if there is information within parenthesis that describes the strong emotions or gestures that accompany study participants' testimonies (e.g., laughter, sarcasm, anger). It is also very helpful to make note of facial expressions, gestures, or body postures (e.g., heads shaking or other gestures indicating agreement or disagreement by a few, most, or all focus group members). Notation of gestures or other types of (silent) body language is especially important when these are conveying a hidden or different meaning from the spoken testimony. It is also very useful to note in parenthesis silences in response to questions or long pauses in the middle of responses. Interpretation is also eased where the notes indicate the speed or ease with which a focus group reached agreement on a topic or where voices were raised and debate was heated or protracted.

**5. Separate the researcher:** It is critical to self-consciously distinguish your (the researcher's) own interpretations from what is being reported by participants. Please do not impose your opinions and biases. Put aside your own world view. Endeavor to see and document the world view of the community member. For example, if community members tell the team that "they all work together; their children are happy; their families are warm," please report this in the same words spoken—even if there are concerns about whether this is indeed the case. Researchers are encouraged to enrich, qualify, and even refute testimony documented, perhaps with other information collected or known about the Case; however, the contributions from the research team to the field notes need to be clearly separated and included as a footnote or in brackets. A leading objective in the fieldwork is to document people's own voices as accurately and fully as possible.

**6. Revise the formats (but not the numbering) in the interview instruments as needed:** Each global study question is identified with a unique variable number, and precautions should be taken not to alter this numbering scheme when revising the interview instrument or entering data from the fieldwork. However, where facilitators introduce new questions or modify existing ones in ways that change their meaning, these changes should be fully documented as part of the documentation of the field notes. Additionally, if interview questions are answered elsewhere in the notes, it will be helpful for the notetaker to indicate where that information can be found. Where interview instrument questions are skipped or met with silence, the notetaker should remind the facilitator of this missing data at a relevant juncture in the focus group. It is helpful to note that study participants did not reply to a question, as this will indicate that the question was asked.

**7. Effective communication during focus groups is necessary between the facilitator and notetaker:** The notetaker needs to keep their eye on the clock and on ensuring their interview instrument format can be completed. The facilitator and notetaker will therefore need to develop a means to communicate effectively without disrupting the focus group, perhaps by passing notes if questions are skipped, or waving both hands over their head if notetaking becomes impossible because everyone is talking at once



or the facilitator is moving too quickly. The notetaker might also point to their watch if a module is moving too slowly or a facilitator is digressing for too long of a period from the interview instrument questions.

**8. Review notes immediately after completion of activity:** Notetakers will need to set aside time very shortly after every data collection activity to review what they have documented word-for-word (ideally within 30 to 60 minutes). The notes will need to be edited, expanded, and perhaps some explanatory comments added. The numerical and narrative data from the flipcharts will also need to be entered into the field notes. If too much time passes before the notes are reviewed, valuable information will be lost forever for addressing notes that are incomplete, confusing, or contradictory. Where gaps arise, this is where it can be extremely helpful to draw on the backup voice recording. It is also important for the facilitator to review and clear their notetakers' field notes before they are cleared and finalized by the PI.

**9. Build in team work:** After each day's work in the field, take time for the team to debrief one another, share notes, and give feedback on important or surprising findings that are emerging. Discuss what has gone well and areas needing improvement. Also discuss questions in the data collection that team members may want to cross-check with the wider team or follow-up on with community members. In addition to providing a time for team members to decompress and share experiences, the debriefing should lead to a clear set of questions or concerns that need to be addressed the following day in addition to the scheduled activities.

### *Preparations for field work: A checklist of reminders*

Given the numerous GENNOVATE field protocols and procedures, it will be valuable for a field team leader and their team to build their own checklist of reminders to review during preparations for fieldwork and also during the team meetings while fieldwork is in progress. Rather than a complete list, below are suggestions that PIs and field teams might think about for their own checklist:

#### **Prior to fieldwork**

- ✓ **Ensure that the literature review is well advanced.**
- ✓ **Mobilize and prepare a training for the field team; also consider adding a hired local field coordinator** who can open doors with the community leaders and support logistics and recruitment of study participants.
- ✓ **Participate in a training of trainers or hire a trainer with strong multisite field experience** to run the training.
- ✓ **Identify an innovation or other informational needs for the CRP** and **refine or drop the bold questions** in the data collection instruments.
- ✓ Identify the **geographic area covered by a Case** and the **recall year** and major event (roughly around 2004) and revise the instruments as relevant.
- ✓ **Review carefully the translation** of each data collection tool prior to training your team.
- ✓ Core objectives of the training are to **ensure common understanding of and hands-on practice with each interview instrument** and with **completing the notetaking/documentation requirements** by every member of the field team. One valuable exercise early in the training is to sit in a circle with the team and take turns reading aloud, discussing, and checking the translation (if the team is bilingual) of each interview instrument question in the seven instruments.
- ✓ **Cushion the field schedule** in anticipation of unforeseen delays.
- ✓ **Prepare all visuals in advance** of the fieldwork (see annex 2).

- ✓ **Packing list:**<sup>2</sup> Large waterproof box with secure lock (two even better), extra laptop (two even better), two or three voice recorders, backup batteries for electronics, adapters, markers, blank rosters, prepared flipcharts and blank flipcharts, blank white paper, lots of masking tape, scissors, numerous Post-its and pencils, bag of seeds or nuts (for Ladder of Life), two small cups or bags for collecting Post-its, snacks/fruit and drinks for each focus group and interview, Advil/medical kit, emergency cash, camera, sturdy cloth bags, and a few big plastic bags for carrying supplies (in case of rain) . . .
- ✓ Be sure to **secure quiet and private venues for conducting FGDs and interviews**, and consider hiring **daycare providers** for the women's FGDs.
- ✓ **Finalize the logistical needs for the fieldwork and team to the fullest extent possible.** There should ideally be no need to arrange for purchases of missing or depleted supplies on the packing list, or to resolve issues related to adequate transport, lodging, or meals for the different field team members. Everyone is responsible for being well prepared so that pesky details like these do not disrupt the field schedule, relations with community members, or the team's learning and data collection. Be well prepared so everyone can do their best job and scarce time and resources are not wasted on logistics.

### Community entry and fieldwork

- ✓ Arrange for the **team to meet with community leaders** to introduce the study and to discuss the fieldwork schedule and activities. If possible, the team leader can then conduct the community profile instrument with the community leaders while other field team members leave in order to undertake preparations for the other data collection activities.
- ✓ Do take careful measures to apply the specialized **criteria for recruitment of study participants** that is described in each data collection activity.
  - If working with a **local field coordinator**, be mindful how their position and relationships in the community may affect their recruitment of study participants, and take additional steps if necessary to ensure inclusive recruitment.
  - **Don't** include in the study **more than one member from the same household or community group** (unless that group is large and inclusive).
  - **Extra study participants should be recruited** in case a few become unavailable.
  - Consider **completing the rosters** for each data collection activity during the recruitment process to save time during the FGD.
- ✓ **Don't arrive late** or unprepared for a data collection activity.
- ✓ Do have everyone **turn off** their **cell phones** during a data collection activity (this includes the field team).
- ✓ **Don't** have members of the **opposite sex** in the room during a data collection activity (this also includes the field team).
- ✓ Do arrange your FGDs so that everyone is **sitting in a circle** and the facilitator is eye level with the study participants unless working with a flipchart. **"Sit down, listen, and learn,"** as Robert Chambers advises.
- ✓ **Do follow the interview instruments closely.**
- ✓ **Don't reveal how much you know** about a topic when collecting data. Pretend you don't know anything.
- ✓ Do take careful notes with **lots and lots of direct quotes** from the discussions.
- ✓ Before closing a data collection activity, be sure to provide **information for contacting the team leader** and any plans the team may have for sharing what the team has learned during the fieldwork for the community's feedback and learning.

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<sup>2</sup> Many of these supplies will be needed during the training as well.

- ✓ ***Be respectful and allow time right after a focus group or interview for the team to relax and interact informally with study participants*** who may linger around. Sometimes a community member may have views or information they prefer to share one-on-one with a particular team member. Or, if there are silences, perhaps to break the ice inquire about their views of the data collection exercise, or if they have questions about the study or the team.
- ✓ ***Do review the field notes carefully*** while everything is still fresh, ideally within 30 to 60 minutes of an activity. It will be immensely easier and more productive to do it then. Don't forget to add all of the information on the flipcharts in the field notes. The facilitator and team leader should also carefully screen the notes.
- ✓ ***Create backups of and store all field notes and voice recordings securely.***
- ✓ Do ***gather your field team together each evening*** to reflect on emerging patterns, striking findings, contradictions, gaps in data collection, any concerns, the next day's reminders and schedule, and so forth.

Strong fieldwork preparations, organization, and management greatly enhances the quality of the team's relations with the community and the data collected.

## Data management and referencing

Study participants have been guaranteed that their testimonies will remain confidential. In all publications and outreach, actual names of study participants and communities need to be substituted with pseudonyms to prevent identification. Teams also need to take adequate precautions to ensure the security and privacy of their datasets, as the full anonymization of the GENNOVATE data is practically impossible because removing all of the potential identifiers could render much of the remaining data gathered meaningless.

Please store laptops, hard and soft copies, and electronic backups of field notes and voice recordings in secure places when not in use. Electronic documents with the field data should be protected with additional secure passwords; and any equipment with field data or hard copies stored in locked file boxes during the fieldwork when not in use.

All narrative data from the fieldwork must be transferred to the PI in English (unless other agreements are reached) in electronic MS Word files and using the interview instruments as the format. Data from pre-coded questions or activities which generate numerical evidence (e.g., the various ladder and rating activities) must be entered into and transferred to the PI in the Excel format provided.

When transferring data, please create a single file for each Case. Each data collection activity should be sent as a separate electronic document. Please label each document with codes to indicate: i) the country; ii) the PI; iii) the Case; iv) the data collection instrument; and v) the gender (and whether interview 1 or 2 if activity F or G). So, for instance, the file name for the Word document of the (pilot) women's Ladder of Life FGD (activity "C") that was led by Anne Rietveld in Ntove, Uganda would then be: **UGARNTC-F**. And the first semi-structured life story interview with a man in the Case would be: **UGARNTG-M1**. A Case summary sheet will also need to be completed to inform the data coding.

When presenting quotations or other evidence from the study, a complete reference should always be provided. The reference should include attribution to the: i) particular person(s) (e.g., a pseudonym or gender at a *minimum*), ii) data collection instrument, and iii) community (e.g., pseudonym or district/state) and country. Attention to complete referencing cannot be stressed enough: quotes, tables,

figures, and other evidence without a complete reference to the original source will constrain cross-checking and limit the evidence's authoritativeness. This complete attribution is merited by the men and women who gave their time and shared their views and experiences for the study.

### Final reflections

Section I highlighted various protocols and quality measures for selecting a GENNOVATE Case and for preparing for and conducting the fieldwork. Section II presents the individual data collection instruments that were applied in the study's multisite fieldwork. When becoming familiar with the GENNOVATE tools, it will be important to keep in mind that the study was designed to be exploratory and enable rich contextual and multidimensional information to emerge to inform the data interpretation and analysis. Simultaneously, a level of standardization was introduced that would provide a foundation for meaningful comparative research across the communities and population groups reached by the study. Going forward, we hope GENNOVATE's methodology can inspire further innovations with research collaborations and the balancing of concerns for context and comparison.

Lastly, before turning to the tools, we want to add a word about the research process that can become lost in all of the focus on the fieldwork protocols. Namely, many field team members confided that because of their experience with GENNOVATE they now see and think about gender and their own lives in a way that is new and deeply insightful for them. Moreover, study participants from diverse contexts also sometimes mention the very same thing.

## Section II: GENNOVATE Data Collection Instruments

### Activity A. Literature Review

#### Purpose

The literature review is designed to situate the Case in a wider context and build on existing knowledge. The review should discuss general background information about the national context and Case Study area and relevant findings on the study topics from the literature. This background information will provide the introductory material for the Case Synthesis Report and will also be extremely useful for informing revisions to the data collection instruments, orienting the field team in advance of the fieldwork, and interpreting the data.

#### Approach

The PI for the Case is responsible for conducting or supervising the literature review and updating, as necessary, information and analysis from key specialists on the study topics in the geographical area of their Case. This background research about the Case Study area provides an important foundation for selecting a Case, contextualizing the instruments and data analysis, and should be advanced early in a PI's work program for their GENNOVATE research. While this background literature work will likely be ongoing throughout a PI's involvement with their Case Study, adequate background information and analysis about the geographical area will be necessary to make informed decisions about the Case selection and refining the instruments. Below are suggested topics for organizing the literature review. Some of the information requested will need to be provided in the Call for Cases. Once the fieldwork is completed, additional information will be available in the field notes to provide a fuller introduction to the Case.

#### Suggested outline

##### I. *Situate the case in the larger global and national context*

- The sample community for the Case needs to be related to the wider literature on gender and agriculture and the global **sampling frame** for the study. First, is this a Case illustrating significant gender gaps in assets and capacities and/or a more static normative climate, or is this a Case where gaps are narrowing and gender norms are more fluid and perhaps changing? Second, is this a static or transformative Case about value chain development and agricultural productivity?
- Discuss how the sample community relates to selected national descriptive statistics, disaggregated by gender and urban v. rural where possible, for:
  - General **human development and labor market** trends—on education, health, and demography (fertility, access to contraception, infant mortality, stunting, life expectancy); and labor force participation
  - General trends on **agricultural productivity**
  - General trends on **poverty** (urban v. rural)
- Provide a general analysis of broad trends or **important national events or policy changes** that may be helping or hindering the CGIARs SLOs on the ground in the sample community.

**II. *Introduce the community and local gender norms***

- **General community characteristics**—population, social groups (their composition, status, and principal livelihoods in that society), poverty status, geography, market integration, and so forth.
- **Prevailing gender structures and norms**, including the household structure (e.g., prevalence of polygyny) and gender differences in breadwinner v. domestic roles and responsibilities; women's physical mobility, leadership roles, ownership and access to productive resources (farm plots, grazing, fishery, forest water), control of income, and so forth.

**III. *Describe the agricultural and/or NRM context***

- Describe the **availability of resources** for agriculture or NRM livelihoods in the village and any **ongoing conflict or competing interests** among different stakeholders in relation to their use. If you know of ongoing conflict or competition that has a gender dimension, please describe.
- Describe the level of **infrastructure development**, such as penetration of roads, electricity, irrigation, water and sanitation services, mobile phones, internet or other forms of connectivity, and the presence of agribusiness processing plants or factories, and agricultural storage facilities. Has any aspect of this infrastructure development changed notably in the past five to 10 years? If any of these have a gender dimension, please note this.
- Describe the way local inhabitants of the village interact with the **external market economy for locally produced goods**: How important is market engagement to local livelihoods? What, if any, are the locally important markets or value chains? Has the local level of engagement with the market and specifically, any of the important value chains, increased, remained stable, or declined in the past five to 10 years? What are key gender dimensions of engagement with the market economy for locally produced goods?
- Describe how men and women of the village participate in the **labor market, including their use of family labor and on-farm, off-farm, or nonfarm employment**. Are local labor market opportunities plentiful or few, and how are the opportunities gendered? How common is seasonal or permanent migration and for whom? What role do remittances from male or female migrants play in the local economy? How has any aspect of local involvement in the labor market changed notably in the past five to 10 years? Are there any evident gender dimensions to this change in labor market engagement?
- Describe the **diversity of local livelihoods** based in the village: In what ways has diversity increased, remained stable, or declined in the past five to 10 years? If you know of recent changes in the diversity of local livelihoods that have a gender dimension, please describe.
- Describe the sophistication of **processing technologies** for key commodities used in the local economy. Describe any known gendered dimensions of these technologies.
- Conclude with a discussion of the major agricultural and manufacturing goods and services, markets, and trends shaping the larger **regional economy**.

**IV. *Describe the state of recent agricultural and/or NRM innovation(s)*, including technologies, institutions, or policies that are relevant to the Case. Also, where relevant, identify and provide background on the particular innovation(s) that the CRP identified for focused data collection and analysis in the Case.**



- Discuss **significant innovations in technologies now being used for local production or natural resource management** in the past five to 10 years (e.g., new crops, tools, machinery, crop varieties, agrochemical inputs, conservation farming practices, agroforestry, irrigation or water harvesting technology, veterinary practices, post-harvest processing techniques, glasshouses, seed storage technology, water pumps, etc.) and any knowledge of the gender dimensions of their use, ownership, or control.
- Describe **significant innovations now in use and the institutions involved in local production or natural resource management** (e.g., collective labor group, social forestry organization, local irrigation or water user group, farmer field school, grower association or cooperative, self-help group, micro-credit group, seed producer group, small business service provider, value chain, factory, worker union, supermarket contracting arrangements, etc.) and any knowledge of how their membership, functioning, or benefits are gendered.
- Describe any **significant innovations in policy now being implemented** and impacting local production and NRM or people's wellbeing (e.g., land rights, inheritance laws, credit regulations, cooperative regulation, agricultural extension provision, input subsidies, payment for environmental services, sanctions preventing forest or water use, trade regulations, schooling costs or availability, rural healthcare provision, etc.). If any of these have a gender dimension, please describe.

## Activity B. Community Profile

### *Purpose*

1. To provide social, economic, agricultural, and political background information about the community; and
2. To gain an understanding of community-level factors that may contribute to changes in gender norms and capacities for exercising agency and innovating in agriculture and NRM.

### Selection of informants

This instrument covers a broad range of topics, and it is recommended that field teams meet with three or four key informants to complete the community profile. It is particularly important to meet with key informants of both sexes due to many sex-specific questions. The informants should be selected because they are very knowledgeable about the Case Study community and area. They might be a community leader, government official, politician, an important local farmer or employer, a business leader, teacher, or healthcare worker. Relevant considerations are not only who is most likely to know the requested information, but also who is most likely to be knowledgeable about the circumstances of the more marginal members of the community and different social groups, and to provide information in an unbiased manner.

Only one community profile should be completed for each Case. The team can elect to meet with a group of key informants in a single session. However, it can be valuable to meet separately with male and female informants because women tend not to speak freely in the company of men in formal settings. Follow-up interviews with additional informants or perhaps a focus group member outside of the focus group should be conducted as needed to complete the interview instrument for the Community Profile, including to cross-check and complete responses that may be partial, confusing, or contradictory. Where any gaps remain in the instrument, these uncertainties should be clearly identified.

### Preparations for interviews

The interview instrument will need to be refined and questions may need to be added to address particular informational needs of the Case or the CRP. When revising and translating, however, please be sure to stay as close as possible to the meaning of the closed-ended/pre-coded questions, as these will be used to support the cross-case analysis. The open-ended questions can and should be tailored as needed so that they will be appropriate to the local context. When refining the instrument, please exercise caution so that the question/variable numbers for the global questions are not changed.

### *Materials needed during fieldwork*

- A blank copy of the Community Profile interview instrument.
- Voice recorder (optional)

## Roster and interview: Community Profile key informant interviews

Community name _____			
Community pseudonym _____			
County/district _____			
State/province _____			
Country _____			
Name of interviewer _____			
Date(s) of interview _____			
Signature of study team leader (indicating the Community Profile was reviewed and is complete)			
_____			
<b>Names of respondents</b>	<b>Sex</b>	<b>Position in community</b>	<b>Agreed to speak on the record (<i>yes or no</i>)</b>

## Contents

Module 1. Historical, demographic, and social information

Module 2. Economic, labor, agricultural, and natural resource information

Module 3. Services and information access information

Module 4. Political, civic, and social cohesion information

**[Read:] Thank you for agreeing to be interviewed today. We are going to be discussing different social, economic, and political characteristics of the village over the next hour. This information will provide valuable background for a large study being conducted with separate groups of women and men here in this community and others in the country, and in many other parts of the world. The study is exploring gender issues and their role in agricultural development and in managing natural resources, such as the forests, water, and soils which surround this village.**

**Your participation today is voluntary. As an important member of your community, we hope that you will be comfortable speaking on the record. If not, just let me know and I will ensure that your name is not identified with any information or views that you share. You are of course free not to answer any question, or to withdraw from participation in the interview at any time. However, we very much hope you will help with this profile of the community as your knowledge and views are very important to us. We cannot promise that you and your community will benefit directly from this study, but the information that we are collecting will help to improve agricultural research and development activities in your country and in other countries.<sup>3</sup>**

**Are there any questions before we begin?**

## Module 1. Historical, demographic, and social information

B1.1 Please tell me a little bit about the community.<sup>4</sup> How old is it? And what are two or three of the most important things to know about the history and people who live here?

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<sup>3</sup> If there is interest in a voice recording of the session, please add this to the introductory remarks, e.g., We would like your permission to record the discussion so that we can document your views and experiences accurately. If you prefer that we do not record the session, however, we will not do so.

<sup>4</sup> It will be important to clarify to the informants the geographic area covered by the Case. Is it the physical living area like the village? Is it a larger or smaller part of the village? One or more settlements or hamlets of the village?

B1.2 Over the past 10 years or so, have there been any major events that greatly affected the wellbeing and livelihoods of the community? This could be an event that made people better or worse off.

B1.2a Events that made people better off *[Please note year and share of community affected.]*:

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B1.2b Events that made people worse off *[Please note year and share of community affected. Be sure to probe about important climatic events if none are mentioned.]*:

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B1.3a How many people currently live here in the village? \_\_\_\_\_<sup>5</sup>

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<sup>5</sup> Please ensure that the estimate provided is for individual community members residing in the geographic area identified for the Case, and not for a different geographic area or for the number of households. The numerical information from the pre-coded questions will be entered in an Excel format, and care must be taken to ensure that this data is gathered in a consistent way. Where there are doubts about the intent of a question or the type of information needed in any of the GENNOVATE interview instruments, please contact Patti Petesch or a member of the GENNOVATE ExCom for clarification prior to translating the instruments and training the field team.

B1.3b And 10 years ago, how many people were living in the village? \_\_\_\_\_

B1.4 Please tell me the different ethnic and religious groups who reside in the community. *[Add caste if relevant. If ethnic and religious identities do not overlap, please either list or code separately and provide an explanatory note of the listing or key to the codes.]*

Social group	Share of local population (record share)  [B1.4a]	Language (record language)  [B1.4b]	Is this group associated with a particular livelihood(s)? (if so, record livelihood[s])  [B1.4c]	Is this group among the better-off group(s)? Yes.....1 No..... 2  [B1.4d]	Is this group among the most politically active & influential group(s)? Yes.....1 No..... 2  [B1.4e]
i.					
ii.					
iii.					
iv.					
v.					
vi.					
vii.					
viii.					

B1.5 Could you please describe the members of two or three typical households in this village, for instance, how many and what types (e.g., the different generations or extended relationships) of household members typically live together and share meals? *[If relevant, inquire about polygamy practices and document the share of polygamous households in the community.]*

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B1.6 Could you please describe local practices for sharing meals? For instance, do household members eat together? Separately? Do some eat before others? Is there an expectation of different portion size for different household members, or different types of food being appropriate (between women and men, adults and children)?

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B1.7 What kinds of households are most often headed by women in this community? *[For example, this could be women who are widows, separated, divorced, or live with husbands in matrilineal societies. The presence and mix of these different types of households can vary greatly.]*

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B1.8 What do you think are the main challenges facing local households headed by women in this community?

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B1.9 What share of households would you estimate are headed by women in the village? \_\_\_\_\_

B1.10 Can you please tell me about how assets, such as land, housing, or savings, are commonly distributed through inheritance and marriage practices in this community? Is it common for a woman here to receive and control major assets through these practices? *[Note to interviewer: please indicate whether you are referring to legal or customary practices in your notes.]*

B1.10a Inheritance practices:

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B1.10b Marriage practices *[If relevant, also probe on if and how practices differ for consensual unions.]*:

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## Module 2. Economic, labor market, agricultural, and NRM information

B2.1 Compared to 10 years ago, do you think this village is more prosperous and most people have higher levels of wellbeing and income? Or, is the village about the same as or less prosperous than 10 years ago? \_\_\_\_\_

More prosperous ..... 1  
About the same ..... 2  
Less prosperous ..... 3

B2.2 Is the nearest local market where most people in this community go to buy and sell goods, a daily or weekly market? Or some other kind of market? \_\_\_\_\_

Daily ..... 1  
Weekly ..... 2  
Other (specify below) ..... 3

B2.3 Roughly what share of households in the community would you estimate customarily sell goods in the local market that they produce themselves? \_\_\_\_\_

Almost none .....1  
1/4 .....2  
1/2 .....3  
3/4 .....4  
Almost all .....5

B2.4 On a typical market day, what share of sellers in the local market would you estimate are women?  
\_\_\_\_\_

Almost none .....1  
1/4 .....2  
1/2 .....3  
3/4 .....4  
Almost all .....5

B2.5 How big is the demand for local agricultural products in this market now? And 10 years ago?

