Methods Manual for Fieldwork

by

The LADDER Research Team

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ABOUT LADDER

LADDER is a research project funded by the Policy Research Programme of the UK Department for International Development (DFID) that seeks to identify alternative routes by which the rural poor can climb out of poverty. LADDER is working with nearly 40 villages and 1,200 households in Uganda, Tanzania, Malawi and Kenya to discover the blocking and enabling agencies in the institutional environment facing rural people that hinder or help their quest for better standards of living for themselves and their families.

This working paper represents work-in-progress and the reader is advised that it has not been subjected to academic quality control, nor edited for errors of fact or interpretation. The paper forms part of a mosaic of research findings that will contribute towards an overall picture of rural livelihoods and micro-macro links to poverty policies in the case-study countries. The findings and views expressed here are solely the responsibility of the authors and are not attributable to DFID.

All available Working Papers and Village Reports can be downloaded from the project website: http://www.uea.ac.uk/dev/odg/ladder/, which also details other information about the project. For any further enquiries, please email j.mims@uea.ac.uk.

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The LADDER Research Team*

Summary

This working paper sets out the fieldwork manual that was utilised to conduct research in LADDER villages in Uganda, Tanzania, Malawi and Kenya during 2001. The manual was applied in 38 villages and to roughly 1,200 households across the four countries. The manual seeks to combine qualitative and quantitative research methods to investigate rural livelihoods, and to establish the social and institutional context within which livelihood strategies unfold. This is not the entire methodology for the LADDER research project, which also comprises work on micro-macro links and engagement with key policy processes in each country.

It is perhaps unusual to make plain the field methods of a project in this way. More often the results of household or village level investigations are presented, but the process by which these results were obtained remains undocumented. It is hoped that this manual may prove useful to others undertaking similar work, since a lot of re-inventing of the wheel tends to happen in devising fieldwork of this sort. Section A of the manual deals with the organisation of the research, including selection of villages and households. Section B is concerned with secondary data, key informants and group methods of enquiry, and especially with eliciting the contextual character of rural livelihoods. Section C provides the basic set of sample survey forms that were administered to households. This set excludes a few components that were investigated at household level in just a few of the case-study villages.

Section A: Organisation and Conduct of the Fieldwork

Overview of Fieldwork Research

The aim of the fieldwork research was to achieve a good understanding of the following aspects of rural life in Uganda, Tanzania and Malawi:

- the livelihood patterns and strategies of rural individuals and households, and how these are changing over time;
- the particular livelihood features and constraints of the rural poor, as distinguished from the rural better-off;
- the institutional context of livelihoods at village level, with emphasis on the factors that inhibit rather than facilitate livelihood choices and options for the poor; and
- community natural resource management and its interactions with the livelihood strategies and access to resources of the rural poor.

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* Members of the LADDER research team, both in the UK and the partner countries, are listed in Working Paper No.1 in this series, Annex Tables 2 and 3.

In pursuit of these aims, a modular fieldwork research methodology was adopted (see Diagram A1). This consisted of a core household sample survey, and associated core qualitative data collection exercise, plus a set of linked components that varied according to the natural resource management dimension that was being investigated in different locations. As illustrated in Diagram 1, farming and livestock are natural resource based activities that were likely to be prevalent in all field locations, and therefore their investigation was incorporated into the core research components. On the other hand, fishery, forestry, wildlife, and irrigation management arise as a significant factor only at specific research locations, and therefore their investigation was necessary or appropriate only in those locations.

The key features of the fieldwork methods common to each country were:

- purposive selection of 3 locations in each country in order to explore key NR management issues that vary between locations (e.g. fisheries, forestry, farming, etc.)
- purposive selection of 3 villages at each location to represent differing facets of the NR dimension being addressed
- qualitative research in each village and location designed especially to examine the the institutional (PIP) context of livelihood diversification
- livelihoods sample survey comprising 35 households in each village, thus 105 households in each location, 315 households in each country, and 945 households overall
- stratification of sample by income-wealth groups in order to bring out clearly the critical constraints experienced by the rural poor in particular

With respect to locations, villages and number of households, variations to this occurred in practice, and two districts in Kenya were added to the original design. Note that the term location as used above typically refers to a district or area of a district identified by reference to a natural resource management feature, for example, lakeside fishing villages.