B2.5a Now? \_\_\_\_\_ B2.5b 10 years ago? \_\_\_\_\_

Very weak .....1  
Weak .....2  
Average .....3  
Strong .....4  
Very strong .....5

B2.6 What are the major causes of these changing trends for the buyers and sellers in the local market?

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B2.7 Are there differences between how local male and female producers have been affected by these market trends? *[Also probe as relevant about gender differences in how market trends are affecting processed goods or traded goods.]*

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B2.8 To what extent do people in this community sometimes sell locally produced goods in more distant markets (e.g., where prices or buyers for some locally produced goods may be better), either individually or through farmers associations or cooperatives: \_\_\_\_\_

Rarely.....1  
Occasionally .....2  
Regularly.....3

B2.9 To what extent do traders or middlemen come from distant markets to purchase agricultural goods produced in this community: \_\_\_\_\_

Rarely.....1  
Occasionally .....2  
Regularly.....3

B2.10 How do the prices for local products compare with the main regional market? And how easy or difficult is it for men to get to that market to sell or buy goods? And for women?

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B2.11 What are the types of major infrastructure development in the community over the past five years? This could be roads, irrigation, construction of agribusiness processing plants or factories, timber and plantation development, agricultural storage facilities, mobile phones, internet or other forms of connectivity? How was it decided to invest in these ways?

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B2.12 What are the main agricultural goods produced in the community? We are interested in both commercial and subsistence goods. *[Please list in the table below, and add useful commentary directly below. If this is a farming community, ask about commercial and subsistence crops that are currently grown and the livestock reared in this community. If fish or forest products are important locally, please be sure to ask about those.]*

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B2.13 Of the different leading agricultural goods produced, which involve men as the main decision makers and which involve women?

Main locally produced agricultural goods	Main decision-making responsibility	
	<i>Men only .....1</i> <i>Women only .....2</i> <i>Joint decision making.....3</i>	
	Commercial crops/livestock <i>B2.13a</i>	Subsistence crops/livestock <i>B2.13b</i>
i.		
ii.		
iii.		
iv.		
v.		
vi.		
vii.		

B2.14 Do people here process or add value to their crops and livestock products?

B2.14a Yes \_\_\_\_\_

B2.14b. No \_\_\_\_\_

B2.15 If yes, which are the three most important processed products in this community? When were they introduced? Who is involved (men or women)? What are the main types of transformation (dairy, milling, fermentation, etc.)? And are these for home use or for commercial sales?

Product	Year introduced	Who is involved? <i>Men ..... 1 Women ....2 Both ..... 3</i>	Main type of transformation (dairy, milling, fermentation, etc.)	Mainly for sale or home use? <i>Sale ..... 1 Home use..... 2</i>

B2.16 Which is the single most important commercial agricultural good produced in the community? And what roles do local men and women presently have at different phases of its production, processing, and trade? *[This question is trying to understand men's and women's actual roles and activities irrespective of what their roles are "supposed to be" according to local norms.]*

Most important agricultural good: \_\_\_\_\_

B2.16a Men's roles in production, processing, and trade of this good:

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B2.16b Women's roles in production, processing, and trade of this good:

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B2.17. We would like to understand changing patterns for the payment of agricultural and nonagricultural labor in the community. Please complete the following:

	Daily wage now	Daily wage 10 years ago
Male agricultural worker	a.	e.
Female agricultural worker	b.	f.
Nonagricultural male worker	c.	g.
Nonagricultural female worker	d.	h.

B2.18 What share of women in the community would you estimate take jobs as farm workers on other people's farms, either for money or for goods or services, such as meals, housing, or education fees? And 10 years ago?

B2.18a Now: \_\_\_\_\_

B2.18b 10 years ago: \_\_\_\_\_

B2.19 What share of women would you estimate work for pay in all types of jobs, including not only farm work but jobs like a teacher, a shop keeper, or making handicrafts from home? Again, these jobs could be regular or irregular work that is paid with money, or perhaps with goods or services, such as meals, housing, or education fees.

B2.19a Now: \_\_\_\_\_

B2.19b 10 years ago: \_\_\_\_\_

B2.20 I am also interested in the labor contribution of men and women to household chores in this village. Generally speaking in this community, what are the unpaid labor activities that men provide for their families? *[Be sure to ask about collection of firewood and drinking water.]*

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B2.21 And what are the unpaid labor activities that women provide for their families? *[Be sure to ask about collection of firewood and drinking water.]*

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B2.22 Generally, if a woman is in charge of her own plot, home garden, or livestock, would the man of her household control the sale of her produce? Or would she? Or would this be done jointly? \_\_\_\_\_

Man controls sale .....1  
Woman controls sale .....2  
Jointly control sale .....3

*[We are just trying to get a general sense with this question. But if the informant indicates that selling decisions would vary by crop or livestock, please inquire how.]:*

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B2.23 Now I would like to move to the topic of temporary and permanent migration practices in this community. By temporary migration, I am referring to village residents who work in other rural or urban areas, or who take visits to relatives to work or to other locations to work on a plot. They could be working on their own or a family plot, or in pastoralism, hunting, gathering, or extended fishing trips, or as wage workers on plantations, logging, or mining or on construction sites or oil rigs, for example.

B2.23a Roughly what share of households would you estimate have men who migrate temporarily? \_\_\_\_\_

B2.23b Permanently? \_\_\_\_\_

B2.23c And what share of households have women who migrate temporarily? \_\_\_\_\_

B2.23d Permanently? \_\_\_\_\_

Almost none .....1  
¼ .....2  
½ .....3  
¾ .....4  
Almost all.....5

B2.24 Compared to 10 years ago, has the share of temporary migrants increased, stayed the same, or decreased?

B2.24a Men \_\_\_\_\_ B2.24b Women \_\_\_\_\_

Increased ..... 1  
Stayed the same .... 2  
Decreased ..... 3

B2.25 When is the season of scarcity (minimum food availability)? How long do these periods last?

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B2.26 In the season of scarcity, how do men cope to ensure food security? How do women cope? Describe what happens to people and farming, livestock, and natural resources during these periods?

B2.26a How men cope:

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B2.26b How women cope:

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B2.27 Now we will discuss agricultural services. Which of the following are available here in the village? If so, do men and women regularly use these services?

<b>Agricultural services</b>	<i>Both men and women use .....1</i> <i>Men only or mostly use .....2</i> <i>Women only or mostly use.....3</i> <i>Not available .....4</i>
i. Public agricultural or veterinary extension office	
ii. Regular visits to this locality by an agricultural or veterinary extension agent (public, civic, or private)	
iii. Office of a program providing credit to farmers	
iv. Regular visits by an agent who provides loans for farming or livestock	
v. Traders regularly visit to buy or contract the sale of other locally produced goods (e.g., milk, eggs, chickens, vegetables, fruits, processed products like coffee, grains, roots, etc.)	

B2.28 During the past two years, what are the five most important agricultural or natural resource management projects, farmer field schools, extension projects, or other training opportunities that have been available in the community? What is the main focus of each? How many men and women participate?

Project or training program	Focus of project or training (i.e., increase crop yields, agroforestry, etc.)  B2.28a	Participants  <i>Mostly or only men.....1</i> <i>Mostly or only women.....2</i> <i>Both.....3</i>  B2.28b
i.		
ii.		
iii.		
iv.		
v.		

B2.29 Among the households that own agricultural land, what is the average landholding size?

Size: \_\_\_\_\_ Unit: \_\_acre; \_\_hectare; \_\_square meter; \_\_\_\_\_ other (specify)

B2.30 On average, what is the size of the smallest agricultural landholdings that people have?

Size: \_\_\_\_\_ Unit: \_\_acre; \_\_hectare; \_\_square meter; \_\_\_\_\_ other (specify)

B2.31 And roughly what is the share of small landholders in the community? \_\_\_\_\_

B2.32 Generally, what is the size of the largest agricultural landholdings?

Size: \_\_\_\_\_ Unit: \_\_acre; \_\_hectare; \_\_square meter; \_\_\_\_\_ other (specify)

B2.33 And roughly what is the share of large landholders in the community? \_\_\_\_\_

B2.34 In general, for women who access land, tell me about the size and quality of their plots? And how are women involved in sharecropping or rental transactions?

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B2.35 Does this community have an irrigation or water supply system that is used for cultivating crops or for livestock or processing local products? \_\_\_\_\_

1. Yes
2. No

B2.36 [If yes]

B2.36a What share of men in the community use the irrigation scheme? \_\_\_\_\_

B2.36b And women? \_\_\_\_\_

B2.37 Does the community own any communal [RESOURCE AS LISTED IN COLUMN 1]?

Resource	Does the community own any communal [RESOURCE]?	Is the community able to determine independently the rules of access and use of its communal [RESOURCE]?	Is the communal [RESOURCE] challenged or disputed by neighboring villages?
	Yes..... 1 No..... 2  B2.37a	Yes..... 1 No..... 2  B2.37b	Yes..... 1 No..... 2  B2.37c
i. Unallocated arable land			
ii. Forest			
iii. Pasture			
iv. Water body or water shed (i.e., fishing, lakes, streams, springs): (specify) _____			
v. Other (specify) _____			

B2.38 How are men involved in decisions about and caring for these resources?

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B2.39 And how are women involved in decisions about and caring for these resources? Do they hold positions of authority in caring for local resources?

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B2.40 How have the current arrangements of caring for local resources, and especially women's role in them, changed over the past 10 years?

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### Module 3. Services and information access

B3.1 How far away is the village from where most government offices are located and where most community members have to go to process documents? \_\_\_\_\_ kilometers

B3.2 Does the village have any of the following facilities or programs today? And did it have any of these 10 years ago?

Facilities and Programs (either public, civic or private)	A. Have currently?	B. Had 10 years ago?
	Yes.....1 No.....2 B3.2a	Yes.....1 No.....2 B3.2b
i. Preschool or nursery school		
ii. Primary school		
iii. Lower secondary school		
iv. Upper secondary school		
v. Health center or clinic		
vi. Regular visits to the community by a formally qualified doctor		
vii. Church/mosque/temple		
viii. Job training or vocational programs offered in this village		
ix. A local bus line that stops in the village or within a half-hour walk of the village		
x. (Public) Police station		

B3.3 What share of school-age boys in this community attend:

B3.3a Public primary school: \_\_\_\_\_ B3.3b Public secondary school: \_\_\_\_\_

Almost none .....1  
 ¼ .....2  
 ½ .....3  
 ¾ .....4  
 Almost all .....5

B3.4 What share of school-age girls in this community attend:

B3.4a Public primary school: \_\_\_\_\_ B3.4b Public secondary school: \_\_\_\_\_

Almost none .....1  
 ¼ .....2  
 ½ .....3  
 ¾ .....4  
 Almost all .....5

Services	B3.5 What share of the community has [THE SERVICE]?
	<i>Almost none .....1</i> <i>¼ .....2</i> <i>½ .....3</i> <i>¾ .....4</i> <i>Almost all.....5</i>
i. Electricity?	
ii. Pipe-born water?	
iii. Public standpipes?	
iv. A public sewage system?	

B3.6 What are the main social assistance programs available for poor women, men, and children in this community? Identify whether government or nongovernment run.

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B3.7 Does the village have access to the following? And was this the case 10 years ago?

Yes.....1  
No.....2

Information source	Currently <i>B3.7a</i>	10 years ago <i>B3.7b</i>
i. National television station		
ii. National radio station		
iii. Local radio station		
iv. Community bulletin board		
v. Public telephones		
vi. Public place to use the internet		

B3.8a How many men in this village have cell phones? \_\_\_\_

B3.8b How many women in this village have cell phones? \_\_\_\_

Almost none .....1  
 ¼ .....2  
 ½ .....3  
 ¾ .....4  
 Almost all.....5



#### Module 4. Political, civic, and social cohesion information

B4.1 Is/was there an elected village leader?

B4.1a Currently \_\_\_\_\_

B4.1b 10 years ago \_\_\_\_\_

Yes, male ..... 1

Yes, female.....2

No..... 3

B4.2 Has there ever been a female elected official of the village during the last 10 years? \_\_\_\_\_

Yes..... 1

No..... 2

B4.3 If yes, what was her position? \_\_\_\_\_

B4.4 Is/was there a local government council in the village/neighborhood?

B4.4a Currently \_\_\_\_\_

B4.4b 10 years ago \_\_\_\_\_

Yes..... 1

No..... 2

B4.5 If so, what percent of council members are/were women?

B4.5a Currently \_\_\_\_\_ %

B4.5b 10 years ago \_\_\_\_\_ %

B4.6 Tell me a little bit about the local government here. Are your local politicians accessible to people and active in supporting the community?

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B4.7 In the past year, were there organized meetings of residents to discuss community issues? \_\_\_\_\_

Yes .....1

No ..... 2 *[If no, skip to question 4.9]*

If so, number of times such meetings were held.  [B4.7a]	What percentage of village residents attended these meetings?  [B4.7b]	What percentage of participants were women?  [B4.7c]	What percent of the active discussants at these meetings are women?  [B4.7d]

B4.8a Ten years ago, the number of community meetings was \_\_\_\_.

B4.8b Ten years ago, the number of residents participating was \_\_\_\_.

B4.8c Ten years ago, the number of women participating was \_\_\_\_.

Fewer..... 1

The same .....2

More.....3

B4.9 Do village women hold any important business or civic leadership positions (apart from local government)? If so, what roles do they play?

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B4.10 Do people generally get along in this community?

B4.10a Currently \_\_\_\_\_

B4.10b 10 years ago \_\_\_\_\_

Everybody gets along here very well .....1

Mostly people get along here but sometimes there are tensions.....2

There are a lot of tensions and mostly people stick to themselves.....3

B4.11 *[Skip if 1 is selected:]* What are/were some of the causes of the tensions? Has there ever been property damage, injuries, or deaths due to these tensions? *[Identify forms of violence, if present, and probe into whether they may be related to national political conflict or to local conflicts over land, water, other resources, or other types of disputes. Please also probe if there are specific groups that may often be causes of or victims of the tensions, such as male youths or certain ethnic groups? Also probe into whether and how women in the community may be affected by these tensions.]*

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B4.12 *[Briefly explore:]* Does this community have any tensions with other communities in this area? *[If so, please see ideas for probing above.]*

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B4.13 Now I would like to ask you about the groups or associations, networks, and organizations that are presently active in this village. These could be formally organized groups or just groups of people who get together regularly to do an activity or talk about things.

Groups or associations present in this village:	<b>Level of activity of groups</b>  <i>Not present .....0</i> <i>Low level activity ....1</i> <i>Regular activity .....2</i> <i>Highly active .....3</i>
i. Economic-based associations (for example, farming, fishing, or crafts cooperative; or trade or manufacturing group)	
ii. Finance, credit, or savings	
iii. Health-based organizations	
iv. Education organizations	
v. Political groups or associations	
vi. Religious groups or associations (church, mosque, temple, informal religious group, religious study group)	
vii. Ethnic-based groups or associations	
viii. Youth/sports groups	
ix. Other (please specify name and function)	

B4.14 What are the two most important organizations in the community and what is their purpose? Are the members of the organizations mostly men, women, or both? How does one join these groups?

Two most important community organizations	Type of group (indicate code as per list above)  [4.14a]	Gender composition of group Women and men.....1 Men only or mostly ....2 Women only/mostly ...3  [4.14b]	Received support from outside the community? Yes .....1 No.....2  [4.14c]	Type of membership Voluntary choice .....1 Based on religion/ethnicity/caste....2 Required to join.....3 Invited.....4 Other (specify below) .....5  [4.14d]
#1.				
#2.				

B4.15 What two community groups are the most important for women in this community? *[If same group as above, simply indicate “same as #1” or “same as #2” in first column and skip rest of columns.]*

Two most important community organizations for women	Type of group (indicate code as per list above) [4.15a]	Gender composition of group Women and men.....1 Men only or mostly ....2 Women only/mostly ...3 [4.15b]	Received support from outside the community? Yes .....1 No.....2 [B4.15c]	Type of membership Voluntary choice .....1 Based on religion/ethnicity/caste....2 Required to join.....3 Invited.....4 Other (specify below) .....5 [4.15d]
#1.				
#2.				

*Thank you for taking the time to complete these questions. Your answers are very important in informing our study of gender norms and men’s and women’s capacities for innovation in agriculture and natural resource management.*

## Activity C. FGD: Ladder of Life

### Purpose

The focus group explores men's and women's perceptions of and experiences with:

- Normative framework shaping gender roles in households and agriculture/NRM
- Labor market trends and gender dimensions
- Factors enabling and constraining innovation, and their gender dimensions
- The culture of inequality in the village, factors shaping socio-economic mobility and poverty trends—and their gender dimensions
- Intimate partner violence

### Selection of informants

In each community, the data collection should be completed with two focus groups:

- A group of 8 to 10 adult men (ages 30 to 55) in the poor socio-economic group of their community
- A group of 8 to 10 adult women (ages 30 to 55) in the poor socio-economic group of their community

At least six of the focus group members should themselves be directly engaged in livelihood activities—either in producing, collecting, processing, or trading goods—which are significantly tied to agriculture or natural resource management. This should be the case whether men or women.

Depending on the Case, it may be preferable to introduce more specific recruitment criteria for the FGD members. For instance, four or five FGD members could be specific types of producers, and/or specifications could be made about a certain number of wage workers, lease holders, land owners, and so forth. Alternatively, a mix could be specified of agricultural producers, processors, or traders. However, please retain the recruitment criteria for gender and socio-economic status while refining the criteria to ensure it is relevant for poor community members in that social context. Also, some flexibility will need to be given to the field team to implement detailed selection criteria as fully as feasible in the time that they have.

The sampling frame for this focus group is designed to learn from the experiences of men and women engaged in agricultural activities *and* among the “poor” socio-economic groups of the community. There can be a range of poverty groups in a locality that may include individuals who are extremely poor, and the team will need to take special measures to reach out to one or two very poor and excluded individuals so that their voices and experiences can also inform the data collection. Of particular importance, the community profile asks about the presence and types of female-headed households that are present in the research village, and the team should draw on that information to inform the selection of these types of women for the women's FGD as relevant for that social context. If only a small share of households are headed by women, then one or two of these types of women should be selected. If your field coordinator is from the local area, they are likely to know markers for identifying different types of poor members of the community, or know how to inquire respectfully about focus group members who would fit the criteria identified. In other words, ideally the participants for this FGD would not be from among the middle-

class or best-off households of the locality, and some care needs to be taken to ensure this as well as to include different types of poor women and men. Please be sensitive to difficulties that can arise for inclusive and rich interactions during the focus group if there are strong socio-economic or other major status differences among the focus group members.

Due to limited resources, the comparative sampling design for the different focus groups stresses gender and socio-economic differences, which may present difficulties in communities with important ethnic, religious, or other differences. Ideally such communities would be included in the sample where there are resources for enlarging the data collection to cover the different social groups. For instance, where there are tensions, a larger field team with members from the different ethnic groups may be necessary to reduce suspicions and perhaps cover different language and other needs. If such resources are not available, however, then additional planning will be needed to tailor the study in ways that are sensitive to these differences.

### Preparations for the focus group

The questions in bold indicate areas of the interview instrument that need to be tailored to the local context and to address specific agricultural or NRM issues of importance to your Case. The changes to the interview instrument should be made in track mode and cleared by the PI prior to training the field team. To ensure comparability across the cases, please do not remove or change the questions that are not in bold without clearing the changes with Patti Petesch or members of the ExCom. When refining the instrument, please exercise caution so that the question/variable numbers for the global questions are not changed.

### Time management and strategic issues for probing

As with the other focus groups, facilitators and notetakers require practice, practice, practice to elicit and document this data in a way that allows for rich reflections and interactions but also *completion* of the tool in a timely manner. Some teams may prefer to organize two sessions to complete the focus group. The team might break up the two modules with a meal in between. Alternatively, during the Uganda training, the team ran the two modules on consecutive days and all of the FGD members returned for the second session. Teams are also free to reverse the order of the two modules, and conduct Module 2 with the ladder activity first if they prefer. However, it can be helpful to build up some rapport with the FGD prior to building the Ladder of Life.

It is important that every question be asked almost as if this instrument were a closed-ended survey—staying very close to the language and sequencing of the questions in the interview instrument. It is fine to substitute local terms that are almost identical to the “global” terms in the instrument. However, facilitators need to be strategic about when and how to probe beyond the many questions already in the instrument.

The study is centrally concerned with two issues.

First, please be sure to probe deeply when discussion group members mention their involvement (or lack thereof) with **important new agricultural and NRM practices**, their own experiences with learning about, using, and adapting them, and the costs/benefits. As also discussed in the interview instrument, we’re

interested in people's own innovations as well as innovations that are introduced from outside the community. We want to learn about both hardware changes (e.g., new equipment or varieties), software changes (new knowledge and new relationships among people, including local organizing); and how gender norms affect access to and use of the innovation, and how the innovation may change gender norms.

Second, please probe into people's references to **gender norms and power relations**. Another way to think about this is what the rules for men's and women's behaviors in that social context mean for how household members interact and negotiate with one another over important decisions in their lives. Men often negotiate their interests from an advantaged position, or they may not see a need to consult or negotiate at all. Women, too, may elect to assume (rather than to consult on or negotiate with family members), for instance, their control of a productive resource such as earnings from their own home gardens; however, gender norms governing resource access and control and women's lower position in the gender hierarchy make these types of (hidden) tactics riskier for women than for men in many social contexts around the world. Field teams need to be on the lookout for opportunities during the data collection that can foment rich reflections by community members on how their local norms and gender relations in their households and community shape and are shaped by gender differences in knowledge, self-confidence, access to and control of productive assets, physical mobility, access to and benefits/costs from innovations, networks, and so forth.

The notetaker should feel free to step in and support the facilitator by introducing questions on these key concerns for the study. The notetaker should also flag interview questions that may have been skipped inadvertently. Beyond these topic areas, facilitators will need to be cautious about probing and asking more detailed follow-up questions. Time is valuable. Your focus group members will become irritated if the discussion becomes very prolonged.

### *Materials needed during fieldwork*

The focus groups should be conducted in a quiet place either in the evenings or on weekends to accommodate the schedule of most workers. It may be useful to arrange daycare services for the women's focus group. Please be sure to have the following materials:

- ✓ Roster and interview instrument
- ✓ Small slips of paper (Post-its work great) and pencils for each of the respondents, and a cup or box to deposit their papers
- ✓ Markers and a flipchart with large pieces of paper
- ✓ 20 seeds, nuts, or similar small items for sorting on the ladder
- ✓ Tape
- ✓ Blank white paper
- ✓ Nametags suggested (masking tape can work for this)
- ✓ Voice recorder (optional)

A valuable time saver is to have the local field coordinator complete the roster of FGD participants as he or she is recruiting the FGD participants. Alternatively the roster can be filled in prior to or at the end of FGDs.





### *General description of Ladder of Life activity*

This section is designed to familiarize the facilitators and notetakers with the visual techniques required for constructing the Ladder of Life. It is important to understand the meaning and purpose of each of the questions and visuals. The team needs to practice this focus group thoroughly prior to field work. The Ladder of Life activity is challenging to facilitate because it covers several complex topics and requires working with different visuals to support the reflection and analysis by different focus group members.

The ladder activity engages focus group members in creating a figurative Ladder of Life for their community which captures different levels of household wellbeing and the reasons for movement up and down the steps of the ladder. Think of the ladder as a kind of rough and ready roadmap for the different socio-economic groups and for the different markers of inequality and power differences within a community.

The ladder activity begins by asking focus groups to describe the top and bottom steps of the ladder. Please be careful to use consistent terms across the focus groups, and refer to the characteristics of the “best-off households” and the “worst-off households.” During fieldwork in one country, the research team introduced the top and bottom steps as the richest (using terms like millionaires) and the poorest respectively, instead of introducing them as the “best off” and the “worst off.” This generated responses with mainly economic dimensions. With sensitive and open-ended facilitation, people usually come up with a wellbeing analysis rather than a wealth ranking analysis. Wellbeing can include criteria related to wealth, but it is a much broader description of the quality of life. Be open to characteristics that go beyond material assets, including social, political, and religious characteristics. This is important, so let there be time for discussion and probing. People often add criteria like “happy,” “unhappy,” “ability to provide a good upbringing for children,” “trustworthy,” “respect,” etc., when they carry out a wellbeing analysis. This study is exploring a wider set of dimensions that influence and cause changes in wellbeing, and it is important that field teams do not vary the terms when introducing the top and bottom steps of the ladder, and also that sufficient time is provided for reflection and for the multiple dimensions of wellbeing to emerge. An illustration of a ladder from the World Bank’s *Moving Out of Poverty* study is provided below. People may talk about themselves when describing the characteristics of different steps on the Ladder of Life, and that is fine. This description can be used, but do not reference particular household names.