Research Design, Village and Household Selection

General

The sequence of events that result in a particular set of villages and households being researched looked approximately as follows:

choose the key NR management topics by country

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choose 3 districts and zones within them (locations)

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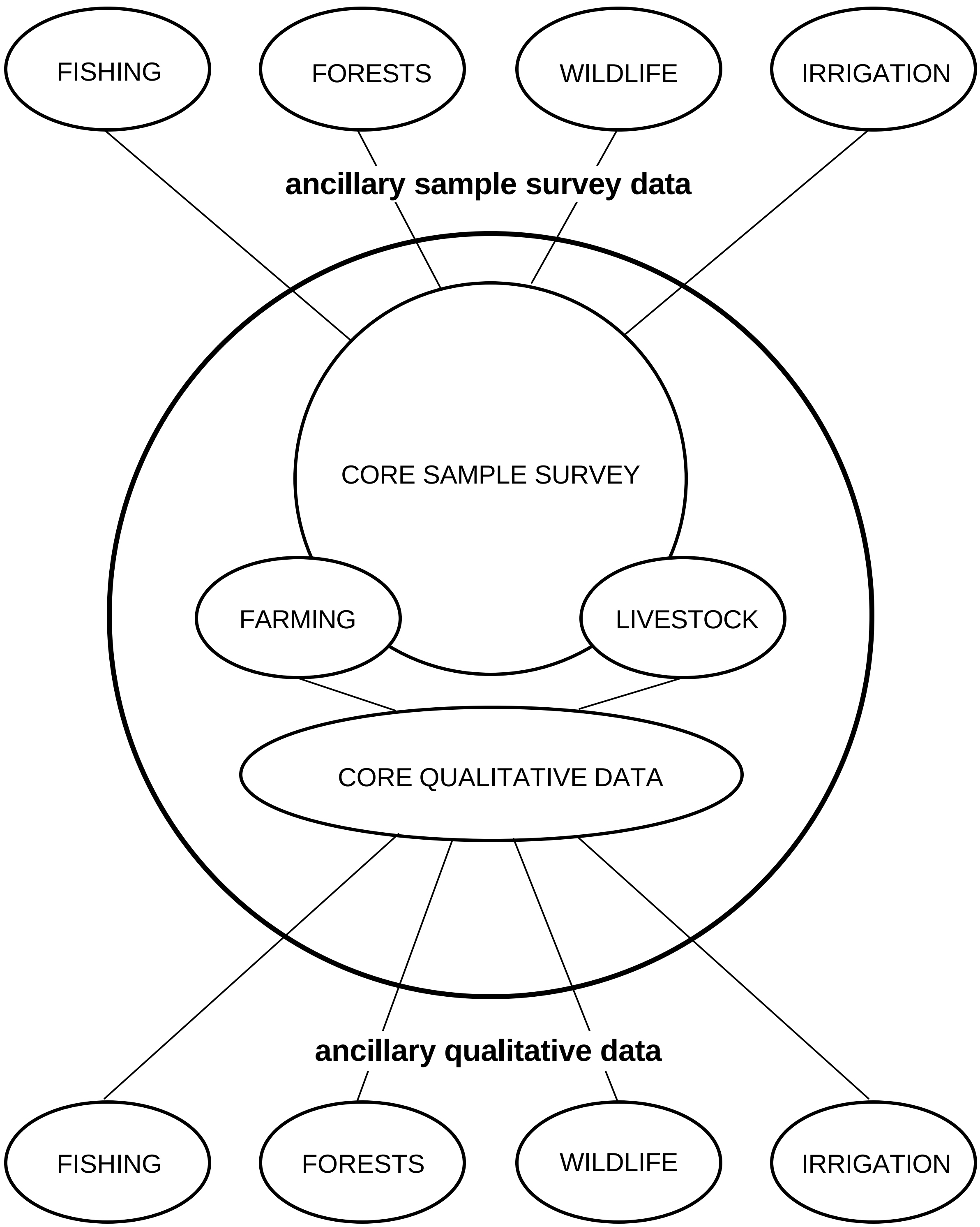
choose 3 villages in each location