Once the characteristics of the two categories at the top and bottom have been defined, the respondents should be asked to identify the category or step just above the bottom step, and the key features of households at that step. Then identify any additional steps or categories—and their characteristics—as needed to capture all of the different socio-economic groups that are present in the community (e.g., until the top step is reached). Typically focus groups create ladders with three to six steps.

As the discussion unfolds, support the focus group by providing detailed notes for each step on a Ladder of Life diagram. The facilitator should summarize on the ladder visual the particular traits of each of the different steps, and the notetaker should be documenting the more detailed observations about each step by the focus group members. One technique is for the facilitator to note each step on separate sheet of paper and then place the step on the floor, and then, step-by-step, add as many sheets as needed for building the entire ladder right in front of the FGD participants.

Please be careful to document the focus group members' own categories and terms for each step. Don't impose your own ideas or terms! To ensure consistency in the documentation and analysis, please always refer to the bottom step as "step 1."

Once the ladder is constructed, the FGD will be asked to place a community poverty line. Please be sure to mark this clearly on the ladder. The FGD will next be asked to sort on their ladder 20 seeds that represent the entire population of their community now. The sorting is then repeated of the 20 seeds to represent the distribution of the community's population 10 years ago.

We are especially interested in people's perceptions of similarities and differences between men and women in mobility factors and processes. Please probe deeply into the factors that cause movement and stagnation at the different steps, and allow time for reflection on how men and women may play the same or different roles in helping their households to move up or to cope when households are struggling and perhaps falling down the ladder.

In sum, the two Ladder of Life focus groups with poor women and with poor men are designed to anchor and facilitate a gender-differentiated and contextual exploration of poverty dynamics in that community. The issues being explored include:

- the characteristics of different socioeconomic groups in the community;
- the factors that cause movement up, stagnation, movement down, and resilience;
- men's and women's roles and normative influences on mobility processes; and
- general trends in wellbeing and socio-economic mobility in the community.

## Ladder of Life, focus group of men, Janna Village, Bangladesh

6	<b>Large businessmen/Chakuria/Matbor</b>	This category consists of large businessmen ( <i>boro-babshai</i> ) who cultivate two crops and are normally wholesalers of grocery items. They do not face any serious problem if they incur a loss in business. Their children are post graduates and officers and their good political connections help them obtain export-import licenses. In addition, this category also includes the <i>chakurias</i> (those employed in NGO/govt./pvt. service). They earn a monthly ( <i>badha taka</i> ) income, eat good food, do heavy shopping and save money in a bank. Finally, this category includes the <i>matbors</i> who sit on the <i>salish</i> (arbitration). “They may not be rich, but enjoy much honor, are intelligent and God gifted ( <i>Allah-r-dan</i> ). Even millionaires come to them for justice.”
5	<b>Farm family</b>	Most people in this category inherit land and hire labor for cultivation. They also engage in business, by selling and lending rice to the poor. They produce sufficient food grain that is enough for the next two to three years, have tractors for land tilling and have brick-built houses. Children of people from this category are doing good jobs and sending remittances from abroad, which enables them to move up.
4	<b>Chotto Babshai (small businessmen)</b>	They are involved in raw materials business, do less physical work, and can run their families smoothly by making proper use of credit. They have tin-roofed houses and some also have tube-wells. This category includes people who are “intelligent, who know how and where to invest, who do not sell any good unpaid, and who have mutual understanding with wholesalers and <i>mahajons</i> (creditors).” Stability in market price is important for people to move up from this category. Those who failed to invest money properly and sold goods unpaid have fallen down to the <i>din-mojoor</i> level.
3	<b>Chotto Krishok/ Chakure (small farmer/ factory worker)</b>	People in this category have more than 50 to 70 units of cultivable land and cultivate vegetables three times round the year. They also have one to two cows, sell milk, and get their children educated. These people “move up day by day”—normally those who do not have any prejudice of doing any kind of work, who also engage in livestock rearing, whose women work in factories, and whose children manage to get a job abroad. Says Abdur Rahman, “First of all you need willingness ( <i>aggroho</i> ) to do work, then you have to be laborious ( <i>porisrami</i> ) and you have to be trustworthy ( <i>bis-sahsi</i> ) among community members for getting any kind of help. Only then it is possible to make progress ( <i>unniti</i> ).”
2	<b>Garib/ Din-mojoor (poor/ day laborer)</b>	They have no cultivable land and usually pull rickshaws and sell labor. They live hand to mouth ( <i>adha pet khai</i> ) and borrow money during the monsoons due to joblessness. They have high rates of illiteracy, are less aware, and have big families due to lack of knowledge on family planning. Their voices are not valued in the <i>salish</i> (local council). Those who are laborious, who are willing to work hard, and have honesty and good acceptance in the market can move up. Those who have more than one income source or more than one income earner in the family can move up. However, for most it is tough. <i>Din-mojoor</i> Joyal says, “The number of my family members is five and I earn 40 to 50 taka per day. I just run my family <i>thele-thule</i> (in a miserable manner). I only save 10 taka per day for household consumption during my sickness. It is too tough to move up.”
1	<b>Vikkuk/ Protibandhi (beggars/ disabled)</b>	They are the physically disabled, completely dependent on others’ donation. They are mostly landless and have houses with leaked roofs, made of straw, reed, and plastic paper. This category also consists of women—widows and those abandoned and divorced, with no children to support them. Most are unable to work due to age and chronic illness. Movement from this level is tough. One participant says, “Begging is a kind of addiction. If anyone gets addicted to begging, it is hard to leave even when they are a little able to move up.”

Community Poverty Line

Note. Moving Out of Poverty dataset, World Bank (2005/6)

## Roster and interview: Ladder of Life focus group (activity C)

A completed roster should be the first page of the documentation for the focus group.

Focus Group: Activity C: Ladder of Life									
Male ____ Female ____									
Name of the community: _____									
Community pseudonym: _____									
Facilitator: _____ Notetaker : _____									
Date: _____									
FGD members (family name not needed)	Age	Ethno-religious group*	Relationship to household head	Marital status**	Level of education completed***	# of children	# of household members	Primary occupation	Secondary occupation
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									

\* Please create a coding list for the **ethnic, religious, and/or caste groups** of relevance to the Case. In some contexts, a community member may need to be identified by more than one code (e.g., where ethnicity and religion do not overlap consistently). This column can be removed if the community is very homogeneous and the social group composition is specified in the community profile.

\*\*In the women's roster, if polygamy is practiced in the community, it may be useful to specify the order of marriage for wives in polygamous households.

\*\*\*Please create a coding list for primary, secondary, and tertiary **levels of education** in your country.

**[Read:] Thank you for joining us today. We are going to be discussing men's and women's different roles and livelihoods in the village and how they have changed over the years. We will also be looking at processes by which men and women here have found ways to move out of poverty or have fallen back into poverty. This focus group is part of a large study being conducted with separate groups of women and men here in the community and elsewhere in the country, and in many other parts of the world.**

**Your participation today is voluntary and confidential. We will not be using your names or the name of this community in any publication with the information that we collect today. We request that you respect the confidentiality of the others participating today by not repeating outside this room anything that was said during the discussion. We hope that each of you will feel free to express your opinions fully and share your own experiences with the topics that we will be discussing. You are of course each free not to answer any question and to leave the discussion whenever you like. However, we very much hope you remain for the entire discussion and enjoy reflecting on many of our questions. Your views and experiences are very important to us. We cannot promise that you and your community will benefit directly from this study, but the information that we are collecting will help to improve agricultural research and development activities in your country and in other countries.<sup>6</sup>**

**Are there any questions before we begin?**

## Module 1: Gender norms, labor market trends, and innovation practices (1.5 hours)

C.1 I'd like to open our discussion with the topic of a good husband and a good wife. For a [sex of FGD] to be seen as a good [husband/wife] in this community what is [he/she] like? What are [his/her] main responsibilities and how does [he/she] spend [his/her] day?<sup>7</sup>

C.2 And for a [opposite sex of FGD] to be seen as a good [wife/husband] in this community what is [she/he] like? What are [her/his] main responsibilities and how does [she/he] spend [her/his] day?

*[If a community with polygamy, could also ask: What is a good co-wife? But even in communities where polygamy is not formally recognized and practiced, men may have multiple families and it may be possible to probe into what this means in relation to a good husband or a good wife. However, please be cautious not to bias the discussion in this direction if this issue does not emerge unprompted.]*

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<sup>6</sup> If there is interest in a voice recording of the session, please add this to the introductory remarks: We would like your permission to record the discussion so that we can document your views and experiences accurately. If you prefer that we do not record the session, however, we will not do so.

<sup>7</sup> Support the focus group to develop a multidimensional list of characteristics without probing into specific directions. As members of the focus group provide responses, ask them to explain their responses and summarize them on a chart labeled "A good husband" (if a man's FGD) or "A good wife" (if a woman's FGD).

A good husband	A good wife

*[[Only add second column of the table after the relevant question is asked.]]*

C.3 What qualities make a [sex of FGD] a good **farmer**?<sup>8</sup> *[Add these traits to the flipchart below.]*

C.4 What qualities make a [opposite sex of FGD] a good **farmer**?

A man who is a good farmer	A woman who is a good farmer

C.5 In your own words, please share what you understand by equality between a man and a woman?  
*[Pause for a few responses.] Is this kind of equality a good or bad thing?*

C.6 Now I would like to change the topic, and learn more about local opportunities for earning a living in the community, and how these have been changing over the last 10 years.<sup>9</sup> This can be work that pays in money, or with goods and services such as meals or housing. It can also be regular or irregular work that you do yourself or for someone else. Are there less, the same, or more work opportunities today for the [sex of the FGD] of the community compared to a decade ago?<sup>10</sup> *[Please ask FGD members to raise their hands when their option is called. The notetaker should record the responses.]*

<sup>8</sup> The term “farmer” can be modified to capture the most important agricultural or NRM roles in the local context.

<sup>9</sup> Please assist people’s recall by naming an important national or local event that occurred during or around 2004.

<sup>10</sup> Underlines have been used to indicate “closed-ended” questions in the FGDs. These questions, as well as the figures and tables, require advance preparation on flipchart sheets (see annex 2). These should be done in large

1. Less
2. The same
3. More

C.6a Why? *[Probe into reasons for the trends identified.]*

C.7 I would next like to understand more about different types of work that [sex of FGD] do to earn a living in the community, either in their own home or on their land, or outside of the home or their land. Again, this can be regular or irregular work that is paid with money or with goods and services, like meals or crops or education fees. It can also include exchange of services between households. *[Please do not spend long here. Just get the main local job opportunities.]*

Local jobs for [sex of FGD]	
On their family property	Off their family property

C.8 And what are common types of unpaid work that [sex of FGD] do in the community, on or off their family home/land?

C.9 What has changed compared to 10 years ago in the types of jobs available for the local [sex of FGD]? Have some jobs disappeared that used to exist 10 years ago? Or were some of these jobs on the list not available 10 years ago? If so, which ones and why?

C.10 Can people access credit here? [If so] Are local men or women using credit any differently now than 10 years ago? [If so] What has changed and why?

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enough font to be easily readable by the whole FGD. Where literacy is limited, pictures should be added with the text, and the accompanying narrative read out to the FGD at least two or three times. Right after the FGD, all flipcharts must be documented in field notes, and the responses to closed-ended questions must be tabulated and also recorded in the field notes and later in the Excel format that will be provided for all of the closed-ended questions. An appendix contains the full set of flipcharts which the field team needs to prepare in advance for each FGD.



C.11 Now I'm interested in whether certain types of women in the village are more likely to work for pay (*which includes in-kind*), whether the work is on or off family home/land. And 10 years ago?

*[Please ask FGD members to raise their hands when their option is called. The notetaker should record the majority response. It will be faster to ask about "now" and "10 years ago" for each type of woman in turn. Please be sure to facilitate discussion around the reasons for the ratings for each type of woman.]*

#### Local women's likelihood of working for pay on or off family property

Rare (0 - 2 women in 10) ..... 1  
Common (3 or more women 10) .....2

	Now	10 years ago
A young single woman		
A young married woman*		
An older married woman		
A widow		

*[\*This applies to both formal marriages and consensual unions.]*

C.12 What do people in the village generally think of women with children who work for pay outside their homes in a local job? *[Also probe on views of women who migrate temporarily to work in jobs far away from the community.]*

C.13 Now I'd like to focus on new local practices surrounding agriculture and managing natural resources like the forests, water, and soils which surround this village. Thinking back over the past five<sup>11</sup> years or so, what new cropping or livestock practices or ways of managing local natural resources or organizing agricultural activities have people here tried out or experimented with?

*[Please tailor this question to the local context and take careful note of the period of recall used if different from the five years suggested. The process of developing, testing, and using new agricultural and NRM practices are of central concern to the study. Be sure to take the time necessary to facilitate a rich and inclusive discussion of these new practices. If new varieties are mentioned, for instance, ask how they differ from other varieties, whether they are widely used, about their advantages and disadvantages . . . If the discussion does not flow, it may be useful to prompt about "hardware" (e.g., new seed varieties, animal races, machines, etc.) and "software" changes (new learning,*

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<sup>11</sup> In general we recommend a five-year period of observation for this question; however, the time period for inquiring about new agricultural or NRM activities can vary from three to 10 years as appropriate for the community. Three years could make sense for a community with numerous interventions, while five or seven years may be more appropriate for a community with relatively few interventions.

relationships, or organizing), as well as their gender dimensions. Any reference about a change in agricultural activities opens the door for this kind of probing.]

New agricultural or NRM practices	Most important for the [sex of the FGD] of the community (top 2)	Most important for the [opposite sex of FGD] of the community (top 2)

[Please add the second and third columns step-by-step after asking the relevant questions below.]

**C.14** Which of these new agricultural practices have been the most important for the [sex of FGD] in the community? Why important? And which have been most important for the [opposite sex of FGD]? Why? [Please rank the top 2 in order of importance for each sex, and be sure to get explanations for the ratings.]

**C.15** Was [THE NUMBER ONE RANKED NEW PRACTICE FOR THE SEX OF THE FGD] rapidly adopted by local people, or were there any problems with its uptake? [If so] Why? [Pause for responses.] What do you think about the time and labor needs it requires?

**C.16** Now we're going to explore in greater detail [THE NEW PRACTICE]. Tell me about who were the first people to learn about and try out this new practice in the village. [Probe also for the sex of the early adopters.]

[For this question and the ones that follow on [THE NEW PRACTICE], either probe into the innovations or other information of interest to the CRP sponsoring the case OR explore the number one ranked innovation in the table above for the sex of the FGD. The questions below focus on software dimensions of the innovation, and these will need to be tailored to the local context and innovation. While probing, please also keep in mind hardware changes and changes in gender roles and relations associated with the new practice.]

**C.16a** What different places can a [sex of FGD] from this village turn to for information about [THE NEW PRACTICE]?

**C.16b** Have any local men or women tried out new ways to make [THE NEW PRACTICE] work better here? [If so] Please tell me about this. *[Probe very deeply on this.]*

**C.16c.** Are there any formal or informal groups of people who are working together on [THE NEW PRACTICE]? If so, tell me about the group and its members and activities. *[Also probe deeply on this, including whether these networks are mainly men or women or both.]*

**C.17** Now I would like to set aside this new practice and again discuss agricultural practices here in the village more generally. Are [sex of FGD] sometimes unable to plant some or all of their crops at the best time for planting? [If so] Why? *[Pause.]* What is done in these situations?

**C.18** How do [sex of FGD] here generally decide whether to use improved varieties? *[Pause for responses.]* How do [sex of FGD] decide to use clean, high quality planting material (of whatever varieties) on a plot.<sup>12</sup> *[Pause for responses.]* And how do [sex of FGD] decide about whether to use chemical fertilizer?<sup>13</sup>

**C.19** Do women usually consult when deciding whether and how much fertilizer to use? [If so] Who do they consult? *[Probe on whether they consult with their husbands if this does not emerge.]* Do men consult when making this decision? [If so] Who? *[Probe on whether they consult with their wives if this does not emerge.]*

## Module 2. Ladder of Life (1.5 hours)

*[Read:]* With the next set of questions, we will be discussing the different types of people who live in your village, and introducing an activity called the Ladder of Life. This activity is designed to provide a general picture of the different wellbeing groups that live in the village. We will also explore how and why some individuals and households here are able to get ahead—and also how and why people sometimes struggle and fall back.

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<sup>12</sup> Ask this depending on the crop context.

<sup>13</sup> All of the questions here refer to chemical fertilizer.

C.20 First I would like you to tell me about local people at the top step. How would you describe the men and women who are the best off of the village? How do they live? How can you tell that a person or household is the best off?

*[Please be sure to discuss the boundaries of the village or hamlet for this activity if there is any uncertainty about the population group that will be captured by the ladder. The traits elicited by this activity should be characteristic of local people (e.g., if a focus group member relates how the best off have their own airplanes, then inquire openly whether there are men and women of their village with their own airplanes). If necessary, please remind the focus group to consider just the traits and experiences of people who actually live in the village presently. At this early stage in the ladder exercise, it is preferable not to introduce prompts that may bias this discussion in particular directions. The objective is to first learn about the markers of status that are of local importance. But if characteristics of the step are not flowing freely from the group, perhaps inquire how people on this step would be living, the types of homes and other property they have, their level of self-confidence, ways they earn a living, their education, the types of relationships they have with family members and others in the community, the different places they go, and so forth. Additional characteristics will emerge from later discussions, and these should be added to the relevant steps throughout the exercise.]*

C.21 Next, we will move all the way down to the very bottom step, which we'll call step 1. How would you describe the people here who live at the bottom—or the worst off in the community? What is a person's life like who is on the bottom step or step 1?

C.22 Let's move on. What about people who are on the step just above the people who are at the bottom? How would you describe individuals and households here at step 2?

C.23 Now, let's move up from step 2. Does this community have a step between step 2 and the highest step? [If so] How would people living on step 3 be described? *[Keep inquiring about additional steps until the best off on the top step is reached. Once the ladder visual is complete, number each of the steps so that step 1 is the bottom step or worst off. Numbering the steps will make the following discussion easier.]*

C.24 Okay, now I would like you to recall the community 10 years ago. Would we need to add a new step to the top or bottom? Or would we need to remove a step? *[If a new step is required, please add the step and document the characteristics. Do not change the traits of any of the existing steps; merely note the differences in the earlier period on the flipchart and in the notes. If another step at the bottom is added for 10 years ago, please label this step 1, and relabel the other steps above it step 2, 3, 4 and so forth. **The bottom step should always be step 1** so as not to confuse the group or the comparative analysis later. Also, please do not create a separate ladder for 10 years ago.]*

C.25 What is the step or category of the ladder where people in this village are no longer considered poor today? *[Please note this on the ladder by drawing a line and labeling it as the “community poverty line.”]*

C.26 Next, let’s get a rough sense of where people in this village fall on the ladder. To make this easier, let’s say that these 20 seeds represent all of the households in the community. Let’s begin with the step where the most households would be—which step is that and what share of the 20 seeds should we place there to represent the households on that step in the community?<sup>14</sup> *[Continue until all of the seeds are sorted for the present period.]*

C.27 What share of the 20 seeds would you place on each step to represent the households of this community 10 years ago?

C.27i What are the reasons for the change [or lack of change] in poverty levels in your village? *[When the sorting is completed, please be sure to ask the members of the FGD to explain the reasons for the trends they identified—e.g., rising, no change, or declining levels of local poverty on their ladder. It’s fine if they repeat information provided earlier in the focus group as this repetition will provide a useful cross-check.]*

Steps	Distribution today	Distribution 10 years ago
4		
3		
2		
1		
<b>Total</b>	20	20

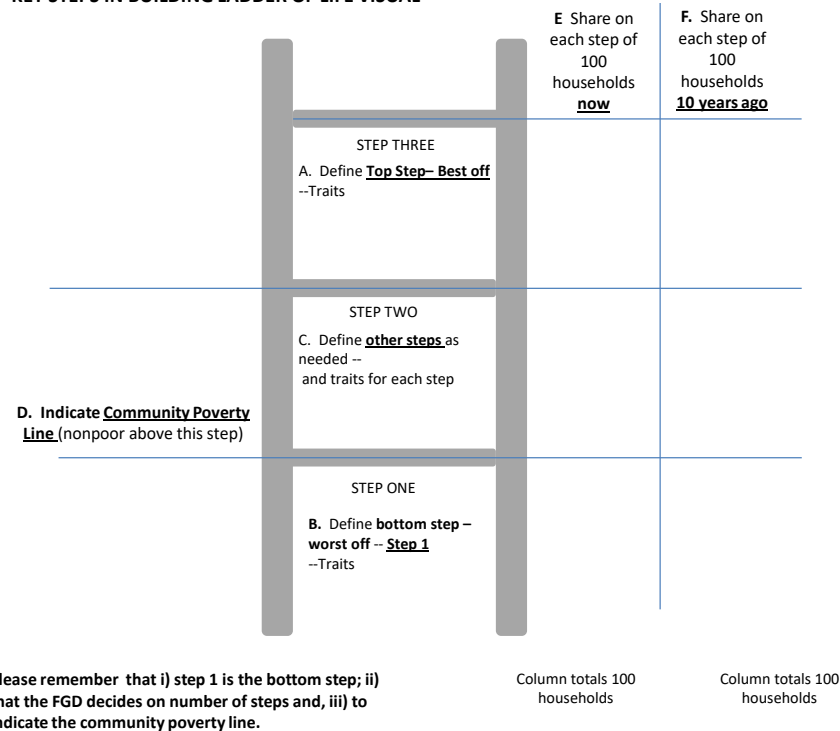
*(Only add rows needed to capture all the steps; and add final column after asking C.27.)*

*[The number of steps and the distributions of households are determined by consensus among the focus group members. If one of the FGD members sorts the seeds, the facilitator needs to guide a careful discussion on whether there is agreement on the distribution. Please do not show any illustrations of ladders that are not created by the group. Also be sure to recreate the ladder visual, including what the facilitator noted as the traits, in addition to the notes taken by the notetaker.]*

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<sup>14</sup> There are many possibilities for managing this sorting activity. The facilitator can sort the seeds by first asking which step is the most populous and then the share that belongs there; and then identify the next most populous step and the share that belongs there, and so forth. Another way to do this is to invite a volunteer from the FGD to distribute the 20 seeds on the ladder and then ask for other members of the FGD whether they agree on the distribution or would like to propose changes. Keep inviting comments on the distribution of the seeds until the group has reached a consensus.

# KEY STEPS IN BUILDING LADDER OF LIFE VISUAL



[This visual is provided as a reminder of the main steps required for building the ladder.]

C.28 Now I would like to get a better picture of each step. What types of agricultural tools and other resources would a [sex of FGD] have or use on step 1? And what types of agricultural knowledge would they have? *[Repeat the questions on resources and knowledge for each of the steps below the poverty line and for the step just above the poverty line.]*

C.29 What kinds of individuals, groups, or institutions could a [sex of FGD] on step 1 turn to for advice and support for their agricultural activities? *[Repeat the question for each of the steps below the poverty line and for the step just above the poverty line.]*

C.30 Now let's return to the topic of new agricultural practices a little bit. How might a [sex of FGD] on step 1 use [the leading new agricultural practice for the sex of the FGD in the table above OR the innovation of interest to the sponsoring CRP]? *[Repeat this question for each ladder step.]*

### ***Factors that Cause Movement Up, Down, and Stagnation***

**[Read:] Now we're going to focus on how individuals and their households are able to move out of poverty. For this discussion, we are going to look separately at what poor men and poor women have been able to do in this village to climb the ladder and improve the wellbeing of their households.**

- C.31 How have the men from this community moved their household from below to above the community poverty line? *[If there are strong differences in the ladder steps below the poverty line, it may be useful for the FGD to consider separately how men climb up from each of the steps below the poverty line. But please be sure in the notes to indicate the factors related to climbing up from step 1 to 2, or from step 2 to 3, and so forth.]*
- C.32 How have women from this community moved their households from below to above the community poverty line? *[Again, it may be useful to consider how women climb up each of the steps below the poverty line; and please specify this clearly in the notes.]*
- C.33 Now let's talk about households below the poverty line that have not been able to move up the ladder. What are some reasons why a man becomes trapped at these steps and cannot find a way up and out of poverty?
- C.34 And a woman? What are some reasons why a woman remains trapped in poverty in your village?
- C.35 Next, let's focus on how households that have fallen from above to below the poverty line. What factors have led to men and their households falling into poverty?
- C.36 And women? What factors have led to women and their households falling down into poverty?
- C.37 In this community, where can people turn, or what can they do, so they are better able to avoid falling down the ladder in times of hardship?