↓

choose 35 households in each village

Diagram A1: Overview of LADDER Fieldwork Methods



The focus here will be especially on the second, third and fourth of these steps. Just as a reminder, the natural resource policy topics by country determined early in the research process were as follows[1]:

Uganda	Farming Fisheries Livestock
Tanzania	Farming (Horticulture) Irrigation Wildlife/Tourism
Malawi	Farming Fisheries Forestry

District Selection

The second step implied establishing a set of criteria for choosing districts or sub-districts within countries to undertake the research. These criteria were as follows:

- representative rural livelihood patterns for that country (in a broad sense)
- relative extent of rural poverty
- presence of NR feature to be examined
- geographical spread and agro-ecological variation
- logistical feasibility (organisation, distances, budget, etc.)

The first of these criteria was a difficult one involving balancing a number of considerations. The critical factor was that the research should be seen to have captured a "typical" spread of rural livelihood patterns, so that findings have policy relevance on a broad scale. An alternative way of looking at this was to avoid locations that were highly atypical in terms of the types of rural livelihood they represented.

In Uganda, application of the above criteria led to the choice of the following districts for undertaking fieldwork investigations:

District	Natural Resource Issue
Mbale	Intensive Farming Systems
Kamuli	Fishing Villages, Lake Kyoga
Mubende	Mixed Livestock-Crop Systems

Note that, in practice, the role of livestock in livelihood systems was found to be significant in all study areas in Uganda and therefore was accorded equal attention for all research locations. The same principle also applied in Tanzania and Malawi.

[1] These topics were selected in the inception phase of the research, before Kenya was added to the project. They were not adhered to in any strict fashion, except to ensure that the listed topics were covered in at least two villages in the country where they were supposed to be investigated.

In Tanzania, three districts in Morogoro Region were chosen as follows:

District	Natural Resource Issue
Kilosa	Community Irrigation
Morogoro Rural (Mgeta)	Farming, esp. Fruit & Vegetables
Morogoro Rural (Mvuha)	Community Wildlife/Tourism

In Malawi, research was undertaken in Dedza and Zomba Districts:

District	Natural Resource Issue
Dedza (6 villages)	Community Forestry
	Upland Vegetables
	Maize-based Farming Systems
Zomba	Fluctuating Fisheries (Lake Chilwa)

Village Selection

Having made a choice of districts, and, usually, broad zones within those districts to conduct research, the next stage was village selection. Here again purposive choice of 3 villages approximated a set of criteria, some of which were similar to those for selecting districts, while others were slightly different[2]:

- village selection bore in mind poverty-relative wealth considerations, given the poverty focus of the research overall
- villages were selected to differ from each other in some important respect, for comparative purposes
- this difference could be varying degrees of remoteness from infrastructure and services e.g. on a main road, on a dry season-only feeder road, lacking proper road access
- alternatively, villages might differ in the degree of their reliance on the specific resource being investigated e.g. heavily reliant on fishing (or forestry or wildlife), less reliant, and not very reliant

This last criterion had the important implication that just because a particular NR management issue was under investigation, this did not mean that all or even the majority of households interviewed needed to rely heavily on that resource for their livelihoods. For fishing communities, for example, what is interesting is partly the way families combine fishing with other activities in a variety of different ways, and also the extent to which a division of labour occurs so that some families specialise in fishing, while others do not.