*[Some probing may be necessary to elicit a rich response, and be sure to probe into whether there are gender differences in access to/use of such resources. Help during hard times may (or may not) be available from family or relatives, moneylenders, social programs, employers, community organizations, remittances, savings, insurance, other types of assets, and so forth. Community institutions may also be important, including patronage and religious charity.]*

- C.38 In what ways does a woman in this village support her husband's efforts to get ahead? And in what ways does a man support his wife's efforts to get ahead? *[If community with polygamy, could also ask: In what ways do co-wives and their husbands support one another's initiatives to get ahead?]*
- C.39 In what ways do couples in this village sometimes make it harder for one another's efforts to get ahead? *[If community with polygamy, could also ask: In what ways do co-wives or their husbands sometimes make it harder for one another to get ahead?]*
- C.40 Now I'd like to return to the topic that we began with—our good wife and our good husband. *[Repeat a few of their traits mentioned by the FGD members.]* I would like you to reflect on what happens when a wife cannot be a good wife or a husband cannot be a good husband. As you know, hitting and beating and other forms of violence against women has become an issue of strong public concern and attention for many communities and nations all over the world.<sup>15</sup> And I'm interested in learning whether this is a concern in this community. First I'd like to ask you to vote privately on two brief questions about this topic, and then we will conclude the focus group with some discussion about your views. Taking into account the experiences of this community, to what extent have local women been hit or beaten in their households over the past year? *[Please ask the group to provide individual ratings in private and then collect and post the responses.]*

	Over the past year	During 2004
1. <b><i>Almost never happens here</i></b> (0 women in 10)		
2. <b><i>Occasionally happens here</i></b> (1 to 2 women in 10)		
3. <b><i>Regularly happens here</i></b> (3 women in 10)		
4. <b><i>Frequently happens here</i></b> (4 or more women in 10)		

*[Please do not create the final column until the next question is asked.]*

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<sup>15</sup> Teams are free to transition into this topic in ways that are more appropriate for their community. An alternative way to encourage discussion could be to mention a recent local news story about a case of domestic violence. Or you could bring up a local saying about the topic. In Arabic, for example, there is the saying "darb il habeeb zbeeb," meaning your lovers' beating is like a raisin, as in something good; and you might ask: Why do people say that here? Does it happen in this community? And so forth. But if there is silence and the topic appears to be sensitive, it is fine to skip to the final question for the FGD. Field teams are also free to explore violence against men if this is an important concern in the local context. Although a sensitive topic, in the nearly 200 adult focus group discussions conducted in 20 countries for the World Bank's *On Norms and Agency* study, the large majority of FGDs discussed problems of gender violence freely and in some detail. We are not interested in names, but rather general views about the prevalence and whether it is seen to be a problem.



- C.41 Now I would like you to recall 10 years ago, and conduct the same rating one more time. *[Again the ratings should be done in private.]* There seems to be *[an upward, flat, or downward]* trend. Would any of you like to discuss reasons behind the trend?

*[If this is a community with polygamy, could also ask: Does being part of a polygamous household affect a women's chance of experiencing violence?]*

- C.42 *[If ratings are reported above 1, please ask:]* Does this type of violence have any consequences for the community? If so, what kinds?

- C.43 I'd like to conclude the focus group by asking you to think about the future. What changes would you like to see in the village that would make the biggest difference in the lives of your daughters? And your sons?

*Thank you for being so generous with your time today and for sharing your views and experiences.*

## Activity D. FGD: Capacities for Innovation

### Purpose

The focus group will explore community members' perceptions of and experiences with:

- Agency over strategic life decisions
- Enabling and constraining factors for agricultural and NRM innovation, and their gender dimensions
- Gender norms surrounding household bargaining over housework and care roles, livelihood roles, access to networks, and control of productive assets
- Opportunities for and barriers to agricultural entrepreneurship, and their gender dimensions
- Social cohesion and social capital, and their gender dimensions

### Selection of informants

In each community, the data collection should be completed with two focus groups:

- A group of 8 to 10 adult men (ages 25 to 55) in the middle socio-economic group of their community.
- A group of 8 to 10 adult women (ages 25 to 55) in the middle socio-economic group of their community.

At least six of the focus group members should themselves be directly engaged in livelihood activities—either in producing, collecting, processing, or trading goods—which are significantly tied to agriculture or natural resource management. This applies to both women's and men's FGDs.

Depending on the Case, it may be preferable to introduce more specific recruitment criteria for the FGD members. For instance, five FGD members could be specific types of producers, and further specifications could be made about whether they are wage workers, lease holders, land owners, and so forth. Or the FGD could be a specific mix of agricultural producers, processors, or traders. However, please do not vary the recruitment criteria by gender or socio-economic status. Also, some flexibility will need to be given to the field team to implement detailed selection criteria as fully as feasible in the time that they have.

In general, the sampling frame for this focus group is designed to learn from the experiences of men and women in the community who engage in typical agricultural livelihoods for the community and whose socio-economic status position them among the local "middle class." If your field coordinator is from the area, they are likely to know markers of middle-class status, or know how to inquire respectfully about focus groups members who would fit this criteria. In other words, ideally the participants would not be from among the poorer or best-off households of the locality, and some care needs to be taken to ensure this.

It is important to keep in mind that focus group members are not the same as key informants. The purpose of focus group discussions is to hear from regular people, and the emphasis should be on the selection of such people rather than leaders or other important people in the community. Please be sensitive to difficulties that can arise if there are strong socio-economic or other status differences within a focus group. It is preferable not to include the very best-off or local politicians or other leaders, as they may

dominate the discussions or intimidate others from sharing their experiences fully. For this reason, it can be very valuable to reach out to the higher status members of the community to complete the Community Profile as a means for getting their input and support for the study before conducting focus groups.

Due to limited resources, the comparative sampling design for the different focus groups stresses gender and socio-economic differences, which may present difficulties in communities with important ethnic, religious, or other differences. Ideally such communities would be included in the sample where there are resources for enlarging the data collection to cover the different social groups. For instance, where there are tensions, a larger field team with members from the different ethnic groups may be necessary to reduce suspicions and cover different languages. If such resources are not available, however, then additional planning will be needed to tailor the study in ways that are sensitive to these differences. The key to valid and reliable information from a focus group is to keep its composition as homogeneous as possible. Either be clear about which social groups could not be queried, or do more focus groups. Please don't mix people of very different social backgrounds in the same group.

### Preparations for the focus group

The questions in bold indicate areas of the interview instrument that need to be tailored to the local context and to address specific agricultural or NRM issues of importance to your case. The changes to the interview instrument should be made in track mode and cleared by the PI prior to training the field team. To ensure comparability across the cases, please do not remove or change the questions that are not in bold without clearing the changes with Patti Petesch or members of the ExCom. When refining the instrument, please also exercise caution so that the question/variable numbers for the global questions are not changed.

### *Time management and strategic issues for probing*

As with the other focus groups, facilitators and notetakers require practice, practice, practice to elicit and document this data in a way that allows for rich reflections and interactions but also *completion* of the tool in a timely manner.

It is important that every question be asked almost as if this instrument were a closed-ended survey—staying very close to the language and sequencing of the questions in the interview instrument. It is fine to substitute local terms that are almost identical to the “global” terms in the instrument. However, facilitators need to be strategic about when and how to probe beyond the many questions already in the instrument.

The study is centrally concerned with two issues.

First, please be sure to probe deeply when discussion group members mention their involvement (or lack thereof) with **important new agricultural and NRM practices**, their own experiences with learning about, using, and adapting them, and the costs/benefits. As also discussed in the interview instrument, we're interested in people's own innovations as well as innovations that are introduced from outside the community. We want to learn about both hardware changes (e.g., new equipment or varieties), software changes (new knowledge and new relationships among people, including local organizing); and how

gender norms affect access to and use of the innovation, and how the innovation may change gender norms.

Second, please probe into people's references to **gender norms and power relations**. Another way to think about this is what the rules for men's and women's behaviors in that social context mean for how household members interact and negotiate with one another over important decisions in their lives. Men often negotiate their interests from an advantaged position, or they may not see a need to consult or negotiate at all. Women, too, may elect to assume (rather than to consult on or negotiate with family members), for instance, their control of a productive resource such as earnings from their own home gardens; however, gender norms governing resource access and control and women's lower position in the gender hierarchy make these types of (hidden) tactics riskier for women than for men in many social contexts around the world. Field teams need to be on the lookout for opportunities during the data collection that can foment rich reflections by community members on how their local norms and gender relations in their households and community shape and are shaped by gender differences in knowledge, self-confidence, access to and control of productive assets, physical mobility, access to and benefits/costs from innovations, networks, and so forth.

The notetaker should feel free to step in and support the facilitator by introducing questions on these key concerns for the study. The notetaker should also flag interview questions that may have been skipped inadvertently. Beyond these topic areas, facilitators will need to be cautious about probing and asking more detailed follow-up questions. Time is valuable. Your focus group members will become irritated if the discussion becomes very prolonged.

### *Materials needed during fieldwork*

The focus groups should be conducted in a quiet place either in the evenings or on weekends to accommodate the schedule of most workers. It may be useful to arrange daycare services for the women's focus group. Please be sure to have the following materials:

- ✓ Roster and interview instrument
- ✓ Small slips of paper (Post-its work great) and pencils for each of the respondents, and a cup or box to deposit their papers
- ✓ Markers and a flipchart with large pieces of paper
- ✓ Tape
- ✓ Nametags suggested (masking tape can work for this)
- ✓ Voice recorder (optional)

## Roster and interview: Capacities for Innovation focus group (activity D)

A completed roster should be the first page of the documentation for the focus group.

Focus Group: Activity D: Capacities for Innovation									
Male ____ Female ____									
Name of the community: _____									
Community pseudonym: _____									
Facilitator: _____ Notetaker : _____									
Date: _____									
FGD members (family name not needed)	Age	Ethno- religious group*	Relation- ship to household head	Marital status**	Level of education completed***	# of children	# of household members	Primary occupation	Secondary occupation
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									

\* Please create a coding list for the **ethnic, religious, and/or caste groups** of relevance to the Case. In some contexts, a community member may need to be identified by more than one code (e.g., where ethnicity and religion do not overlap consistently). This column can be removed if the community is very homogeneous and the social group composition is specified in the community profile.

\*\*If the women's roster, and polygamy is practiced in the community, it may be useful to specify the order of marriage for wives in polygamous households.

\*\*\*Please create a coding list for primary, secondary, and tertiary **levels of education** in your country.

[Read:] Thank you for joining us today. We are going to be discussing different trends in the village, including how livelihoods have changed over the last decade perhaps due to new technologies, practices, or organizations here in the village. Across all of these discussions we will be looking at gender issues, and how men's and women's lives differ and how they are the same. This focus group is part of a large study being conducted with separate groups of women and men here in the community and elsewhere in the country, and in many other parts of the world.

Your participation today is voluntary and confidential. We will not be using your names or the name of this community in any publication with the information that we collect today. We request that you respect the confidentiality of the others participating today by not repeating outside this room anything that was said during the discussion. We hope that each of you will feel free to express your opinions fully and share your own experiences with the topics that we will be discussing. You are of course each free not to answer any question and to leave the discussion whenever you like. However, we very much hope you remain for the entire discussion and enjoy reflecting on many of our questions. Your views and experiences are very important to us. We cannot promise that you and your community will benefit directly from this study, but the information that we are collecting will help to improve agricultural research and development activities in your country and in other countries.<sup>16</sup>

Are there any questions before we begin?

## Module 1: Agency, community trends, and innovations (1 ¼ hours)

D.1 Please imagine a 5-step ladder [*show figure of ladder, see annex 2 for sample*], where at the bottom, on the first step, stand the individual [sex of FGD] of this community with little capacity to make their own decisions about important affairs in their lives. These [sex of FGD] have little say about if or where they will work, or about starting or ending a relationship with a [opposite sex]. On the highest step, the fifth, stand those who have great capacity to make important decisions for themselves, including about their working life and whether to start or end a relationship in their personal life.<sup>17</sup>

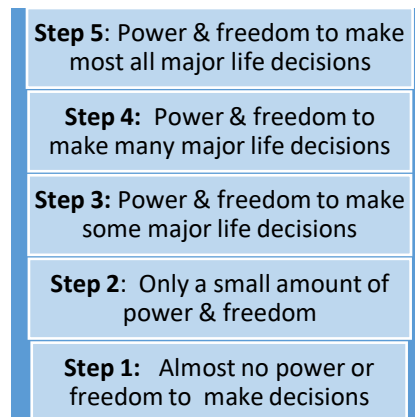
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<sup>16</sup> If there is interest in a voice recording of the session, please add this to the introductory remarks: We would like your permission to record the discussion so that we can document your views and experiences accurately. If you prefer that we do not record the session, however, we will not do so.

<sup>17</sup> This is not a progressive set of accumulating choices over the course of one's life, but about the set of opportunities for making key decisions about one's own life at two points in time. One's capacity for exercising agency and making strategic life decisions could decline over time.

On which step of this ladder would you position the majority of the [sex of FGD] in the village today?<sup>18</sup> *[The ratings should be done individually in private by the FGD members.]*

#### Ladder of Power and Freedom



*[The figure on the flipchart only needs to show the ladder and step #. The narrative in this figure is to help facilitators describe the different steps. Please encourage focus group members to consider the step that is most relevant for the majority of their own gender in the community, rather than just for their own circumstances.]*

D.2 Why? Would any of you like to volunteer the reasons for your rating?

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<sup>18</sup> Underlines have been used to indicate “closed-ended” questions in the FGDs. These questions, as well as the figures and tables, require advance preparation on flipchart sheets. These should be done in large enough font so easily readable by the whole FGD. Where literacy is limited, pictures should be added with the text, and the accompanying narrative read out to the FGD at least two or three times. The rating activity should be conducted privately by each individual FGD member. It may be easiest to provide small Post-its and pencils for each member to record their ratings to each question. Once individual members complete their ratings, the Post-its can be deposited in a cup and quickly posted next to the relevant ladder step so that all can see at a glance the general pattern of responses to inform the discussions. Please check to be sure that you have the same number of ratings as FGD members (although it’s fine if the occasional member prefers not to vote). The facilitator should describe the pattern of responses to the FGD (e.g., which response got the most and fewest votes), and then begin a discussion of the reasons for the ratings, starting first with the most prevalent response. Also be sure to inquire about the reasons for the less common ratings. For each and every closed-ended question, this process of i) voting anonymously; 2) posting the ratings and describing the pattern of responses; and 3) facilitating a rich discussion about the reasons for the responses should be followed. Right after the FGD, all responses to closed-ended questions must be tabulated and recorded in the field notes and later in the Excel format for all of the closed-ended questions. An appendix to the full methodology will contain the full set of flipcharts which the field team needs to prepare in advance for each FGD.

D.3 Now please imagine the community 10 years ago, when *[Be sure to reference an important event from this period]*<sup>19</sup> happened. On which step of this ladder would you position the majority of the [sex of FGD] in the village 10 years ago?

D.4 Why? What has (or has not) changed for the [sex of FGD] in this community?

D.5 Now I'd like to focus on new local practices surrounding agriculture and managing natural resources like the forests, water, and soils which surround this village. Thinking back over the past five<sup>20</sup> years or so, what new cropping or livestock practices or ways of managing local natural resources or organizing agricultural activities have people here tried out or experimented with?

*[Please tailor this question to the local context and take note of the recall period if different from the five years recommended for this question. The process of developing, testing, and using new agricultural and NRM practices are of central concern to the study. Be sure to take the time necessary to facilitate a rich and inclusive discussion of these new practices. If new varieties are mentioned, for instance, ask how they differ from other varieties, whether they are widely used, about their advantages and disadvantages . . . If the discussion does not flow, it may be useful to prompt about “hardware” (e.g., new seed varieties, animal races, machines, etc.) and “software” changes (new learning, relationships, or organizing), as well as their gender dimensions. Any reference about a change in agricultural activities opens the door for this kind of probing.]*

New agricultural or NRM practices	Most important for the [sex of the FGD] of the community (top 2)	Most important for the [opposite sex of FGD] of the community (top 2)

*[Please add the second and third columns step-by-step after asking the relevant questions below.]*

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<sup>19</sup> To aid people's recall, please identify a major event that happened in the country or more locally roughly 10 years ago (it can be one year off either way)—like an election perhaps or a severe weather event.

<sup>20</sup> In general, we recommend a five-year period of observation for this question; however, the time period for inquiring about new agricultural or NRM activities can vary from three to 10 years as appropriate for the community. Three years could make sense for a community with numerous interventions, while five or seven years may be more appropriate for a community with relatively few interventions.



D.6 Which of these new agricultural practices have been the most important for the [sex of FGD] in the community? Why important? And which have been most important for the [opposite sex of FGD]? Why? *[Please rank the top 2 in order of importance for each sex, and be sure to get explanations for the ratings.]*

**D.7 Was [THE NUMBER ONE RANKED NEW PRACTICE FOR FGD SEX] rapidly adopted by local people, or were there any problems with its uptake? [Pause for responses.] What do you think about the time and labor needs it requires?**

**D.8 Now we're going to explore in greater detail [THE NEW PRACTICE]. Tell me about who were the first to learn about and try out this new practice.**

*[For this question and the ones that follow on [THE NEW PRACTICE], either probe into the innovations or other information of interest to the CRP sponsoring the case OR explore the most important innovation for the sex of the FGD that was selected in the table above. The questions below focus on software dimensions of the innovation, and these will need to be tailored to the local context and innovation. While probing, please also keep in mind hardware changes and changes in gender roles and relations.]*

**D.8a What different places can a [sex of FGD] from this village turn to for information about [THE NEW PRACTICE]?**

**D.8b Have any local men or women tried out new ways to make [THE NEW PRACTICE] work better here? [If so] Please tell me about this. *[Probe very deeply on this.]***

**D.8c Are there any formal or informal groups of people who are working together on [THE NEW PRACTICE]? If so, tell me about the group and its members and activities. *[Also probe deeply on this, including whether these networks are mainly men or women or both.]***

D.9 What characteristics do people have who are always trying out or inventing new ways of doing something?

Characteristics of innovators

- D.10 Are there differences between a woman who is innovative and a man who is innovative? How might they be the same?
- D.11 Do local women learn from agricultural extension agents? Why or why not?
- D.12 What about local men? Do they learn from extension agents?
- D. 13 Let's step back now and think about the factors in this community that help people here to be innovative. What kinds of resources are available in the village that enable men and women to learn about and try—or possibly create themselves—something novel that could make their livelihoods more productive or that could improve the wellbeing of their families?

	Two most important for the [sex of FGD]*
Factors that support innovation	
Factors that hinder innovation*	

\*Please do not add the bottom row or second column on importance until after the relevant questions are asked.

- D.14 Among the factors that support innovation, which two do you think are the most important for the [sex of FGD] of the community? Why? *[Create the second column, and indicate the 1<sup>st</sup> and 2<sup>nd</sup> second most important factors.]*
- D.15 Now, let's think about barriers. What are the factors that hinder local people from trying out innovations? And of these, which two are the most important barriers for the [sex of FGD]?

**D.16** How do [sex of FGD] here generally decide whether to use improved varieties? *[Pause for responses.]* How do [sex of FGD] decide to use clean, high quality planting material (of whatever varieties) on a plot?<sup>21</sup> *[Pause for responses.]* And how do [sex of FGD] decide about whether to use chemical fertilizer?<sup>22</sup>

**D.17** If a [sex of FGD] wants to use improved varieties, high quality seed, or other inputs for their plot, but they do not have any money, what would they do? *[Please probe separately about improved seeds, fertilizer, and pesticides/herbicides to see if these vary.]*

## Module 2. Household bargaining over livelihoods and assets (45 minutes)

*[Read:]* Now I'm going to talk about three different couples who live in this village. Let's call the first couple Ana and Adam.<sup>23</sup> Ana helps her husband with his crops, and she also has her own home garden. Although Ana could earn more money if she sold her vegetables in the local market herself, Adam sells Ana's produce to a neighbor who works in the market. Adam feels strongly that Ana belongs at home, and he considers the household and children to be Ana's job, and earning money to be his job.

**D.18** How do you think Adam would respond if Ana wants to join a local group of women who grow vegetables like she does?

**D.19** How do you think Adam would respond if Ana mentions the idea of selling her vegetables herself?

**D.20** Now suppose Ana has sold her produce, and she wants to use all of her money to expand her vegetable crop? Does she need to consult Adam? [If so] Will Adam agree?

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<sup>21</sup> Ask this depending on the crop context.

<sup>22</sup> All of the questions here refer to chemical fertilizer.

<sup>23</sup> Please modify the three vignettes in this module so that the names of the men and women and their different livelihood activities would be typical for the community.

D.21 Do you think Adam will ask Ana for less help on his plot now that she is busier with her own activities?

**[Read:] Let's move next to our second couple, and we will call them Mary and Mark. Mary also helps on her husband's farm, and has her own home garden. But unlike Ana, Mary has been working for a long time in the market selling her produce. And Mark contributes to the housework and caring for their children. Mary and Mark, then, share some of the provider and housework responsibilities in their household.**

D.22 What kind of reputation do you think that Mary has in the village because she is a seller in the market?

D.23 And Mark, what kind of reputation does he have in the village and among his friends?

D.24 If Mary is very successful with her small enterprise, how do you imagine that Mark will react?

**[Read:] Now let's talk about our third and final couple. We will call them David and Diana. They are a very typical couple that is busy with agricultural activities in this village.**

D.25 How would David and Diana make decisions about how much of Diana's home garden to sell and how much to keep to feed the family? Would Diana decide how much to sell and how much to keep? Would David decide? Or would they decide together?<sup>24</sup> How would their discussion about this go?

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<sup>24</sup> If the FGD members say it will be a joint decision, please ask them to explain what the couple might say to one another without leading them in a particular direction. Often women still defer to men in the case of "joint" decisions, but this only becomes evident when they elaborate on how the negotiation between the couple would unfold.

- D.26 Who would be more likely to sell the vegetables? David? Diana? Why?
- D.27 Let's say Diana learns from her sister about new farming practices that increase yield and profits. She wants to try planting a new variety and using more fertilizer. What do you think will happen? Do you think Diana and David will make these changes?
- D.28 Now let's say that Diana recently inherited some money that would allow her to purchase a plot of land right near the homestead to expand her vegetable garden. David, however, has other plans for his wife's inheritance. He would like to buy a motorbike. How easy or difficult will it be for Diana to go ahead and purchase the plot of land in the absence of David's support? *[Please ask the FGD members to select their rating privately and then post and discuss the responses.]*
- Very easy .....1  
 Easy.....2  
 Neither easy nor difficult..... 3  
 Difficult .....4  
 Very difficult.....5
- D.29 Why?
- D.30 What if we reversed the situation? What if David inherited money instead of Diana? How easy or difficult would it be for David to move forward on purchasing a motorbike without Diana's support? *[Redo the private rating activity].* Why?

### Module 3. Local level institutions and the environment for inclusion and accountability (30 minutes)

**[Read:] Next we are going to discuss the market environment for different agricultural businesses and farmers in this area.<sup>25</sup> We will also talk a little bit about other local institutions.**

- D.31 Is this a good place for a [sex of FGD] to run an agricultural business or sell farm produce? Why?
- D.32 What are the biggest barriers for a [sex of FGD] to open a business in this area?

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<sup>25</sup> By "surrounding area," the idea is to capture the main local commercial, market, or industrial area(s) that is close in proximity to the community—e.g., where most nearby businesses, shops, or factories are located—and these different enterprises and market areas will be reasonably well known to the focus group members.

D.33 What would help a local [sex of FGD] entrepreneur to improve their profits?

D.34 Now I'm interested in your views about how much the residents of the village trust and help one another. For this question, we are going to use a scale of 1 to 6, with 1 indicating that villagers are extremely suspicious and do not offer help when it is needed, and 6 indicating that the villagers here are extremely trusting and helpful.

a. How would you rate the social harmony of this village today? *[Please have individual FGD members conduct the ratings in private on this question—and then after collecting the votes, immediately proceed to having them do the rating in private for 10 years ago by asking this next question:]*

b. How would you rate the social harmony 10 years ago in this village? *[Once votes from both periods are collected, please display the results separately for now and 10 years ago.]*

My neighbors are almost always <u>suspicious</u> , <u>reserved</u> , and <u>rarely helpful</u> when needed.	1	2	3	4	5	6	My neighbors are almost always <u>trusting</u> and <u>friendly</u> , and <u>helpful</u> when needed.

D.35 The ratings mainly show *[more/the same/less]* social harmony here than 10 years ago. Why is that?

D.36 What are some things that bring people here together?

D.37 And what are some things that cause tensions in the village?

D.38 What are the different institutions that are available for local producers in this area? *[e.g., collective labor group, social forestry organization, local irrigation or water user group, farmer field school, grower association or cooperative, self-help group, micro-credit group, seed producer group, small business service provider, value chain, factory, worker union, supermarket contracting arrangements, etc.]*

D.39 And among these institutions, which are the most important for the [sex of FGD] of the community? Why?