Household Selection

The selection of households for interviewing in the sample survey took place at the same time as the qualitative, PRA-type, work was conducted in the village. The first stage of household selection was for a community wealth ranking exercise to be conducted, whereby village households were divided between poor, middle, and well-off categories. Then with a list of households in each income-wealth group, a random sample was taken from that group: 10 households each from the well-off and middle categories, and 15 households from the poor category.

[2] A complete list of villages selected according to this criteria can be found in Working Paper No.1 in this series, Annex Table 1

In summary:

- PRA wealth ranking of village households, resulting eventually in 3 wealth categories (see below);
- random sampling from each wealth group;
- 10 households from well-off group;
- 10 households from middle group;
- 15 households from the poor group;
- this aimed to provide 35 households in total per village; and so
- 315 households total sample survey.

Random sampling was done using variants of the procedure by which HHs are assigned numbers, and these are written down on a piece of card, mixed up and drawn from a suitable container like a bowl or bucket.

One or two "spare" households were included in the initial sample in case selected households were unavailable or unwilling to participate. The additional households were not interviewed if the sample survey was successfully implemented up to the required number of households in each category.

Wealth Ranking

Wealth was the major stratification criterion in the sample survey. The approach described below follows the wealth ranking methodology of Grandin (1988) closely. Before wealth ranking, simple data collection forms were prepared in order to record:

- Location, date, researcher name, key informant name and details
- The households ranked in the different groups
- Room for a few extra notes alongside each household name (see step 8 below)
- Room for notes on characteristics of different groups and differences between them.

The principle steps in wealth ranking are:

1. Agree with local facilitator and two or more key informants on:

   i) local concepts and language for describing wealth
   ii) number of wealth categories that informants identify
   iii) a working definition of a household

2. Identify several reliable key informants (3-4). These should be generally honest, long-standing community members. Best not to use community leaders or extension officers but they may suggest candidates. If any informant is reluctant to group people by wealth another should be selected.

3. Introduction. Explain to informant nature of research and the value of knowing about the different problems of richer and poorer families. Ask the informant to give two examples of differences between richer and poorer to be sure the concepts of wealth are shared. Also check informant and researcher are using the same definitions for a household.

4. Group activity: list households in the village. Best for the chairman and several others to do this (key informants can be included) - they call out the names as the researcher writes

a list. Spend some time on this, as it is important to try to get as complete a list of the households as possible. All should be aware of the "boundaries" of the particular research location.

5. Each household name should then be written on a small card and the cards shuffled. If the informant cannot read the names on the cards, they are read to him and the informant is asked to place each card in one of a series of piles before him or her, corresponding to the previously agreed understanding of different wealth categories in the village. This may be more than three categories. This does not matter at this stage.

6. Verification. When finished pick up each card and read the names asking the informant again to be sure (s)he thinks they are in the right pile. (S)he is free to move them into a different pile.

7. Ideally no pile should have more than 50% of the households. If one does, the respondents may need to rethink the criteria they are using to define wealth.

8. Additional household information. The interviewer should then go through the cards in each pile and ask whether the respondent feels each household has become more wealthy or poorer over the last five years, or if they think the wealth of the household has not really changed. Responses can be recorded against the list of names on the data sheet. The informant can then be asked to give one or two reasons for the apparent change. This may be sensitive information.

9. After sorting has been verified discuss the nature of the differences between the different wealth ranks. Do not ask about specific households as this might be sensitive information. Usually it is easiest to begin with the richest group. Ask questions like "what do the people in this group have in common?"

10. After completing the wealth ranking, wealth groups should be re-distributed into three categories (see Section B3 below), with advice from the key informants. These three categories then form the basis from which the household samples are taken. NB the number of households assigned by the wealth ranking to each category must be recorded before the sample is taken, for otherwise this information will be lost when the cards are mixed up or thrown away.

Key reference: Grandin, BE, 1988, *Wealth Ranking in Smallholder Communities: A Field Manual*, London: Intermediate Technology.