D.40 Does this community have any female elected officials or important community leaders? If so, please tell me a little about their roles here.

D.41 Finally, I'd like to close our discussions by asking about your hopes for the young men and boys of this community?

D.42 And the young women and girls? What are your hopes for them?

*Thank you for being so generous with your time today and for sharing your views and experiences.*

## Activity E. FGD: Aspirations of Youth

### Purpose

To explore with young women and men:

- Agency over strategic life decisions
- Gender norms and practices surrounding education and aspirations for the future
- Enabling and constraining factors for agricultural and NRM innovation, and their gender dimensions
- Gender norms shaping household bargaining over housework and care roles, and over women's economic roles, access to networks, and control of productive assets
- Women's physical mobility
- Family formation norms and practices

### Selection of informants

- A group of 8 to 10 female youths, ages 16 to 24
- A group of 8 to 10 male youths, ages 16 to 24

At least 6 of the focus group members should themselves be directly engaged in livelihood activities—either in producing, collecting, processing, or trading goods—which are significantly tied to agriculture or natural resource management. This applies to both the young men's and the women's FGD.

It would be valuable to have participants from across the full range of ages 16 to 24, rather than concentrated around specific ages. In addition, the composition of the focus groups should, as much as possible, reflect the range of educational experiences, socio-economic groups, and marital status that are most common in the community for the youth across this age range. If there is a youth that is much more educated or wealthier than most in the community, he or she should not participate in the focus group as they are likely to dominate the discussion.

Due to limited resources, the comparative sampling design for the different focus groups stresses gender and socio-economic differences, which may present difficulties in communities with important ethnic, religious, or other differences. Ideally such communities would be included in the sample where there are resources for enlarging the data collection to cover the different social groups. For instance, where there are tensions, a larger field team with members from the different ethnic groups may be necessary to reduce suspicions and cover different languages. If such resources are not available, however, then additional planning will be needed to tailor the study in ways that are sensitive to these differences.

### Preparations for the focus group

The questions in bold indicate areas of the interview instrument that need to be tailored to address specific agricultural or NRM issues of importance to your case. The changes to the interview instrument should be made in track mode and cleared by the PI prior to training the field team. To ensure comparability across the cases, please do not remove or change the questions that are not in bold without



clearing the changes with Patti Petesch or members of the ExCom. When refining the instrument, please also exercise caution so that the question/variable numbers for the global questions are not changed.

### *Time management and strategic issues for probing*

As with the other focus groups, facilitators and notetakers require practice, practice, practice to collect this data in a way that allows for rich interaction but also for *completion* of the tool in a timely manner. It is important that every question be asked almost as if this instrument were a closed-ended survey—staying very close to the language and sequencing of the questions in the interview instrument. It is fine to substitute local terms that are almost identical to the “global” terms in the instrument. However, facilitators need to be strategic about when and how to probe beyond the many questions already in the instrument.

The study is centrally concerned with two issues.

First, please be sure to probe deeply when discussion group members mention their involvement (or lack thereof) with **important new agricultural and NRM activities**, and their own experiences with learning about, using, and adapting them, and the costs/benefits. As also discussed in the interview instrument, we’re interested in people’s own innovations as well as innovations that are introduced from outside the community. We are also interested in learning about hardware changes (e.g., new equipment or varieties), software changes (new knowledge and new relationships among people, including local organizing); and how gender norms affect access to and use of the innovation, and how the innovation may change gender norms.

Second, please also probe into people’s references to **gender norms and power relations**. Another way to think about this is what do gender norms and men’s privileged status position mean for how men and women interact/negotiate with one another about important affairs in their lives? And how do these norms and interactions shape gender differences in knowledge, self-confidence, access to and control of assets, physical mobility, access to and benefits/costs from innovations, networks, and so forth. For example, if a woman says she needs education so that she can get work if she doesn’t have support from her partner, please then probe into what she means by lack of support from her partner.

The notetaker should feel free to step in and support the facilitator by introducing questions on these key issues for the study. The notetaker should also flag questions that may have been skipped inadvertently. Beyond these topic areas, facilitators will need to be cautious about asking more detailed or different questions than are already in the interview instrument. This is a comparative study, and your primary responsibility is to ensure a rich and inclusive discussion about each one of the questions that are already there. Time is valuable. Your focus group members will become irritated if the discussion becomes very prolonged.

### *Materials needed during fieldwork*

The focus groups should be conducted in a quiet place either in the evenings or on weekends to accommodate the schedule of most workers. It may be useful to arrange daycare services for the women’s focus group. Please be sure to have the following materials:

- ✓ Interview and roster instrument
- ✓ Small slips of paper (Post-its work great) and pencils for each of the respondents, and a cup or box to deposit their papers
- ✓ Markers and a flipchart with large pieces of paper
- ✓ Tape
- ✓ Nametags suggested (masking tape can work for this)
- ✓ Voice recorder (optional)

## Roster and interview: Aspirations of Youth focus group (activity E)

A completed roster should be the first page of the documentation for the focus group.

Focus Group: Activity E: Aspirations of Youth									
Male ____ Female ____									
Name of the community: _____									
Community pseudonym: _____									
Facilitator: _____ Notetaker : _____									
Date: _____									
FGD members (family name not needed)	Age	Ethno- religious group*	Relation- ship to household head	Marital status**	Level of education completed***	# of children	# of household members	Primary occupation	Secondary occupation
1.									
2.									
3.									
4.									
5.									
6.									
7.									
8.									
9.									
10.									

\* Please create a coding list for the **ethnic, religious, and/or caste groups** of relevance to the Case. In some contexts, a community member may need to be identified by more than one code (e.g., where ethnicity and religion do not overlap consistently). This column can be removed if the community is very homogeneous and the social group composition is specified in the community profile.

\*\*If the women's roster, and polygamy is practiced in the community, it may be useful to specify the order of marriage for wives in polygamous households.

\*\*\*Please create a coding list for primary, secondary, and tertiary **levels of education** in your country.

[Read:] Thank you for joining us today. We are going to be discussing your views on and experiences with educational and economic opportunities here in your village, as well as common practices with getting married and starting a family. Across all of these discussions we will be looking at gender issues, and how young men's and young women's lives differ and how they are the same. This focus group is part of a large study being conducted with separate groups of women and men here in the community and elsewhere in the country, and in many other parts of the world.

Your participation today is voluntary and confidential. We will not be using your names or the name of this community in any publication with the information that we collect today. We request that you respect the confidentiality of the others participating today by not repeating outside this room anything that was said during the discussion. We hope that each of you will feel free to express your opinions fully and share your own experiences with the topics that we will be discussing. You are of course each free not to answer any question and to leave the discussion whenever you like. However, we very much hope you remain for the entire discussion and enjoy reflecting on many of our questions. Your views and experiences are very important to us. We cannot promise that you and your community will benefit directly from this study, but the information that we are collecting will help to improve agricultural research and development activities in your country and in other countries.<sup>26</sup>

Are there any questions before we begin?

## Module 1: Agency, education, and innovation (1 hour)

- E.1 Please imagine a 5-step ladder [*show figure of ladder*], where at the bottom, on the first step, stand the individual [sex of FGD] of this community with little capacity to make their own decisions about important affairs in their lives. These [sex of FGD] have little say about if or where they will work, or about starting or ending a relationship with a [opposite sex]. On the highest step, the fifth, stand those who have great capacity to make important decisions for themselves, including about their working life and whether to start or end a relationship in their personal life.

On which step of this ladder would you position the majority of the young [sex of FGD] in the village today? [*The ratings should be done individually in private by the FGD members.*]

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<sup>26</sup> If there is interest in recording the session, please add this to the introductory remarks: We would like your permission to record the discussion so that we can document your views and experiences accurately. If you prefer that we do not record the session, however, we will not do so.

### Ladder of Power and Freedom



*[The figure on the flipchart only needs to show the ladder and step #. The narrative in this figure is to help facilitators describe the different steps.]*

- E.2 Why? Would any of you like to volunteer the reasons for your rating?
- E.3 Now I'd like to turn to the topic of education. What do you think about going to school? Is it useful to get an education?
- E.4 Until what grade do boys generally study in this community? *[Pause for responses.]* And girls?
- E.5 What level of education do you think boys and girls of this village *should* have? Why?
- E.6 Do parents show the same commitment to educating their daughters as their sons? Why or why not?
- E.7 What different agricultural activities do *[sex of FGD—but refer to either boys or girls]* learn about when they are young in this village?

E.8 What are the main reasons why [sex of FGD—boys or girls] in this village end their education?

Reasons for ending education	Two most important reasons
— — — — —	

*[Please add second column to the table after asking question E.9]*

E.9 Which are the two most important reasons on this list why [sex of FGD—boys or girls] end their education.

E.10 When you finished your education, did you have a special goal for your future? If so, what was it?

E.11 Generally speaking, what do most young [sex of FGD—refer to men or women] of the village do with their lives when they are no longer students? *[Please probe into the different types of activities that are common.]*

E.12 What do you think young [sex of FGD—men or women] should do when they finish studying?

E.13 Now I'd like to focus on new local practices surrounding agriculture and managing natural resources like the forests, water, and soils which surround this village. Thinking back over the past five<sup>27</sup> years or so, what new cropping or livestock practices or ways of managing local natural resources or organizing agricultural activities have people here tried out or experimented with?

*[Please tailor this question to the local context and take careful note of the recall period if different from the five years recommended. The process of developing, testing, and using new agricultural and NRM practices are of central concern to the study. Be sure to take the time necessary to facilitate a rich and*

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<sup>27</sup> In general we recommend a five-year period of observation for this question; however, the time period for inquiring about new agricultural or NRM activities can vary from three to 10 years as appropriate for the community. Three years could make sense for a community with numerous interventions, while five or seven years may be more appropriate for a community with relatively few interventions.

*inclusive discussion of these new practices. If new varieties are mentioned, for instance, ask how they differ from other varieties, whether they are widely used, about their advantages and disadvantages . . . If the discussion does not flow, it may be useful to prompt about “hardware” (e.g., new seed varieties, animal races, machines, etc.) and “software” changes (new learning, relationships, or organizing), as well as their gender dimensions. Any reference about a change in agricultural activities opens the door for this kind of probing.]*

New agricultural or NRM practices	Most important for the [sex of the FGD] of the community (top 2)	Most important for the [opposite sex of FGD] of the community (top 2)

*[Please add the second and third columns step-by-step after asking the relevant questions below.]*

E.14 Which of these new agricultural practices have been the most important for the [sex of FGD] in the community? Why important? And which have been most important for the [opposite sex of FGD]? Why? *[Please rank the top 2 in order of importance for each sex, and be sure to get explanations for the ratings.]*

*[Again, please modify question so relevant, e.g., other topics might be new ways of: raising livestock, fishing/aquaculture, forest resources, or managing/conserving soils, water, or forests. BUT please discuss only one or two of the areas of most relevance for the community, or you may lose the attention of FGD members. Also look out for and probe on contradictions or partial information that may emerge (compared to earlier discussions) about gender differences in opportunities and constraints for innovation.]*

E.15 Do you think that the young women of the village have the same opportunities as the young men to learn about and try out new farming practices or agricultural organizations? Why or why not?

## Module 2. Gender norms, livelihoods, and family formation (1 ½ hours)

**[Read:] Now we are going to look at the different traditions or customs from the past that surround agricultural activities. And then we'll discuss the more common practices of today.**

- E.16 What are the two or three most important crops or animals that [sex of FGD] cultivate or raise in this community?<sup>28</sup> And what were the most important crops or animals that [sex of FGD] were responsible for 10 years ago?** *[It is not necessary to document the diversity of local agricultural practices, but rather just a few of the leading ones for the sex of the FGD. The idea is to move quickly through this activity in order to inform the subsequent discussion of how these customs have been changing and why. The table should present the local customs, but the notetaker needs to capture both the customs and the actual practices.]*

Important crops or livestock for [sex of FGD] Now	Important crops or livestock for [sex of FGD] 10 years ago
-	-
-	-
-	-
-	-
-	-
-	-

*\*Please only ask about goods that are the most relevant to the local context. This could be crops, animals, forest goods (timber, forest foods, fiber, or medicines), water resources, etc.*

- E.17 [If agricultural practices have changed]: What caused these changes over the past 10 years?
- E.18 Do the young people around here follow local customs of women doing certain agricultural activities and men doing others? Why or why not?
- E.19 What would happen if a young [opposite sex of FGD] tried to grow and then sell on their own *[name one of the major activities in the table]*? What difficulties could they face?
- E.20 And what would happen if [sex of FGD] tried to raise and sell on their own *[name a major crop or animal associated with the opposite sex]*? What difficulties could they face?
- 

<sup>28</sup> Please refine these questions and the table below so relevant to the local context.



- E.21 How is it decided who farms which plot? In general in this community, are some household members responsible for some farm plots while other household members are responsible for other plots? *[Probe to capture gender differences in both who makes the decisions and what factors they consider in who manages the different plots (e.g., proximity to house, quality of soil, irrigation options, size of plot, historical use of plot, etc.).]*
- E.22 ***[If men and women generally have separate plots:]*** How often do men typically work on their wives' plots? *[Pause for responses; and clearly indicate in notes when asking next question.]* How often do women typically work on their husbands' plots? *[Probe into whether these practices vary by season or crop.]*
- E.23 How often do other household members work on women's plots? And on men's plots?
- E.24 Generally, if a woman wanted to plant a new crop, would she consult someone first? If so, who? *[Inquire if she would consult her husband if this is not mentioned.]* And would a man consult someone first before planting a new crop? If so, who? *[Again, inquire if he would consult his wife if this is not mentioned.]*

*[Read:]* Now I'm going to talk about different young couples who live in this village.<sup>29</sup> Let's call the first couple Ana and Adam. Ana helps her husband with his crops, and she also has her own home garden. Adam, however, sells her produce<sup>30</sup> from the garden to a neighbor who works in the market. Even though Ana could earn more money if she sold her produce herself, Adam feels strongly that Ana belongs at home, and he considers the household and children to be Ana's job, and earning money to be his job.

- E.25 How do you think Adam would respond if Ana asks if she can join a local group of women who grow vegetables like she does?
- E.26 How do you think Adam would respond if Ana asks to sell her vegetables herself?

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<sup>29</sup> For this vignette, and the two others to follow, please modify all of the names of the couples so they are typical names for the community (e.g., change Ana and Adam to common local names).

<sup>30</sup> Identify a common vegetable or other crop cultivated by women in the village.

E.27 Do you think Adam will ask Ana for less help on his plot now that she is busier with her own activities?

**[Read:] Let's move next to our second couple, and we will call them Mary and Mark. Mary also helps on her husband's farm, and has her own home garden. But unlike Ana, Mary has been working for a long time in the market, selling the produce<sup>31</sup> herself from her garden. And Mark helps out around the house and with caring for their children. Mary and Mark, then, share some of the provider and housework responsibilities in their household.**

E.28 What kind of reputation do you think that Mary has in the village because she is a seller in the market?

E.29 And Mark, what kind of reputation does he have in the village and among his friends?

E.30 If Mary is very successful with her small enterprise, how do you imagine that Mark will react?

E.31 What comes to mind when you think of the term gender equality? Do you think gender equality is a good or a bad thing? Why? *[It's fine if the FGD members are uncertain of the meaning of gender equality. We just want to get a sense of their own understandings.]*

**[Read:] Now let's talk about the third and last couple. We will call them David and Diana. They are a very typical couple that is busy with agricultural activities in this village.**

E.32 How would David and Diana make decisions about how much of Diana's home garden to sell and how much to keep to feed the family? Would Diana decide how much to sell and how much to keep? Would David decide? Or would they decide together?<sup>32</sup> How would their discussion about this go?

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<sup>31</sup> Again, please specify a typical vegetable crop.

<sup>32</sup> If the FGD members say it will be a joint decision, please ask them to explain what joint means and what the couple would say to one another, without leading their responses in a particular direction. Sometimes decision-making processes may be considered joint if a woman is consulted but the man ultimately controls the decision;

- E.33 Who would be more likely to sell the vegetables? David? Diana? Why?
- E.34 Let's say Diana learns from her sister about new farming practices that increase yield and profits. She wants to try planting a new variety and using more fertilizer. What do you think will happen? Do you think Diana and David will make these changes?
- E.35 Now let's say that Diana recently inherited some money that would allow her to purchase a plot of land right near the homestead to expand her vegetable garden. David, however, has other plans for his wife's inheritance. He would like to buy a motorbike. How easy or difficult will it be for Diana to go ahead and purchase the plot of land in the absence of David's support? *[Please ask the FGD members to select their rating privately and then post and discuss the responses.]*
- Very easy .....1  
 Easy.....2  
 Neither easy nor difficult..... 3  
 Difficult .....4  
 Very difficult.....5
- E.36 Why?
- E.37 What if we reversed the situation? What if David inherited money instead of Diana? How easy or difficult would it be for David to move forward on purchasing a motorbike without Diana's support? *[Redo the private rating activity].* Why?
- E.38 Next I'd like to discuss a few factors that can affect women's working lives. Can a young woman walk comfortably alone to the local market?<sup>33</sup>

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however, such power dynamics only become evident when study participants elaborate on how the negotiation might unfold between the couple.

<sup>33</sup> Please refer to the closest market if there is not one in the village.

E.39 How does this change once a woman becomes married? Can a young married woman walk around on her own comfortably to the market?

E.40 Is it easy or hard for a woman to sell in the local market? Why?

E.41 Out of every 10 women in your community, how many of them move about freely on their own in the public spaces of the community? *[Please ask the FGD members to select their rating privately and then post and discuss the responses.]*

**Number of women who move freely out of every 10 local women**

<b>Practically <u>no</u> women move freely on their own in the village</b>	1	2	3	4	5	6	7	8	9	10	<b>Practically <u>all</u> women move freely on their own in the village</b>
Responses											

*[Please be sure to probe on reasons for the perceptions on women's physical mobility, and not only document the rating.]*

E.42 Now let's say for some reason a young [sex of FGD] in this community really wants to find better work, and they decided that they need to move away to live and work in a city where there were more opportunities. How easy would this be for them? Do many young [sex of FGD] from here migrate?

E.43 What do people think about a young [sex of FGD] who has migrated for work and then returns to live in the village? *[Pause.]* What opportunities do they have?

E.44 At what age do a young woman and man typically come together to start their own family in this community? *[Please note the ages of both sexes. If relevant, could probe on how this differs for formal marriage and consensual unions. And if a community with polygamy, could also ask: Is it preferable to be in a monogamous or polygamous relationship? Why?]*

- E.45 How are decisions made about who a woman and a man will marry? *[If a community with polygamy, could also ask: And how are decisions made about co-wives? Do women have a say in whether they want to be in a polygamous marriage?]*
- E.46 How do you think decisions should be made about marriage?
- E.47 At what age do women typically have their first child?
- E.48 Do you think this is a good age for the new mother and baby? Why or why not?
- E.49 What age do you think would be best for a woman to have her first child? Why?
- E.50 Do women in this village decide when to have children and how many children to have? If not, how is this decision made?
- E.51 And for my final question, what changes would you like to see in the village for the young men and women who live here?

*Many thanks for being so generous with your time today and for sharing your views and experiences.*

## Activity F. Semi-Structured Individual Interview: Innovation Pathways

### Purpose

To explore in-depth gender differences in the trajectory of individual experiences with a new agricultural or natural resource management practice or organization, and the role of gender norms and capacities exercising agency and for innovation in these processes.

### Selection of informants

There are three options for selecting informants for this activity, but generally the informants should fit this profile:

- Two local men (ages 25 to 55) who have been successful innovators in agriculture or natural resource management; and
- Two local women (ages 25 to 55) who have been successful innovators in agriculture or natural resource management.

Please do not conduct these interviews with community members who have participated in other data collection activities for the study.

#### Option 1: Interviews focusing on the innovation specified in advance

In Cases where a CRP has identified an innovation for particular focus, the four interviews should be conducted with individuals who are generally well known by community members to have adopted and clearly benefited from the innovation (while the selection criteria for informants for the Life Story interviews are designed to provide a less biased perspective on local experiences with the innovation).

#### Options 2 to 3: Interviews focusing on important innovations and/or innovators that emerge during the fieldwork

Where a Case does not center on a particular innovation, then the team is free to focus these interviews in ways that the sponsoring Center would find most valuable. Two options are provided below, and teams can pick one or the other or a combination of both.

- i) **Explore an innovation of great local significance.** For example, an innovation could be identified by comparing the rankings conducted in the four adult FGDs' of the most important innovations in the community. Ideally an innovation will emerge for this interview that ranks among the top one or two by at least three of the four FGDs.
- ii) **Explore a variety of local innovators and innovation experiences.** For example, interviews could be conducted with local farmers who have developed their own agricultural varieties or management practices, or with local processors or vendors who have innovated in the local agricultural value chain.

Teams can therefore elect to focus their innovation pathways interviews on different innovations; however, this needs to be done with the understanding of more limited opportunities for systematic comparative analysis. Nevertheless, dimensions related to hardware, software, and gender norms and power relations that surround innovation processes can still be explored and compared across different

types of innovations in a specific context. Different innovations can be compared for similarities and differences in how and why men and women access, benefit from, or are disadvantaged by them. We especially want to learn from the experiences of women who have had to directly challenge local expectations for women's livelihood roles or the "correct" way that agriculture and NRM should be done.

### Issues for conducting the interview

The key purpose of this interview is to explore gender differences in involvement in innovation processes—for instance, knowing about alternative technologies or practices, and then accessing, testing, and adapting them—and the nature of the calculation of costs and benefits that accompanied these different steps. The analysis will require carefully tracing and comparing individual experiences over time, from the moment of first learning about the new technology or practice through to the present day. This may involve periods when no action was taken to learn more about, test, adopt, or improve on the technologies or practices due to barriers; and a key objective is to understand these barriers and whether, how, and why they may differ by gender.

Given this complexity, it may be more desirable to focus on experiences with a single innovation process. Yet, as discussed above, teams may also elect to explore a variety of "home-grown" agricultural and NRM innovation processes and whether and how they may be similar or differ by gender.

The questions provided in the interview instrument are for illustrative purposes only, and should be refined and deepened so that they better address the innovation under study and the local context. As a reminder, below is the guidance raised earlier about the dimensions of the innovation process which are of particular interest in the study. These three concerns should remain as priorities and guide the modifications that will be necessary before and during the interview to make it more relevant and meaningful for the informant.

- **Hardware changes:** For instance, did they involve new equipment, new varieties, new biological control mechanisms (i.e., weed, pest, disease control), new storage set ups, and so forth?
- **Software changes:** Especially probe on **new knowledge and ways of learning** about pest control methods, informed choices about varieties based on evaluation, soil management, post-harvest processing techniques, and so forth. Software is also about mindsets and openness to try new things and about the different **actors/institutions/networks/relationships** involved in testing, adapting, and providing feedback and enabling innovation.
- **Changes in gender roles and relations:** Are there differences in how men and women learned about, tested, used, or benefited from the new practice? Are there gender differences in disadvantages associated with the new practice? Has the new practice changed how couples interact or make decisions, or how the community thinks about what is appropriate for women and men to do, to own, or control?

The interviewer should be very careful to document the informants *own* understandings, explanations, and interpretations of their experiences with the innovation over time—whether good, bad, or indifferent. Be tolerant of some silence while the respondent is recalling and collecting their thoughts. It can be very helpful to repeat back important information shared during the interview to ensure that you have understood correctly and to let the informant know that you value highly the information that they

are sharing. The interviewer's own observations about and interpretations of the information provided are also valuable, but please be sure to bracket these off in parentheses or footnotes so that the source is clear.

Finally, **it would be wonderful if pictures could be taken** and included in the documentation of the interview that illustrate: i) the innovation and ii) its main disadvantages and iii) benefits for the respondent. Feel free to use your imagination to convey these different dimensions with the photos, and to provide explanatory text where this may be helpful for understanding what the photo is intended to convey.

### Preparations and materials needed for the interview

Again, please refine the interview instrument as appropriate for your local context and innovation(s) and other information of particular interest to your CRP. When refining the instrument, please exercise caution so that the question/variable numbers for the global questions are not changed. Please be sure to have the following materials:

- ✓ Roster and interview instrument
- ✓ Ladder figure (see annex 2)
- ✓ Table on productive assets at the end of the interview
- ✓ Voice recorder (optional)



## Roster and interview: Innovation Pathways semi-structured interview (activity F)

### Activity F. Semi-structured individual interview: Innovation Pathways

Name of the community: \_\_\_\_\_

Community pseudonym: \_\_\_\_\_

Interviewer: \_\_\_\_\_

Date: \_\_\_\_\_

Respondent's name: \_\_\_\_\_

Male \_\_\_ Female \_\_\_

Age: \_\_\_\_\_

Relationship to household head \_\_\_\_\_

Marital status \_\_\_\_\_

*(If in a polygamous household: number of co-wives \_\_\_\_\_ and if a wife: order of marriage \_\_\_\_\_ )*

Level of education completed \_\_\_\_\_

Number of children: \_\_\_\_\_ Ages of youngest and oldest: \_\_\_\_\_ - \_\_\_\_\_

Primary occupation \_\_\_\_\_

Secondary occupation \_\_\_\_\_

Main ethnic group of the household \_\_\_\_\_

Main religion of the household \_\_\_\_\_

Length of time lived in the community \_\_\_\_\_ years

**[Read:] Thank you for agreeing to be interviewed today. This interview is part of a study being conducted on gender and agriculture issues here in this community and in other communities around the world. Today I am interested in learning about your opinions of [the innovation]. We will talk about the time when you first heard about [the innovation], all the way through to your experiences with and views of [the innovation] at the present time.**

**I want to make sure that you understand fully that this interview is voluntary and will remain confidential. My organization will not be using your name or the name of this community in any publication with the information that you share today. We hope that you will feel free to talk about your experiences and views on both the benefits of and problems with [the innovation]. You are of course very free not to answer any of my questions and to end the interview whenever you like. However, I very much hope to complete the interview because your views and experiences are very important to us. We cannot promise that you and your community will benefit directly from this study, but the information that we are collecting will help to improve agricultural research and development activities in your country and in other countries.<sup>34</sup>**

**Do you have any questions before I begin?**

F.1 Please imagine a 5-step ladder [*show figure of ladder*], where at the bottom, on the first step, stand individual [sex of respondent] of the community with little capacity to make their own decisions about important affairs in their lives. These [sex of FGD] have little say about if or where they will work, starting or ending a relationship with a [opposite sex], or starting a new agricultural or other business. On the highest step, the fifth, stand those who have great capacity to make important decisions for themselves, including about their working life and whether to start or end a relationship in their personal life.

F.1a On which step of this ladder would you position yourself today? \_\_\_\_\_

F.1b And 10 years ago? \_\_\_\_\_<sup>35</sup>

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<sup>34</sup> If there is interest in a voice recording of the session, please add this to the introductory remarks: We would like your permission to record the interview so that we can document your views and experiences accurately. If you prefer that we do not record the session, however, we will not do so.

<sup>35</sup> The two ratings will need to be added to the Excel database.

### Ladder of Power and Freedom



*[The figure on the flipchart only needs to show the ladder and step #. The narrative in this figure is to help facilitators describe the different steps.]*

- F.2 What do you think are the main reasons why your rating *(increased/stayed the same/decreased)*?
- F.3 Now I would like to turn to [the innovation]. Can you please tell me a little bit about it? What is new about it?
- F.4 How has [the innovation] changed the way you do things? *[Pause.]* What were you doing before you got involved with [the innovation]?
- F.5 Are you the type of person who likes to try out new things? Why? Or why not?
- F.6 Besides **[the innovation]**, **what other new kinds of [agricultural practices or technologies/NRM practices] have you** tried out?

## LEARNING PHASE<sup>36</sup>

- F.7 Okay, now let's back up to the very beginning—the time when you first heard about [the innovation] and before you decided to try it out. How did you first learn about [the innovation]?
- F.8 When was this?
- F.9 Did someone encourage you to try out [the innovation]? Who was that?
- F.10 Do you recall the factors you considered when you were deciding to give [the innovation] a try?
- F.11 What different places could you turn to in order to get more information about [the innovation] or possibly some material support? Did you take advantage of these? What were these places?
- F.12 What does someone need to know or learn about in order to get started with [the innovation]?
- F.13 How skilled do you need to be try out [the innovation]?
- F.14 What else do you need to try it out?
- F.15 Did you talk about trying out [the innovation] with anyone in your family? [If so] How did they respond? What was their role in the decision to try it?
- F.16 Did you mention [the innovation] to anyone else besides your family? [If so] Who? What were their reactions? What was their role in your decision to try it?

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<sup>36</sup> The interview instrument assumes that the innovation entered the community from the outside and the questions follow a linear thematic sequence. However, a respondent's actual experiences with an innovation may well be of their own invention and/or not linear at all. The interviewer should absolutely feel free to revise questions completely as well as to jump around and to probe much more deeply on certain phases as relevant to the respondent's particular experiences. Again, use the three areas of "hardware changes," "software changes," and "changes in gender roles and relations" to guide the deeper probing.

## TESTING/ADAPTATION PHASE

- F.17 Now, let's jump ahead to that moment when you began trying out [the innovation]. When was this?  
Was there a long period between knowing about [the innovation] and trying it out? [If so] Why?  
What was the delay?
- F.18 Did you take out a loan or borrow cash for [the innovation]? [If so] Please tell me about this.
- F.19 How did other family members react when you first tried out [the innovation]? Did they encourage or discourage you?
- F.20 What about other people in your life? How did they react? *[Pause for response.]* Did they make suggestions about changes in the innovation? [If so] Please tell me about these.
- F.21 Tell me about your early experiences with [the innovation]. What went well?
- F.22 And what didn't go as well with [the innovation] as you had hoped? What were the biggest defects that you identified?
- F.23 Did you try out different things to make [the innovation] work better? [If so] Tell me about this?
- F.24 Did they make improvements? What were they?
- F.25 Did you communicate these changes back to the source of information about [the innovation]?
- F.26 In the early days of trying out [the innovation], do you recall what you were telling people about trying out [the innovation]? *[Pause]* [If so] What was their response?
- F.27 What important changes have resulted from [the innovation] for you?
- F.28 Of the changes you just mentioned *[it may be helpful to repeat them back to the respondent]*, which ones have been the most significant for you? Why?

- F.29 Did members of your family, or neighbors or other people in your community also try out [the innovation]? Who?
- F.30 Did they do that as a result of your testing of it, or for other reasons?
- F.31 If others tried it out, why did some continue with [the innovation] and why did others drop it?
- F.32 What are the important changes from [the innovation] for your community?
- F.33 Have any problems emerged with use of [the innovation]?
- F.34 Did these problems increase or decrease as you became more familiar with [the innovation]? Why?
- F.35 Has anything that you have learned from your involvement with [the innovation] been useful to you in other ways besides with [the innovation]?
- F.36 Has [the innovation] affected any of your other activities—either at work or in your household? [If so] How?
- F.37 What about the most important relationships in your life? Do you think these have been affected in some way by your experiences with [the innovation]?
- F.38 What about important decisions in your household? Have any of these been affected by your involvement in [the innovation]?
- F.39 Do you think the respect which you receive within your family has increased or decreased because of the innovation? [If so] What led to this?
- F.40 Now I'd like to move outside your home. Have your relationships with your friends or neighbors been affected at all by your involvement with [the innovation]?

F.41 Has your participation in any groups inside or outside the community been affected by your involvement with [the innovation]?

F.42 Are there other ways perhaps that [the innovation] has affected your life that we have not yet discussed?

F.43 Now, looking back on all that we have talked about, what do you think helped you the most to be successful with [the innovation]?

F.44 Is there anything that you would have liked to have done differently with [the innovation]?

F.45 What do you think would make it easier for you to try out other new practices or organizations that are involved in similar [innovations]?

F.46a Next I would like to ask you about other agricultural practices in your household.

*[If the interview is with a woman,<sup>37</sup> please ask:]* **Do you and your husband each have your own plots? [If so] How is it decided which crops to plant on your own plots?** *[Pause for response. It may be useful to probe on who decides and what factors they consider, such as proximity to house, quality of soil, irrigation options, size of plot, historical use of plot . . .]* **And how is it decided which crops to plant on your husband's plots?**

– **Generally, if you want to plant a new crop, would you consult anyone on this?** *[Probe if they would consult their husband if not mentioned.]*

– **How do you decide whether to use improved varieties or good quality seed or chemical fertilizer on your plot(s)?<sup>38</sup>** *[Pause for response.]* **If there is not enough seed of the new varieties or**

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<sup>37</sup> If the woman is not married, please adapt the questions accordingly.

<sup>38</sup> It may be useful to probe how some of these questions relate to the informant's involvement in high-value crops, such as tobacco in Malawi.

**fertilizer for all of the household's plots, on which plots would the new varieties be planted or the fertilizer applied?**

- **What if the new crop requires additional labor, how will you fill the labor gap?**
  
- **Do the both of you typically buy seeds of improved varieties and other inputs for all household plots together, or do you each make the purchases separately for your own plots?** *[Please probe separately about decisions surrounding improved seeds, chemical fertilizer, and pesticides/herbicides.]*
  
- **Whose money is used to buy improved seeds and other inputs for your plots? And whose money is used for your husband's?** *[Please probe separately about improved seeds, fertilizer, and pesticides/herbicides to see if these vary.]*
  
- **Do you typically need labor from others to help manage your plots? [If so] During which seasons? How do you get additional labor?** *[Probe if necessary on whether the husband or other household members supply this.]*
  
- **How is it decided whether to hire labor to help with your plot? [If they hire labor] Who pays the laborers? Do you and your husband typically need extra labor during the same seasons? [If so] How do you prioritize these labor needs?**

F.46b *[If the interview is with a man,<sup>39</sup> please ask:]* **Do you and your wife each have your own plots? [If so] How is it decided which crops to plant on your own plots?** *[Pause for response. Probe on who decides and what factors they consider, such as proximity to house, quality of soil, irrigation options, size of plot, historical use of plot . . .]* **And how is it decided which crops to plant on your wife's plots?**

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<sup>39</sup> If the man is not married, please adapt the questions accordingly.



- **Generally, if you want to plant a new crop, would you consult anyone on this?** *[Probe if they would consult their wife if not mentioned.]*
  
- **How do you decide whether to use improved varieties or high quality seed or chemical fertilizer on your plot(s)?**<sup>40</sup> *[Pause for response.]* **If there is not enough seed of the improved varieties or fertilizer for all of the household's plots, on which plots would the new varieties be planted or the fertilizer applied?**
  
- **What if the new crop requires additional labor, how will you fill the labor gap?**
  
- **Do the both of you typically buy seed of improved varieties or high quality seed or other inputs for all household plots together, or do you each make the purchases separately for your own plots?** *[Please probe separately about decisions surrounding improved seeds, chemical fertilizer, and pesticides/herbicides.]*
  
- **Whose money is used to buy these inputs for your plots? And whose money is used for your wife's plots?** *[Please probe separately about improved seeds, fertilizer, and pesticides/herbicides to see if these vary.]*
  
- **Do you typically need labor from others to help manage your plots? [If so] During which seasons? How do you get additional labor?** *[Probe if necessary on whether the wife or other household members supply this.]*
  
- **How is it decided whether to hire labor to help with your plot? [If they hire labor] Who pays the laborers? Do you and your wife typically need extra labor during the same seasons? [If so] How do you prioritize these labor needs?**

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<sup>40</sup> It may be useful to probe how some of these questions relate to the informant's participant in high-value crops, such as tobacco in Malawi.

F.47 To conclude our interview I would like to ask you about different types of productive assets in your household, and who owns and makes decisions about them.

	<b>Productive Capital</b>	<b>How many of [ITEM] does your household currently have? (use "0" to indicate none, and skip to next item)</b>	<b>Who would you say can decide whether to sell [ITEM] most of the time? (see codes below)</b>
		<i>F.47a</i>	<i>F.47b</i>
i.	Agricultural land (pieces/plots)		
ii.	Large livestock (oxen, cattle)		
iii.	Small livestock (goats, pigs, sheep)		
iv.	Chickens, ducks, turkeys, pigeons		
v.	Fish pond or fishing equipment		
vi.	Farm equipment (nonmechanized)		
vii.	Farm equipment (mechanized)		
viii.	Nonfarm business equipment		
ix.	Large consumer durables (fridge, TV, sofa)		
x.	Jewelry		
xi.	Cell phone		
xii.	Means of transportation (bicycle, motorcycle, car)		

**CODES for F.47b**

Self.....	1
Partner/spouse.....	2
Self and partner/spouse jointly.....	3
Other household member.....	4
Self and other household member(s).....	5
Partner/spouse and other household member(s).....	6
Someone (or group of people) outside the household.....	7
Self and other outside people .....	8
Partner/spouse and other outside people.....	9
Self, partner/spouse, and other outside people.....	10

F.48 *[Please ask the informant to identify the two most valuable assets on the list and whether and how their household's ownership of and decisions surrounding these assets has changed over the past 10 years. And why?]*<sup>41</sup>

*Thank you very much for sharing your views and experiences today. This will make an important contribution to the study.*

<sup>41</sup> A pre-coded question could be added to enable rough comparisons among informants of the market value of the two largest assets identified.

## Activity G. Semi-Structured Interview: Individual Life Story

### Purpose

To understand the life stories of how and why some women and men escape from poverty, remain trapped in poverty, or fall into deeper poverty; and how gender norms and capacities for exercising agency, livelihood innovation, and other dimensions shaped these different poverty dynamics.

### Selection of informants

A total of **four Individual Life Stories** should be conducted with two men and two women who are

- **30 to 55 years of age**; and
- have themselves been **engaged directly in agricultural or NRM activities** over the past 10 years.

In addition, the respondents should have the following characteristics:

- One adult female who **moved out of poverty** over the last 10 years (as defined by the Ladder of Life FGDs)
- One adult male who **moved out of poverty** over the last 10 years (as defined by the Ladder of Life FGDs)
- One adult female whose mobility status reflects the **predominant poverty dynamic** of the wider community (as determined by the Ladder of Life FDG and explained further below)
- One adult male whose mobility status reflects the **predominant poverty dynamic** of the wider community (as determined by the Ladder of Life FDG and explained further below)

Please do not interview big farmers or community members who have already contributed to the study. And last but not least, if the Case is focusing on a particular innovation:

- Two of the four interviews should be with individuals who **adopted** the innovation(s) of interest to the CRP sponsoring the case, and **one of these should be a partial or unsuccessful adoption experience**.
- Two of the four interviews should be with individuals who have similar characteristics as those who adopted the innovation (e.g., they *could* have adopted), but they *did not adopt* the innovation(s) of interest to the CRP sponsoring the case.

It will be useful to bring different age groups into this sample. For instance, try to include respondents who are in their 30s, 40s, and 50s.

The selection of informants for this interview should also be informed by the results of the Ladder of Life sorting activity (in activity C, Module 2). The sorting of 20 “representative” households on the two ladders developed by a male FDG and a female FDG provides a rough picture of the general mobility pattern experienced by members of the community. The field team leader will need to assess and compare what

the two FDGs determine to be the “prevalent poverty dynamic,” which for this study is defined as **the main mobility pattern for just the steps below the poverty line**: Are the households that were deemed to be poor 10 years ago mainly seen to have been stuck over the past decade? Moving up? Or falling deeper into poverty? The mobility status of the latter two interview respondents should then reflect this general “poverty dynamic” that is common for that community.

If there is strong divergence in the mobility findings from the two FDG ladders, then further triangulation will be needed to gain an understanding of what may be driving the inconsistent views. A decision will then need to be taken and documented in the field notes on which of the two ladders is perceived by the research team to be more authoritative, and the poverty trend indicated on this ladder should then be used to inform selection of two respondents for the Life Story interview whose wellbeing over the past decade is consistent with this trend.

In sum, two of the four respondents (one male and one female) should have moved from below to above the community poverty line over the past decade. The other two respondents (one male and one female) should capture the general trend that is common among the households that were poor 10 years ago. Just two of the four interviews should be with individuals that have some first-hand experience with the innovation(s) of interest in this case. All four should be between the ages of 30 and 55 and directly involved in agricultural and NRM livelihoods.

Finally, it is best if the Life Story respondent has not participated in one of the focus groups for this study prior to their Life Story interview. Their experiences in the FGD could affect their responses, as there is substantial overlap in the topics covered.

### Description of method

The purpose of the interview is to gather people’s life stories and understand the factors and processes behind movements out of poverty and into the middle class, remaining trapped in poverty, or falling deeper into poverty.<sup>42</sup> What were the high points, the low points, or the turning points? Did factors come together to help the individual move up, fall down, or stagnate? Such details and dynamics of how and why individuals can and cannot become better off are impossible to get from a questionnaire. And because sensitive questions are asked during the interview, it is important to ensure that this activity is conducted in a private location.

More specifically, the interview instrument probes into how gender norms and power relations and capacities for agency and innovation in agricultural and natural resource management interact to shape mobility processes on the ground.

The timelines given below are an attempt to uncover different aspects of an individual’s life. However, please feel free to introduce or follow any line of questioning that will give insights on the respondent’s

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<sup>42</sup> Although much can be learned from the never poor, a decision was made to focus on the other three transition groups.

perceptions and interpretations of the meaning of key events in their life, or the factors that come together to help them get ahead or that plunge them down and perhaps into crisis.

### *Introducing the interview*

After explaining the purpose of the study and the confidentiality of the information shared, the first step in the interview is to verify the movement status of the individual from the respondent's perspective. The interview should then provide the individual's life story and their own explanations of what helped or hindered them in their movements out of poverty or pushed them into deeper poverty. By the conclusion of the interview, we should understand the "hardware" and the "software" (including gender norms and their most important relationships) and the sense of agency that surrounds their agricultural livelihoods and/or use of natural resources—and how these processes in turn affected their overall wellbeing and mobility.

The interview will collect information on four topics:

1. Occupational history;
2. Economic history, including processes and reasons behind important changes in employment, assets, and membership in organizations;
3. Social, psychological, and cultural history, including important social relationships in their life; areas of their lives that have brought value and meaning; changes in self-confidence; and identification with and belonging to groups and its importance in their lives;
4. Consolidation and trend line on overall wellbeing on the ups and downs of the individual's overall wellbeing, identifying the high points, the low points, the turning points, the point at which the individual felt more secure of having passed the danger point of falling into poverty; and the interaction and sequencing of factors and processes that came together for accumulation or depletion of assets and savings.

### *Constructing thematic timelines and trend lines*

Please note that some of the illustrations in this section are from the *Moving Out of Poverty* study, which was conducted in 2005 and 2006. **The timelines for your fieldwork should cover the previous 10 years, 2004 to 2014, and focus much more on gender and agricultural/NRM dimensions.**

The interview begins with general questions, and then moves into three topic areas: i) occupational history, ii) economic history, and iii) social, psychological, and cultural history. For each of the three topics and the final trend line on overall wellbeing, a separate timeline visual should be created during the interview. A two-step process is suggested below for completing the four different timelines, but teams are free to innovate with this tool.

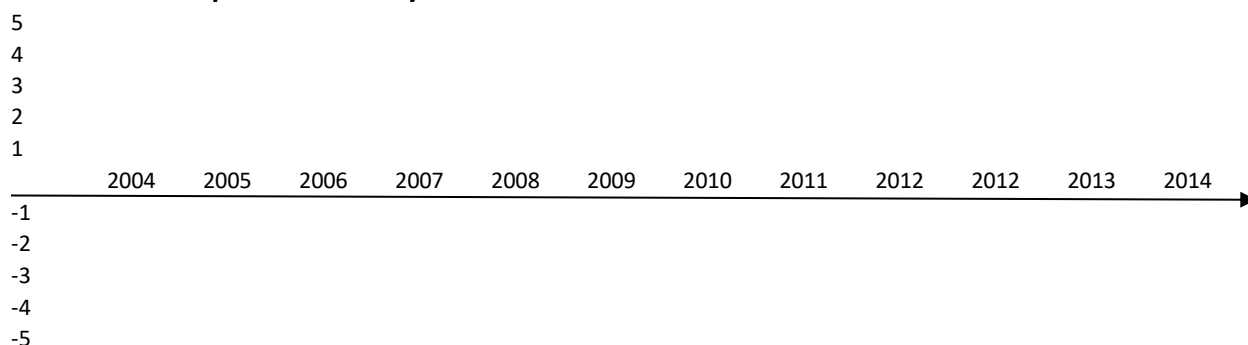
Step one: Timeline of key events or factors. For each of the topical areas under study during the interview, please create separate timelines on a large sheet of paper or on smaller papers that can be viewed together. It will be important to recreate each timeline fully in the write-ups of the interviews.

The timeline should indicate the key events, factors, or processes during the past 10 years that are pertinent for that topic. Sometimes people have difficulty recalling exact years, and some amount of approximation is fine, especially with older people. It usually helps to define the time period by recalling events in relation to some major event in their lives (such as a wedding or birth of a child) or in the country or area (such as a drought, fire or epidemic, or elections and so forth). Again, memories may become

clearer as events are recalled over the course of the interview. If an important event occurred more than 10 years ago, it should not be recorded on the timeline but should be captured in the narrative documentation of the interview.

Below is an example of a timeline that might be used to start discussion on the topic of occupational history. The timeline should begin 10 years ago, or in 2004. Discussion about all types of work activities prior to 2004 is encouraged. However, the probing into details about different jobs should focus on the last 10 years and draw out the respondent's perceptions about the main reasons for the different changes in their livelihood activities—and the effects of these changes on their wellbeing. Let them set the pace, however. People may move slower or faster through different livelihood activities and periods of their lives, depending on what they perceive to be important and the coming together of different events, factors, or processes at certain moments. If nonfarm work activities are discussed, then these should be fully captured on the timeline and in the notes as well.

### Individual occupational history



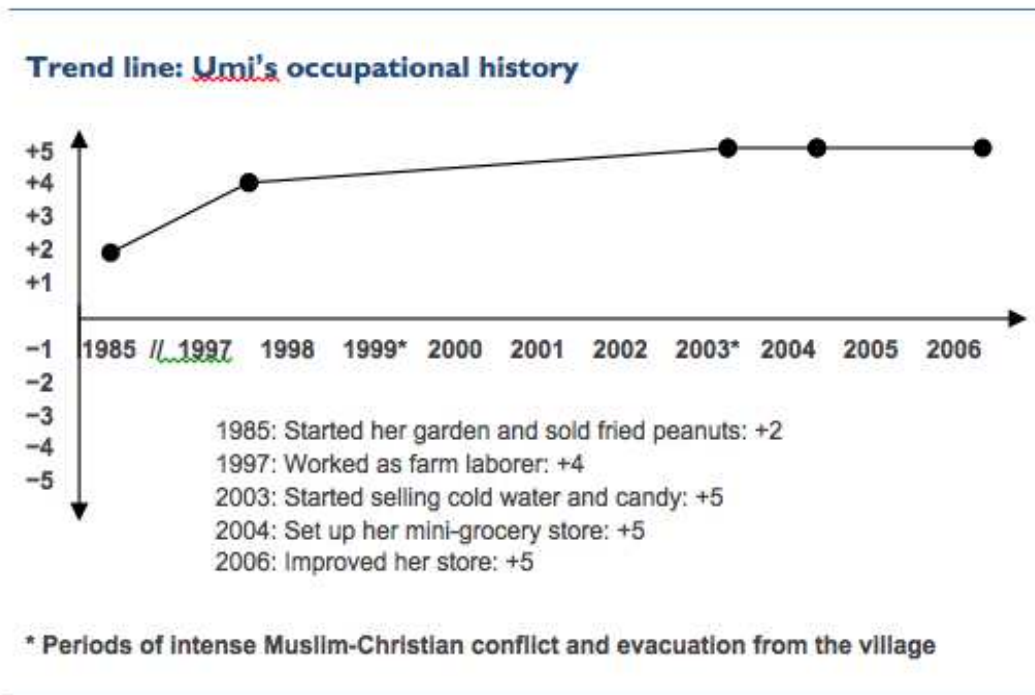
Step two: Scatter plots and optional trend line. Before going on to the next topic, please get the respondent to rate each major event along a vertical scale showing its impact on his/her overall wellbeing. You have the option to connect the dots to show an overall trend in wellbeing with respect to the topic. Below is an example of a trend line showing how occupational changes impacted a woman's sense of her wellbeing; and at the end of this section is an illustration of a richly detailed narrative write-up from a life story interview conducted for the World Bank's *Moving Out of Poverty* study.

Hand a pile of stars, dots, or pebbles over to the informant and ask them to place these along the rating scale, depending on how they perceive each change in their livelihood activities to have impacted their wellbeing. Dots just below the timeline would represent small declines in wellbeing, and dots far below the timeline would represent large declines. The rating scale would indicate:

- +5 = very large improvement in wellbeing (e.g., caused by the change in livelihood activities)
- +4 = large improvement in wellbeing
- +3 = improvement in wellbeing
- +2 = small improvement in wellbeing
- +1 = very small improvement in wellbeing
- 0 = no change in wellbeing
- 1 = very small decline in wellbeing
- 2 = small decline in wellbeing
- 3 = decline in wellbeing

- 4 = large decline in wellbeing
- 5 = very large decline in wellbeing

As an optional final step, connect the dots or stars with a trend line to indicate the changes in wellbeing over time as a result of occupational changes.