Conduct of Secondary Data, Key Informants and PRA-type Research Methods

Qualitative research methods (Section B below) preceded the sample survey, allowing members of the community to familiarise themselves with the presence of the research team, and voice their views on a variety of different issues, before selected households were interviewed.

The PRA-type work in villages was not intended to utilise very complex or lengthy participatory techniques. For better or worse, PRA methods were deployed in this research context for information gathering purposes rather than in order to involve people in an active process of change i.e. they were more RRA than PRA. In many instances, the type of information sought was best obtained via group discussions, involving a general cross-section of the village, or groups formed around particular activities or issues e.g. farmers (incl. farming women), or fishermen, or livestock owners. Sometimes these groups suggested themselves due to the membership of people in a community management activity e.g. with respect to fisheries, or forestry or wildlife, but researchers were also requested to be alert to how representative was the membership of such self-defined groups, and where appropriate were advised to draw groups formed from a wider population or deliberately including poorer members of the community.

In other instances, specific understanding of strategies and constraints may be more accurately obtained through discussions with individuals and households, particularly where there is a lack of clarity concerning the interpretation of issues or events. Individual researchers were encouraged to use their own judgement in recognising these situations, and where identified were asked to consider so-called “triangulation”, whereby the same information is approached using several different methods.

The main areas of interest covered utilising qualitative research methods are set out in Section B of this manual, under the sub-headings B1, B2, B3, etc. These list the information that was sought from group meetings but also included other PRA-type activities appropriate for more detailed exploration of specific issues, such as mapping of seasonal migration patterns in the case of fisherfolk, or Venn diagrams for describing the importance of village institutions and the links between them. Sometimes specific quantitative data was elicited via consensus e.g. past and current prices of farm inputs and outputs.

The methodology prescribed that PRA field notes be written up soon after the conduct of group activities, while the direction of the discussion, and key points raised, were still fresh in the mind of the facilitator. A format for summarising discussions on a single page was suggested for use in some cases (see Table B1 in Section B).

Conduct of the Sample Survey

Many of the questions in the sample survey (Section C below) were to do with people’s work and incomes. Income is a sensitive matter, which is sometimes difficult to discuss with people, and enumerators were instructed to make very clear to respondents that this information was for research use only and no one else would know about it. Again, it was advised that sample selection included some “spare” households in case of non-cooperation by one or more chosen households. It was suggested that enumerators try to develop a good relationship with the family, and to be prepared to make repeat visits to clarify points or to obtain more complete information.

Enumerators were also asked to be sensitive to gender relations, and where it seemed evident that clearer results would emerge by interviewing a particular woman or man separately, then this should be done in order to improve the accuracy of the data (both women and men may conceal details of particular income flows from each other). Some further guidelines that enumerators were asked to follow mind about the conduct of the sample survey were:

(a) aside from gender-sensitive income data, interviews were to be conducted with several members of the household present, so that individuals could remind each other of information that required recall up to one year back

(b) where information was required of a household member who was absent (e.g. someone out earning wages), a return visit should be made to complete this information

(c) the attempt should be made to collect gender-sensitive income data from the individual concerned – this might apply to some farm outputs, as well as to specialist income-generating activities such as beer brewing (Form E) or work outside the home (Form F); one way of achieving this could be to have both a female and male enumerator visit the household, which could make separate discussions with individuals easier to do (see also note below on Form J)

(d) after initial completion, the survey forms were checked carefully for the consistency and accuracy of the the information they contained. This was not a big survey, so attention to detail was important. Answers which did not make sense, or which contradicted each other in different parts of the questionnaire, were to be checked by revisit to the household.

(e) enumerators were assigned a supervisor, who signed off on the front page of the questionnaire only when completely satisfied with the quality of the data on the form. If there were problems with the replies, return visit to the household were made to try to sort them out

(f) in general most of the survey could be completed with a single visit to the household, provided this had been fixed in advance so that the relevant members of the household were there to be interviewed

(g) note, however, that Form F was to be completed for each individual who had obtained non-farm income during the past year, including casual wage work, permanent wage or salary work, self-employment in a non-farm activity like trading or brick making, or pension income resulting from former full-time employment

The importance of the quality of the activity and income data for this survey was stressed in the methodology, and enumerators were asked to be aware of this, and to think carefully about what was being said and what needed following up with further enquiries.