Note. Life Story, North Cotabato, Philippines, World Bank *Moving Out of Poverty* dataset (2006).

For each topic covered, it is important that a consistent scale be maintained for the years and ratings. In other words, all timelines should start from 2004 and go to 2014 (e.g., not as in the examples of timelines from previous studies). Timelines that begin in different years would make it harder to compare the scatter plots or trend lines and identify if there are common periods of peaks and troughs or certain events that come together to shape wellbeing trajectories.

It is to be expected that the respondent will weave together different themes to interpret and explain the trajectories of their lives. For instance, economic and social issues frequently emerge in discussions about livelihoods. While the occupational timeline visual should focus on changing livelihoods and their impacts on wellbeing, the hows and whys behind the linkages across the different themes or dimensions should be richly presented in the narrative write-up of the interview.

The final trend line on overall wellbeing should reflect what emerges from all the thematic trend lines. It is designed to convey what the respondent considers to be the sequencing and interaction of the most important factors shaping their overall wellbeing trajectory.

Of particular importance, while constructing the timelines and trend lines, please pay attention to and document the details and explanations of any combination, interaction, or sequencing of events and

factors that may have helped or hindered movement or lack of movement out of poverty or wealth maintenance for the individual. The interview should probe into the individual's own understandings and interpretations of key events in their lives, and the factors and processes over the last 10 years that have both helped and hindered their wellbeing. Take time to allow the individual to provide rich details about the nature of the factors and processes that shaped their lives, and to explain whether and how they had positive or negative effects or perhaps mixed effects. Be careful not to assume certain effects or ask leading questions. For instance, sometimes terrible shocks in people's lives can lead to surprisingly good changes. Alternatively, good fortune can sometimes have perverse effects. Please do not consider the visuals to be substitutes for documenting such details!

### Preparations and materials needed for the interview

Please refine the interview instrument as appropriate for your local context and innovation(s) and other information of particular interest to your CRP. When refining the instrument, please exercise caution so that the question/variable numbers for the global questions are not changed. Please be sure to have the following materials:

- ✓ Roster and interview instrument
- ✓ Markers
- ✓ Sheet of paper with the ladder figure (see annex 2)
- ✓ Small stars/dots
- ✓ Four different timelines (occupational; economic; social/psych./cultural; consolidated—see annex 2)
- ✓ Table on productive assets at the end of the interview
- ✓ Voice recorder (optional)



**Box 2. Selection from a woman's Life Story, village from the Autonomous Region in Muslim Mindanao (ARMM), Philippines, *Moving Out of Poverty* dataset (World Bank, 2006)**

**Occupational history:**

"My first job was to work as a substitute teacher here in Maladeg in a day care center," the informant narrated. She got the job in 1998 through a certain Kokong who introduced her to the officials of the barangay. She said, "They were searching for someone who could handle day care students. Kokong introduced me and he asked them if I could teach these students together with another woman." Marilou admitted that she is not really a teacher, but the experience that she had just by observing how the teacher of one of her kids did it, was enough for her to learn the skills in teaching small children.

I learned from the school in Batangas where my children were going when we were still living there. At age five, I enrolled my child in the nursery grade. She went there for a year. So for the year that I accompanied her to school, I learned the skill of teaching very young students. I learned by observing.

For three months, the informant was into teaching. However, she realized that her compensation as a teacher was not sufficient. There were two of them who had to divide the honorarium they received from the local government officials and the DSWD. They also divided among themselves the small tuition fees that each daycare student paid. Marilou was into a small business while she was teaching. She knew that she was earning more from her business than from teaching, especially that the number of daycare students were declining. When she saw this, she decided to resign from the job and give favor to the other teacher.

I was not contented of that work because of the small salary that I was getting. I just worked for three months and then I stopped because I got tired of it. Since there were two of us, we have to divide our allowance. We got Php500.00 from the mayor, another Php500.00 from the barangay and Php500.00 from the DSWD. So we got a total of Php1,500.00 which we have to divide among ourselves. But I favored Mimi, the first teacher. I just asked my share from the tuition fees paid by the children, at Php15.00 each. However, the number of enrollees in the daycare became less so I told her, 'I think there is no need for the two of us to handle the daycare because there are only a few students. I think you should continue teaching and then I resign.'

In the months that she worked as a substitute teacher, Marilou said that her wellbeing was only at positive one. "I was only earning Php50.00," she declared.

While the informant was working as a substitute daycare teacher, she was also into selling grilled bananas and sea cucumber. She has mentioned that she decided to quit teaching and focus on selling grilled bananas because of the income that she was getting from it. Marilou said, "We have a very small salary because it was just considered as an allowance. So I decided to stop. I focused on the grilled bananas that I sold because I earned more from it."

Marilou shared that she bought the bananas she grilled and sold from Maranding and Kalibao because there were no bananas of that kind in Maladeg. She admitted that the price of the bananas at Php2.00 per stick (two bananas per stick) was quite expensive in those times, but she justified that this price was reasonable since she has to pay her travel just to buy the bananas. She also needs to buy the other ingredients to make the grilled bananas tastier, such as white sugar and margarine. The informant declared that she profited much from this business, and she earned more as the years went by:

My net income in a day depends on the number of bananas I sold. For instance, one bunch of banana would cost Php80.00. I would count all the bananas in it and make sure that I cook more than 100 bananas so that I would have some profit. Usually in a day, I would have a profit of Php60.00. The more bananas I sold, the bigger my profit.

Aside from selling grilled bananas, she also sold sea cucumber. "If I have no bananas to sell, I would go to the sea. I would buy sea cucumbers from the compressors or buy them from the divers," she narrated. She described that sea cucumbers were shaped like worms, but their sizes and prices vary. The most expensive of this kind is the *Bacungan*.

Auntie Da loves to eat Bacungan. Bacungan is the most expensive of it. One kilo of that in Cebu is worth Php1,000. It is very expensive and very difficult to find. It is six inches long and it is very heavy.

Marilou imparted that preparing the sea cucumber for marketing required a lot of exposure to smoke and the sun.

You take all its entrails because it eats sand. Then you boil it. After boiling it, you grill it with smoke. After grilling, you let it dry under the sun, until it becomes stiff. Cooking it is very complex. You would be exposed to the heat and then you wash your hand in cold water.

She said that when she had this business, she frequently went to Cebu and delivered as much as two sacks of sea cucumber. Since marketing this animal required a lengthy travel, there was a need to cook it well.

I frequently went to Cebu because I would deliver as much as two sacks there. We sell it somewhere in Carbon. The sea cucumber would not easily be spoiled as long as it is cooked very well. In Cebu, it is mixed with some Chinese dishes and some are even exported.

These two businesses of the informant has produced a very large improvement (5) in her wellbeing. According to her, "These were the best businesses that I had."

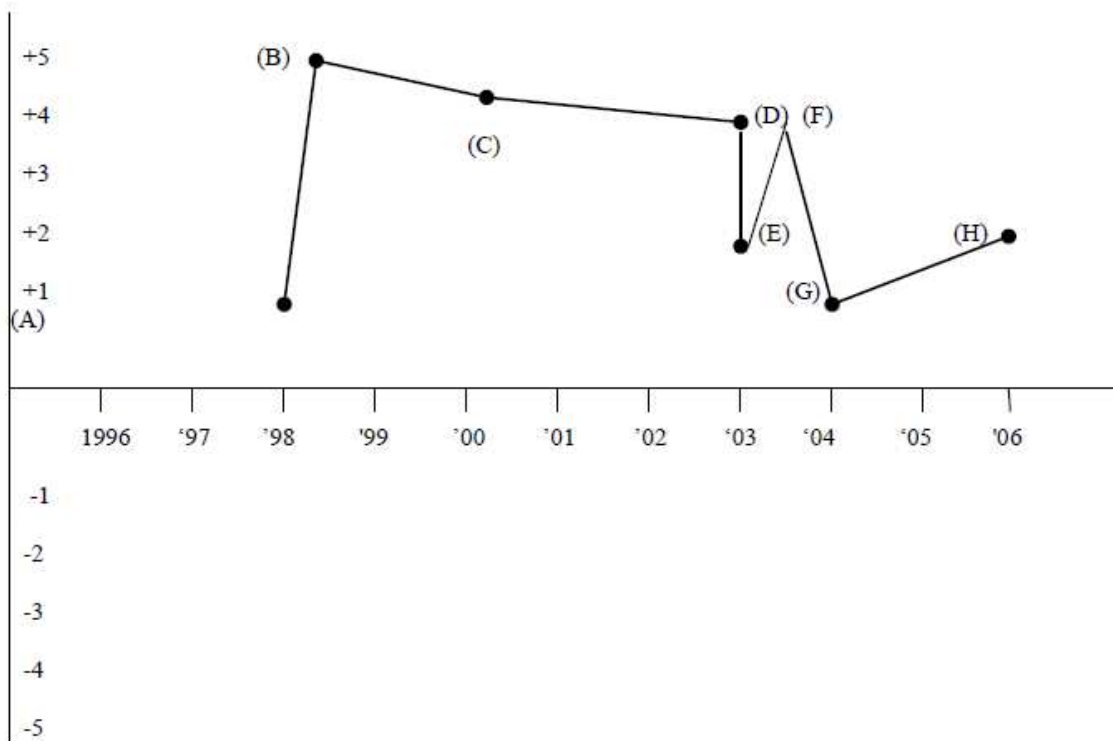
By 2000, Marilou stopped selling sea cucumber and ventured into raising hogs. "I had a sow at that time and I let it breed," she recalled. She was raising hogs for about two years until a conflict broke out in Maladeg in 2002. She opted to sell her pig to a Marine officer not only because of the conflict but also due to her incoming work in Sebastian Construction Company.

I sold my pig because there was a conflict here in Maladeg and Uncle Bob allowed the Marines to fight the rebels who attacked us here. A Marine who also wanted to make money brought my pig. It was not really due to the conflict that I sold that pig. They begged to buy my pig. Since I was about to work in Sebastian and no one would feed it, I decided to sell it.

Raising hogs almost made an equal impact on the occupational wellbeing of the informant if she would have not sold it. Since she put it up for sale, she rated her wellbeing at positive 4.5. *[The life story continues . . .]*

### Occupation History

(please note that the observation period for this study was 1996 to 2006)



#### Notes:

- A. 1998 – The informant worked as a substitute teacher for the day care center in Maladeg. (1)
- B. 1998 – The informant stopped working as a day care teacher after three months. She focused into selling grilled bananas and *balat* (a kind of fish). (5)
- C. 2000 – The informant raised hogs, which she eventually sold when she was about to enter Sebastian Construction Company. (4. 5)
- D. 2003 – The informant was hired in Sebastian at the same time sold grilled bananas. (4)
- E. 2003 – The informant became a dealer of Avon cosmetic products and Tupperware plastic wares. (2)
- F. 2003 – The informant sold ice candies. (4)
- G. 2004 – The informant was appointed as one of the Barangay Councilors of Maladeg. (1)
- H. 2006 – The informant's present occupational well-being. (2)

## Roster and interview: Individual Life Story semi-structured interview (activity G)

### Activity G. Semi-structured interview: Individual Life Story

Name of the community: \_\_\_\_\_

Community pseudonym: \_\_\_\_\_

Interviewer: \_\_\_\_\_

Date: \_\_\_\_\_

Respondent's name: \_\_\_\_\_

Male \_\_\_ Female \_\_\_

Age: \_\_\_\_\_

Relationship to household head \_\_\_\_\_

Marital status \_\_\_\_\_

*(If in a polygamous household: number of co-wives \_\_\_\_\_ and if a wife: order of marriage \_\_\_\_\_ )*

Level of education completed \_\_\_\_\_

Number of children: \_\_\_\_\_ Ages of youngest and oldest: \_\_\_\_\_ - \_\_\_\_\_

Primary occupation \_\_\_\_\_

Secondary occupation \_\_\_\_\_

Main ethnic group of the household \_\_\_\_\_

Main religion of the household \_\_\_\_\_

Length of time lived in the community \_\_\_\_\_ years

**[Read:] Thank you for agreeing to be interviewed today. This interview is part of a study being conducted on gender and agriculture issues here in this community and in other communities around the world. Today, we're interested in learning your life story. We are interested in knowing the factors and events that created opportunities and obstacles for you, and we especially want to learn about the factors that you believe enabled you to take action on your own behalf and improve your life and the life of your family. I am now going to ask you a series of questions on various aspects of your life and you are free to talk about anything else you feel is important. As you are talking about these aspects, please keep in mind what helped you; what hindered you; what came in the way; and why you did certain things.**

**I want to make sure that you understand fully that this interview is voluntary and will remain confidential. My organization will not be using your name or the name of this community in any publication with the information that you share today. We hope that you will feel free to talk about your experiences and views on both the benefits of and problems with [the innovation]. You are of course very free not to answer any of my questions and to end the interview whenever you like. However, I very much hope to complete the interview because your views and experiences are very important to us. We cannot promise that you and your community will benefit directly from this study, but the information that we are collecting will help to improve agricultural research and development activities in your country and in other countries.<sup>43</sup>**

**Do you have any questions before we begin?**

### **Agency and introductory questions**

G.1 Please imagine a 5-step ladder [*show figure of ladder*], where at the bottom, on the first step, stand individual [sex of respondent] of the community with little capacity to make their own decisions about important affairs in their lives. These [sex of FGD] have little say about if or where they will work, starting or ending a relationship with a [opposite sex], or starting a new agricultural or other business. On the highest step, the fifth, stand those who have great capacity to make important decisions for themselves, including about their working life and whether to start or end a relationship in their personal life.

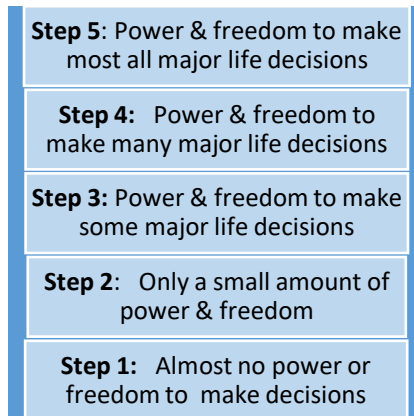
G.1a On which step of this ladder would you position yourself today? \_\_\_\_\_

G.1b And 10 years ago? \_\_\_\_\_<sup>44</sup>

### **Ladder of Power and Freedom**

<sup>43</sup> If there is interest in a voice recording of the session, please add this to the introductory remarks: We would like your permission to record the interview so that we can document your views and experiences accurately. If you prefer that we do not record the session, however, we will not do so.

<sup>44</sup> The two ratings will need to be added to the Excel database.



*[The figure on the flipchart only needs to show the ladder and step #. The narrative in this figure is to help facilitators describe the different steps.]*

G.2 What do you think are the main reasons why your rating (increased/stayed the same/decreased)?

G.3 Please tell me a little bit about where you were born, grew up, and went to school.

G.4 Have you lived in other places? If so, tell me a little bit about this and why you moved there. And here? *[If topic does not emerge, please ask about where lived before and after marriage or consensual union.]*

G.5 And now let's move to the present. Who are you living with? *[If relevant, ask about co-wives.]*

G.6 And how do you most often spend your days?

### **Occupational history**

G.7 Now we're going to focus on different areas of your life. The first set of questions will be about your different jobs and agricultural activities over the course of your life. Let's start when you were young. At what age did you first start working for pay—this could be work for cash or payment in meals or housing, or perhaps school fees? *[Try to document the years of different jobs.]*

*[Gather occupational information for the respondent's whole life, but probe deeply only into their livelihood activities for the past 10 years. Questions below will need to be modified for individuals who may be farmers, in a family business, working from home, and so forth. Again, record on the timeline only the key occupational changes that occurred in the past 10 years. Prior jobs should be described in the narrative.]*

G.8 Whose decision was it for you to start working? *[Ask if they worked as a child while going to school.]*

G.9 What was your next job [or agricultural activity]? Do you recall when you began this work and how you got the job?

*[Keep tracing their different work experiences until you reach the present. For the most important livelihoods, a few suggestions for probing are provided below, but these will have to be tailored to the respondent's particular experiences.]*

***[If the innovation(s) of interest in the Case do not emerge on their own without prompting, please be sure to note this in the documentation and then proceed to probe deeply on their views and possible experiences with it.]***

- How did you gain the knowledge and skills required for this [job or new agricultural activity]?
- Did you try out different things to improve [the job or new agricultural activity]? [If so] Tell me about this.
- Was your family supportive or unsupportive of your work? How about your friends?
- What important changes have resulted from [the job or new agricultural activity] for you?
- What have been the biggest problems with [the job or new agricultural activity]?

G.10 What have been the most important learning and educational opportunities for your work? In addition to formal schooling,<sup>45</sup> this might include opportunities that you had to learn new skills on the job, a training, or something such as an informal apprenticeship or guidance from someone.

G.11 Have you belonged to any economic organizations such as a credit or producer group or a cooperative? If so, please tell me about your experiences with the group(s).

G.12 Now I want you to think about the different jobs or agricultural activities that you have done over the last 10 years. What impact did they have on your wellbeing? Imagine a timeline that has five steps going up and five more steps going down *[draw this on the side of the timeline]*. The top most

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<sup>45</sup> Perhaps do not mention formal schooling if illiteracy is very high in the village.

step above the timeline would represent that you experienced a very large improvement in wellbeing from this livelihood; and the bottom most step below the timeline would represent a very large decline in your wellbeing. Please place a star (*or dot or pebble*) above or below the timeline to show what impact each major change in your work has had on your wellbeing.<sup>46</sup>

### **Economic history**

*[\*\* Please record on the timeline only the economic events that occurred in the past 10 years. Other major economic events prior to 10 years ago, and information about these, can be recorded in the narrative. \*\*]*

- G.13 Now I'd like to explore changes in your economic wellbeing and that of your household. Have you received any large assets or gifts from your family, perhaps when you married or a family member passed away? If so, what has been done with these assets? Large assets might be money or savings, a house, or property.

*[Especially if a woman, please probe deeply into whether and how she was able to receive the assets and whether she alone makes/made decisions about the use of the asset.]*

- G.14 What is the most important asset that you individually or together with someone else have been able to acquire during your life? This might be a house, land, livestock, machinery, a car, or a business.

- Why did you purchase or acquire it? How did it make a difference in your life?
- What/who made this possible?
- Who makes decisions in your household about whether to sell, lend, or keep this asset?

- G.15 ***[If a house was not mentioned in the previous question:]*** Who owns the house you live in? *[Pause for response.]* Do you or your family have a property title? [If so] In whose name is the title?

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<sup>46</sup> Please construct timelines at the end of each thematic section. It's distracting to be plotting the timeline when getting the rich information on each topic. Depending on the key events, it may be easier to work backwards from the present time to the past, when plotting key events, or vice versa. Also, people's memories will very often improve over the course of the interview, and it's fine to keep adding to or revising the notes and timelines.



- G.16 Have any members of your household ever worked in another part of the country or out of the country and sent money back home? [If so] Who made decisions about these funds? How were these funds mostly used?
- G.17 Please tell me about your experiences with taking on loans or credit. Have these been good or bad experiences for you? Why?
- G.18 I'd like to know more about how well you are getting by right now with your household's income? Do you get by easily? With difficulty?
- **[If difficult]** Lots of households have trouble making ends meet. Can you tell me about any strategies or things that you do now or perhaps did in the past that help you to be able to make ends meet? *[If necessary, PROBE: Did you cut back on anything (housing, utilities, transit, phone, clothing, food). Did you borrow money? Where? Did you get help? From where?]*
- G.19 There are some government programs that try to help families that are struggling. Has anyone in this household received social assistance in the past decade? If so, what types and when? *[Please ask following questions as appropriate.]*
- Do you decide yourself how to use the benefits of the program? [If yes] How do you use them?
  - [If no] How does *[that person]* use them, and do you agree? Can you negotiate on this?
  - What difference does this program make?
- G.20 Next I'd also like to ask a few general questions about your financial savings over the past 10 years. Who mainly manages the finances of your household?
- Does the same person also manage the day-to-day spending needs?
  - Have you been able to accumulate savings over the last 10 years? Were there any really prosperous times in this period? Or especially difficult times?
  - Who do you turn to for information, advice, or help with financial management?
  - Do you feel prepared financially if something bad should happen to the family which may require substantial funds? How will you cope?

- G.21 Now I want you to think about how important changes in your assets or savings over the last 10 years affected your wellbeing. We are again going to use a timeline, with numbers 1 to 5 above the timeline indicating rising improvements in wellbeing, and 1 to 5 below the timeline indicating more and more reduction in wellbeing. Please place a star (*or dot or pebble*) above or below the timeline to show what impact each of these changes in your wealth or assets had on your wellbeing.

### **Social, psychological, and cultural History**

*[\*\*\*Please record on the timeline only the events that occurred in the past 10 years. Other important household events/relationships prior to 10 years ago, and information on them can be recorded in the narrative.\*\*\*]*

- G.22 Now we're going to switch to a very different topic. If you think back over your life, what have been the most important relationships in your life that have helped you to pursue goals for yourself? Why? How have they made a difference? *[Please pause and give them time to reflect.]*
- G.23 What about people who might have discouraged you in your work or pursuing other goals for yourself and your family. Have you struggled with this? If so, tell me about their role in your life?
- G.24 Do you think that the respect which you receive within your family has increased or decreased over the years? What has led to this?
- G.25 Were there any important household events in the past 10 years? *[Pause for responses. If silence, then prompt with probing into major changes in the household, perhaps due to family break-ups, illnesses, or deaths? Or perhaps weddings or births? Or labor migration of family members? For each important event mentioned:]* How did this affect you and your family?
- G.26 Now I'd like to move outside your home. What have been the most important relationships with your friends and neighbors? How have they made a difference in your life? *[Probe about both positive and negative influences.]*<sup>47</sup>
- G.27 And what have been other important relationships in your life in and beyond the community? How have they made a difference? Tell me about these. *[Please probe deeply on these as they may be especially important for capacities to innovate.]*

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<sup>47</sup> This question may not need to be asked if nonfamily members emerge as important in G.22.

- G.28 Do you think of yourself as belonging to a certain community or to any formal or informal groups of people inside or outside the community? Which one(s)?
- G.29 Is belonging to this group important to you? If so, how? *[Ask for each group mentioned.]*
- G.30 Do you have any political connections? *[Wait for response.]* In the past 10 years, have you as an individual or your social group (define what the group is) ever tried to get help with a personal matter from a politician or a government official? What was their response?
- G.31 Now I want you to think about the impact on your wellbeing of each important relationship, involvement in a group, or other experiences we have just discussed.<sup>48</sup> Imagine a line that has five steps going up and five more steps going down *[draw this on the side of the timeline]*. The top most step above the timeline would represent that you experienced a very large improvement in wellbeing; and the bottom most step below the timeline would represent a very large decline in your wellbeing. Please place a star (or dot or pebble) above or below the timeline to show what impact each had on your wellbeing. *[If the respondent has a hard time associating a particular year with a relationship, it is fine just to use the vertical axis for this rating activity. But then please remove or cross out the horizontal axis.]*

### **Consolidation and trend line on overall wellbeing**

- G.32 Finally, if you think back over your life, what experiences have brought the most meaning to your life? *[Please refer back to the three previous timelines.]*
- G.33 Do you feel confident in yourself? How has your confidence changed over the years and why?
- G.34 I'd like to draw one final trend line on changes in your overall wellbeing over the last 10 years. Before drawing the trend line, it will be helpful to look across the three timelines we have just drawn.
- What were the high points or best things that happened in your life?
  - What were the low points or worst things that happened in your life?
  - What were the key turning points that really affected your life path?

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<sup>48</sup> The social timeline is hard to plot because relationships are not single events. Encourage the informant to just think about the real highs and lows in their life with their various relationships and networks. Things like births, weddings, deaths, big favors that friends do, or big changes due to belonging to a network, etc. Sometimes when you ask about the most important relationships people are silent about their spouse, and this can tell you more than any words.

G.35 Looking ahead, what do you think would make it easier for you to progress along the life path that you want?

G.36 To conclude our interview, I would like to ask you very quickly about different types of productive assets in your household, and who owns and makes decisions about them.

	<b>Productive capital</b>	<b>How many of [ITEM] does your household currently have? (use "0" to indicate none, and skip to next item)</b>	<b>Who would you say can decide whether to sell [ITEM] most of the time? (see codes below)</b>
		<i>G.36a</i>	<i>G.36b</i>
i.	Agricultural land (pieces/plots)		
ii.	Large livestock (oxen, cattle)		
iii.	Small livestock (goats, pigs, sheep)		
iv.	Chickens, ducks, turkeys, pigeons		
v.	Fish pond or fishing equipment		
vi.	Farm equipment (nonmechanized)		
vii.	Farm equipment (mechanized)		
viii.	Nonfarm business equipment		
ix.	Large consumer durables (fridge, TV, sofa)		
x.	Jewelry		
xi.	Cell phone		
xii.	Means of transportation (bicycle, motorcycle, car)		

#### CODES for G.36b

Self.....	1
Partner/spouse.....	2
Self and partner/spouse jointly.....	3
Other household member.....	4
Self and other household member(s).....	5
Partner/spouse and other household member(s).....	6
Someone (or group of people) outside the household.....	7
Self and other outside people .....	8
Partner/spouse and other outside people.....	9
Self, partner/spouse, and other outside people.....	10

G.37 *[Please ask the informant to identify the two most valuable assets on the list and whether and how their household's ownership of and decisions surrounding these assets has changed over the past 10 years. And why?]*<sup>49</sup>

*Thank you very much for sharing your views and experiences today. This will make an important contribution to the study.*

<sup>49</sup> A pre-coded question could be added to enable rough comparisons among informants of the market value of the two largest assets identified.

## Annex 1: GENNOVATE Training of Trainers Agenda

### **Qualitative Data Collection Methods for Comparative Case Study Research Training of Trainers, November 3 to 7, 2014**

International Potato Center, Jessore, Bangladesh

#### **Background**

Innovation in agriculture and natural resource management is critical to reducing rural poverty. But innovation that ignores gender inequality is limited in its impact and risks worsening the poverty, workload, and wellbeing of poor rural women and their families. Because of deep-seated gender norms—i.e., social rules influencing women’s and men’s choices and behavior—men and women have different capacities to take advantage of new opportunities in agriculture and NRM. Resultant gender inequalities in the costs and benefits of innovation sometimes result in harmful outcomes. Yet, how and why this occurs in some circumstances and not others is poorly understood. This limits our capacity to design and scale out agricultural innovations that deliver benefits fairly to poor women as well as to men.

Tackling this knowledge gap is urgent for CGIAR Research Programs (CRPs) to achieve positive development outcomes at scale. With this in mind, CRP gender specialists are launching a global study designed to:

- increase CRPs’ development outcomes by improving their targeting and design of innovations to take account of influential gender norms in their target regions; and
- propose strategies for scaling out CRP innovations that unlock the potential of poor women and men to participate and benefit, based on the study’s findings on gender and innovation.

The global study involves comparative case study research that applies a standardized qualitative methodology to build understanding of changing gender norms and agency in the context of agricultural or NRM innovation. Cases are being selected to cover a broad range of CGIAR Research Program target regions, environments, crops, and different cultures so that broad patterns in the role of gender norms in innovation and adaptation can be identified. In order for the results to be comparable, CRPs need to follow the Methodology closely. Training and technical support is designed to support this. The GENNOVATE Methodology for the field teams consists of interview instruments that all cases must use to collect data and document the fieldwork. The global study team is aware of the relevance of context to the issues being studied, and will provide as much flexibility as possible to meet local needs. There will be scope for researchers to refine and/or introduce selected questions into the existing modules of the interview instruments, and to collect additional data using their own modules. The quality of data generated by a case will be assessed by the study organizers before it is included in global analysis, using guidelines and standards provided during training on the data collection methods.

This study seeks to address the following research questions:

- How do gender norms and agency advance or impede the capacity to innovate and technology adoption in agriculture and NRM across different contexts and social structures?
- How do new agricultural technologies or practices affect gender norms and agency across different contexts? Under what conditions can they do harm to women?

- How are gender norms and women's and men's agency changing, and under what conditions do these changes catalyze innovation and lead to desired development outcomes (CGIAR SLOs)? What contextual factors influence this relationship?

### **Objectives of the workshop**

1. To train the Bangladesh CIP field team in the standardized method for conducting a Case Study and applying the Methodology.
2. To lay the foundation for the lead researchers for the Vietnam and Kyrgyz Republic Case Studies to train their own field teams using the Methodology.
3. To introduce workshop participants to techniques for qualitative comparative analysis with the Case Study dataset.

The focus of the workshop is on fieldwork preparations and data collection using the Methodology for the Case Study. In addition, strategies for data analysis and presentation of qualitative findings in the Case Study Synthesis Report will be covered briefly.

### **PROGRAM**

#### **Monday, November 3, 2014**

8:30 to 10:30 a.m.

#### **INTRODUCTION TO STUDY**

***Patti Petesch and Netsayi Mudege***

- Introductions
- Objectives and expectations of the workshop
- Study purpose and comparative Case Study methodology
- Brief roundtable discussion of sample cases and innovations
- Introduction to preparing for fieldwork
  - ✓ Review of PRA Precepts
  - ✓ Mobilizing a field team
  - ✓ Entering a community and coordinating logistics
  - ✓ Overview of data collection and field schedule
  - ✓ Recruiting study participants

10:30 to 10:45 a.m.

*Tea break*

10:45 a.m. to 6:00 p.m.

*(with a lunch and tea break)*

#### **ENSURING A COMMON UNDERSTANDING OF THE TOOLS**

- Activity A. The Literature Review
- Activity B. Community Profile
- Facilitation and notetaking: some key do's and don'ts
- Activity C. Focus group: Ladder of Life
- Activity D. Focus group: Capacities for Innovation
- Activity E. Focus group: Aspirations of Youth

## **Tuesday, November 4**

8:00 a.m. to 12:30 p.m.

### **PRACTICE LADDER OF LIFE FOCUS GROUP**

Prepare flipcharts in English and Bangla, and practice FGD

12:30 to 1:30

*Lunch*

1:30 to 3:30

### **PRACTICE CAPACITIES FOR INNOVATION SEMI-STRUCTURED INTERVIEW**

3:30 to 3:45

*Tea break*

3:45 to 5:45

### **PRACTICE LIFE STORY SEMI-STRUCTURED INTERVIEW**

6:30 p.m.

*Dinner*

## **Wednesday, November 5**

8:00 to 9:00 a.m.

### **PREPARE FOR FIELDWORK**

Practice challenging sections of Ladder FGD, discussion and clarification of questions about Ladder of Life FGD and semi-structured interviews

*Travel to the field with sack lunches*

10:30 to 12:30 p.m.

### **FIELD PRACTICE**

- **Innovation Pathways semi-structured interview** (with a male innovator)
- **Life Story semi-structured interview** (with a female whose household moved out of poverty)

12:30 to 1:30

*Lunch break and FGD preparations*

1:30 to 4:30

### **2 Ladder of Life FGDs**

- 8 to 10 poor male adults (ages 30 to 55)
- 8 to 10 poor female adults (ages 30 to 55)

*Return to Jessore*

6:30 p.m.

### **DINNER AND DEBRIEFING ON DAY 1 IN THE FIELD**

- Discussion and clarification of questions about the qualitative data collection tools and notetaking procedures



## **Thursday, November 6**

8:00 to 8:30 a.m.

### **REVIEW AND DISCUSSION OF GOOD PRACTICES IN THE FIELD**

- Facilitation techniques
- Notetaking and documentation requirements

8:30 to 12:30 p.m.

### **PRACTICE CAPACITIES FOR INNOVATION FGD**

Prepare flipcharts in English and Bangla, and practice FGD

*Travel to field with sack lunches*

2:00 to 5:00 p.m.

### **FIELD PRACTICE**

#### **2 Capacities for Innovation FGDs**

- 8 to 10 middle-class male adults (ages 25 to 55)
- 8 to 10 middle-class female adults (ages 25 to 55)

*Return to Jessore*

### **DINNER AND DEBRIEFING ON DAY 2 IN THE FIELD**

- Discussion and clarification of questions about the qualitative data collection tools and notetaking procedures

## **Friday, November 7**

8:30 to 9:00 a.m.

### **REVIEW OF FIELDNOTES AND DISCUSSION OF GOOD PRACTICES IN THE FIELD**

9:00 to 12:00 p.m.

Parallel sessions

*(with tea break)*

- I. Ensuring high quality data collection and documentation
- II. Introduction to qualitative comparative analysis and preparation of Case Synthesis Report

12:00 to 1:00

### **PRESENTATIONS FROM MORNING ACTIVITIES AND EVALUATION OF TRAINING**

1:00 to 2:00 p.m.

*Farewell Lunch*

## Annex 2: Overview of Figures, Tables, and Flipcharts for Focus Groups and Interviews

This annex provides a compilation of the visuals that should be prepared on flipcharts by the team *in advance* of each data collection activity. Please make each visual large enough so that all participants of an FGD can see them easily.

At the close of the focus group, the notetaker should document the flipcharts as part of their notes. These visuals, however, cannot substitute for rich notetaking, but they can often provide a useful means for triangulation during the analysis phase.

### Activity C. FGD: Ladder of Life

Module 1: Gender norms, labor market trends, and innovation practices

**Flipchart 1—add each stage when the corresponding question is being asked.**

*Stage 1:*

A good [husband/wife]*

*\*Start with the sex of the FGD. The tables below assume a men's FGD.*

*Stage 2:*

A good husband	A good wife

**Flipchart 2—add each stage when the corresponding question is being asked.**

*Stage 1:*

A man who is a good farmer

*Stage 2:*

A man who is a good farmer	A woman who is a good farmer

**Flipchart 3—add each stage when the corresponding question is being asked.**

*Stage 1: Initial visual*

Local jobs for [sex of FGD]	
On their family property	Off their family property

*Stage 2: Add row for new jobs.*

*Stage 3: Add row for jobs that disappeared.*

*Final visual:*

Local jobs for [sex of FGD]		
	On their family property	Off their family property
Today		
New jobs		
Jobs that disappeared		

**Flipchart 4—Local women’s likelihood of working for pay on or off family property**

*Rare (0 - 2 women in 10) ..... 1*

*Common (3 or more women in 10) .....2*

	Now	10 years ago
A young single woman		
A young married woman		
An older married woman		
A widow		

**Flipchart 5—add each stage when the corresponding question is being asked.**

*Stage 1: New agricultural practices*

New agricultural or NRM practices

*Stage 2 and 3: Most important*

New agricultural or NRM practices	<i>Most important for the [sex of the FGD]* of the community (top 2)</i>	<i>Most important for the [opposite sex of FGD] of the community (top 2)</i>

*[\*Please add the second and third columns step-by-step after asking the relevant questions asked. If a women's FGD, then label the middle column as "Most important for the women of the community (top two)."]*

## Module 2. Ladder of Life

**Flipchart 6—add each step when the corresponding question is being asked.**

*Stage 1: Add the top step and then the bottom step.*

Best off
Worst off

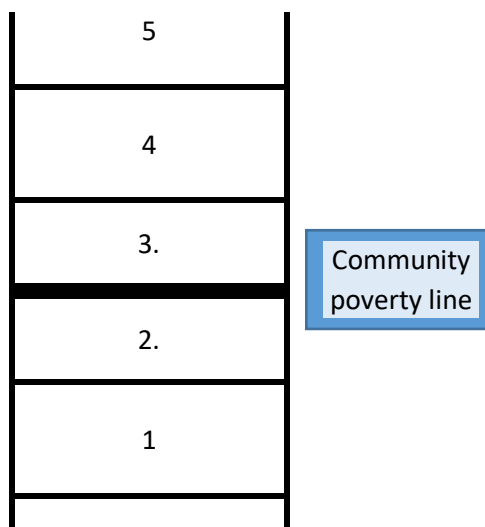
*Stage 2: Add a step above the poorest.*

*Stage 3: Add all additional steps identified/needed.*

*Stage 4: If a new step is required, please add the step and document the characteristics. If another step at the bottom is added for 10 years ago, please label this step 1, and relabel the other steps above it step 2,*

3, 4, and so forth. The bottom step should always be step 1 so as not to confuse the group or the comparative analysis later. Also please do not create a separate ladder for 10 years ago.  
 Stage 5: Draw a line and label it as the “community poverty line.”

Example of a final visual without notes on traits of each step:



**Flipchart 7—the flipchart should correspond to the ladder of the former flipchart.**

Stage 1: Share of households of this community today, on each step.

Steps	Distribution Now
5	
4	
3	
2	
1	
<b>Total</b>	20

(Only add rows needed to capture all the steps)

Stage 2: Add column for share of households of this community 10 years ago, on each step.

Steps	Distribution now	Distribution 10 years ago
5		
4		
3		
2		
1		
<b>Total</b>	20	20

[The number of ladder steps and the distributions of households are determined by the focus group. Please do not show any illustrations of ladders that are not created by the group. Also be sure to recreate the ladder visual with the facilitators' notes of each trait in the field notes—in addition to the narrative on the ladder captured by the notetaker.]

**Flipchart 8—add each stage when the corresponding question is being asked.**

Stage 1: Frequency of domestic violence over the past year:

	Over the past year
<b>1. Almost never happens here</b> (0 women in 10)	
<b>2. Occasionally happens here</b> (1 to 2 women in 10)	
<b>3. Regularly happens here</b> (3 women in 10)	
<b>4. Frequently happens here</b> (4 or more women in 10)	

Stage 2: Frequency of domestic violence 10 years ago (add third column)

	Over the past year	During 2004
<b>1. Almost never happens here</b> (0 women in 10)		
<b>2. Occasionally happens here</b> (1 to 2 women in 10)		
<b>3. Regularly happens here</b> (3 women in 10)		
<b>4. Frequently happens here</b> (4 or more women in 10)		

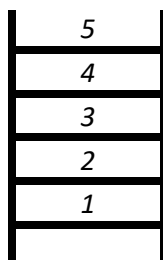
[Remember to ask to vote privately on the two questions, and then conclude the focus group with some discussion about their views.]

## Activity D. FGD: Capacities for Innovation

### Module 1: Agency, community trends, and innovations

**Flipchart 1—only for visual.** These ratings should be conducted in private. (A full-page ladder visual follows at the end of the annex.)

#### *Ladder of Power and Freedom*



**Flipchart 2—add each stage when the corresponding question is being asked.**

#### *Stage 1: New agricultural practices during the last 10 years:*

New agricultural or NRM practices

#### *Stage 2 and 3: Most important*

New agricultural NRM practices	Most important for the [sex of FGD] of the community (top 2)	Most important for the [opposite sex] of the community (top 2)

### Flipchart 3

Characteristics of innovators

**Flipchart 4—add each stage when the corresponding question is being asked.**

#### *Stage 1: Supporting factors*

Factors that support innovation
---------------------------------

#### *Stage 2: Most important for [sex of FGD]*

	Two most important for [sex of FGD]
Factors that support innovation	

#### *Stages 3 and 4: Factors that hinder innovation; and top two for sex of FGD*

	Two most important for [sex of FGD]
Factors that support innovation	
Factors that hinder innovation	



## Module 2. Household bargaining over livelihoods and assets

### Flipchart 5

How easy or difficult will it be for Diana to go ahead and purchase the plot of land in the absence of David's support?

- Very easy .....1  
 Easy.....2  
 Neither easy nor difficult..... 3  
 Difficult .....4  
 Very difficult.....5

For Diana to go ahead and spend her inheritance without David's support?	_____
--	-------

### Flipchart 6

How easy or difficult will it be for David to go ahead and purchase the motorbike in the absence of Diana's support?

- Very easy .....1  
 Easy.....2  
 Neither easy nor difficult..... 3  
 Difficult .....4  
 Very difficult.....5

For David to go ahead and spend his inheritance without Diana's support?	_____
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## Module 3. Local level institutions and the environment for inclusion and accountability

**Flipchart 7—This chart can be finalized so only to be filled out during the question.**

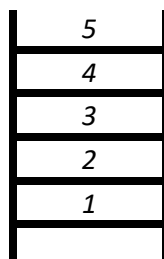
My neighbors are almost always <u>suspicious</u> , <u>reserved</u> , and <u>rarely helpful</u> when needed.	1	2	3	4	5	6	My neighbors are almost always <u>trusting</u> and <u>friendly</u> , and <u>helpful</u> when needed.
Responses							

## Activity E. FGD: Aspirations of Youth

### Module 1: Agency, education, and innovation

#### Flipchart 1—only for visual.

*Ladder of Power and Freedom*



#### Flipchart 2—add second column when the corresponding question is being asked.

*Stage 1: Reasons for [sex of FGD—girls/boys] to their end education*

Reasons for ending education
—
—
—
—
—
—

*Stage two:*

Reasons for ending education	Two most important reasons
—	
—	
—	
—	
—	
—	

#### Flipchart 3—add each stage when the corresponding question is being asked.

Stage 1: New agricultural practices during the last 3 years:

New agricultural or NRM practices

Stage 2 and 3: Most important

New agricultural or NRM practices	Most important for the [sex of FGD] of the community (top 2)	Most important for the [opposite sex] of the community (top 2)

Module 2. Gender norms, livelihoods, and family formation

Flipchart 4—This chart can be finalized so only to be filled out during the question.

Important crops or livestock for [sex of FGD] Now	Important crops or livestock for [sex of FGD] 10 years ago
-	-
-	-
-	-
-	-
-	-
-	-

### Flipchart 5

How easy or difficult will it be for Diana to go ahead and purchase the plot of land in the absence of David's support?

Very easy .....1  
 Easy.....2  
 Neither easy nor difficult..... 3  
 Difficult .....4  
 Very difficult.....5

<i>For Diana to go ahead and spend her inheritance without David's support?</i>	_____
---	-------

### Flipchart 6

How easy or difficult will it be for David to go ahead and purchase the motorbike in the absence of Diana's support?

Very easy .....1  
 Easy.....2  
 Neither easy nor difficult..... 3  
 Difficult .....4  
 Very difficult.....5

<i>For David to go ahead and spend his inheritance without Diana's support?</i>	_____
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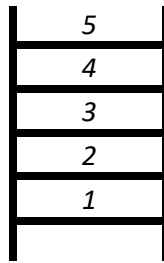
### Flipchart 7—This chart can be finalized so only to be filled out during the question.

*Freedom of movement:*

<i>Practically <u>no</u> women move freely on their own in the village</i>	1	2	3	4	5	6	7	8	9	10	<i>Practically <u>all</u> women move freely on their own in the village</i>
<i>Responses</i>											

## Activity F. Semi-structured individual interview: Innovation Pathways

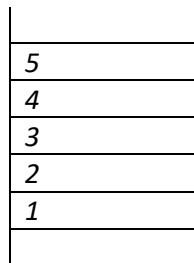
**Flipchart 1—Only for visual (also see end of annex).**



## Activity G. Semi-structured interview: Individual Life Story

**Flipchart 1—Only for visual (also see end of annex).**

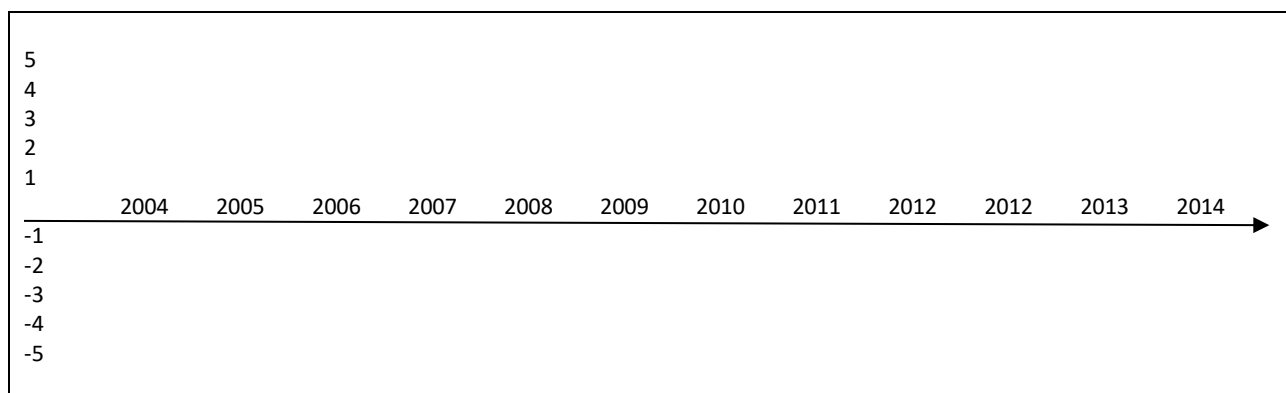
*Ladder of Power and Freedom*



**Flipcharts 2, 3, 4, 5 (or four sheets of paper)—for timeline and scatter plot (also see end of annex).**

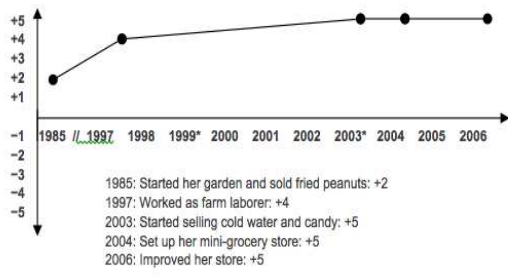
*Create one sheet of paper for each of the following activities:*

- Occupational history
- Economic history
- Social, psychological, and cultural history
- Trend line on overall wellbeing

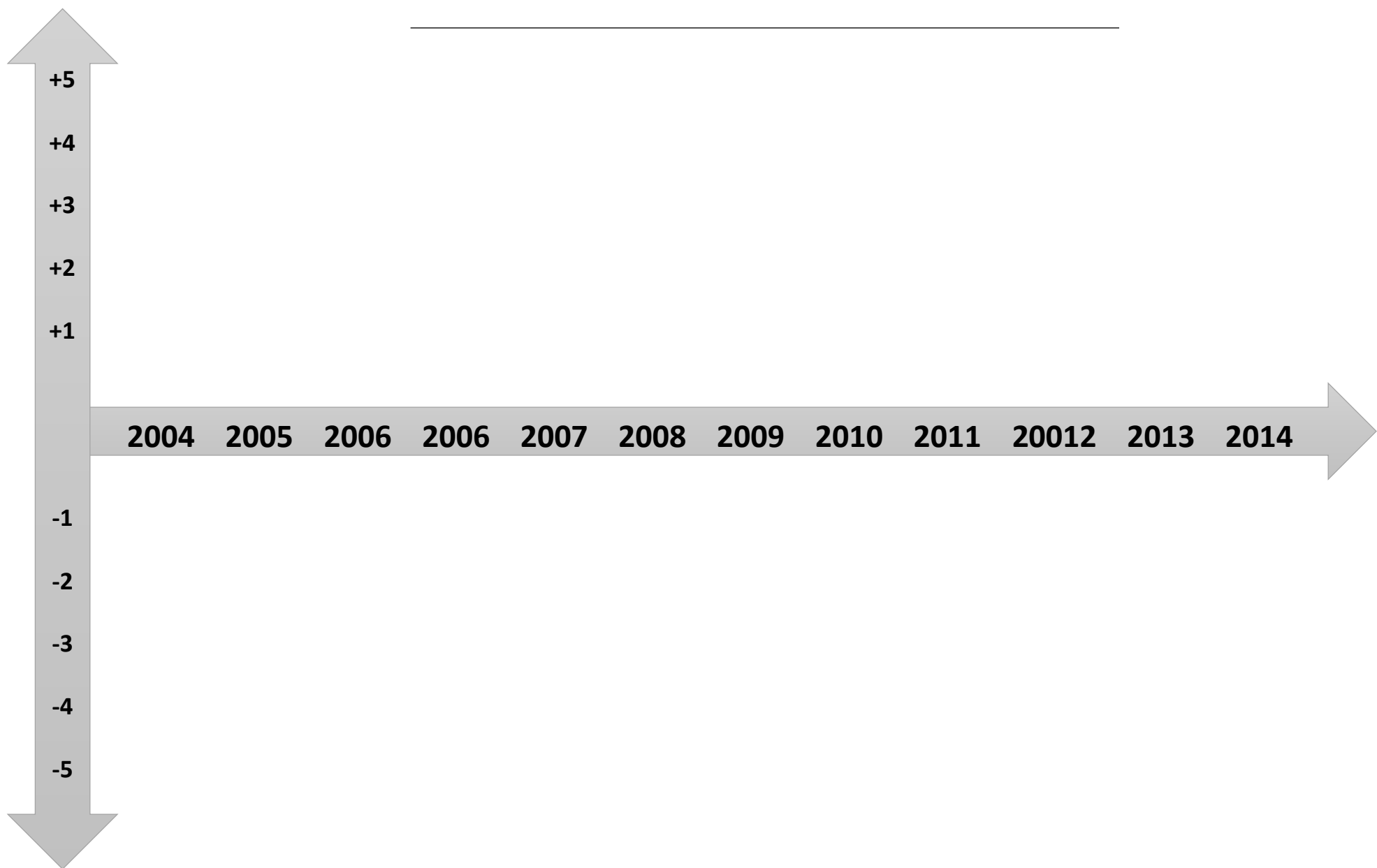


*Example:*

Trend line: Umi's occupational history



\* Periods of intense Muslim-Christian conflict and evacuation from the village



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GENNOVATE's qualitative comparative methodology and large sample mark a first in the CGIAR, as well as, the collaboration of principal investigators from nearly all CGIAR Research Programs worldwide.

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