The sample survey contained two forms that elicited qualitative rather than quantitative data. These were Forms I and J. The methodology required that Form I be applied to all households. Form J was designed as a checklist of gender questions to discuss separately with a woman, or group of women, in the household. Form J was implemented only to one out of every five households in the sample i.e. to 7 households per village. These households were selected by listing the sample households sequentially, then picking a random starting point (e.g. HH No.3) and selecting each fifth HH down the list (e.g. Nos 3, 8, 13, 18, etc.).

Outputs from Fieldwork Research

The aim of the fieldwork research was for a set of outputs useful for further work and analysis to be produced downstream, resulting in Working Papers, ideas to be fed into ongoing policy processes (PRSP, decentralisation, community NR management), and research papers for publication. Specific sets of outputs agreed for the field level research were listed as follows:

- 3 district level reports (except in Malawi and Kenya where 2 districts apply), corresponding to the information checklist in Section B1

- 9 or more village level reports, comprising the following components:
  - → the information checklist in Section B2
  - → field notes and summary tabulations Sections B3-B10, depending on which of the optional Sections B8-B10 are appropriate in each case
  - → field notes on gender dimensions, deriving from Form J

- 9 sets of sample survey forms, comprising 35 households in each set, quality checked by fieldwork supervisors

- data entry files representing the transfer of all quantitative data from the sample survey forms to computer

In addition to fieldwork notes and records, the methods manual suggested that a member of the research team be designated responsibility for carrying out a systematic collection of policy-relevant documentation related to the special topics of research i.e. PRSPs, decentralisation, NR management policies, fisheries policy; for the purpose of adding to the quality and depth of subsequent published outputs. The search included the offices of international organisations, donor and government agencies in capital cities that produced relevant reports in these areas.

Data Entry, Coding, Variable Names and Analysis

After the fieldwork was completed, the data on the survey forms were transfered to computer, using a database entry system (Access). Data was entered in the same format as it appeared on the survey forms. Since the survey forms were designed for codes to be entered at the time of completing the form, for the most part coding was already done and codes could be entered directly to the computer. Similarly variable names had already been devised, corresponding to the cells for data entry. Data entry formats incorporating checks for data consistency were provided by the UK research team.

Data analysis was conducted as a joint activity between the Livelihoods Research Centre of the ODG in the UK, and those members of partner research teams involved in the statistical work. The practice of this varied from country to country. Some of the statistical routines that could be run on this type of dataset were developed in the UK, using the SPSS statistical package, and this knowledge was inter-changed with partner researchers. In addition, many new ideas emerged from the analysis conducted by a wide variety of different researchers across the research institutions and countries involved in the research process.

Two final points regarding the field research

(1) <u>Blocking or Inhibiting Factors in Peoples Livelihoods</u>

A key purpose of the research was to discover what stops people from doing things, as well as what helps people to do things. The factors that stop people from doing things may not be at all obvious, either because they are regarded as "normal" or because people feel they cannot do anything about them anyway. Cultural factors or social norms that prevent women or men from doing certain things is one example of the first type of reason. Licenses and taxes imposed by district authorities is an example of the second. It was very important for researchers to probe further when someone said something like "this is not worth doing because. . . . . . " In many ways, some of the most important new insights of this research emerged from an understanding of these factors.

(2) The Why? not just the What?

In preparing meetings with research teams, the point was made that field researchers sometimes have a tendency to stop further questions when they have discovered what is happening. For example: "do you keep goats?" is a what type of question, and if the respondent says "yes", then the field researcher usually moves on. However, for good livelihoods research, this type of question needs to be followed by why the person does this thing. From why questions all kinds of other things can usually be pursued, such as why one thing is better than another, or why someone does this rather than something else. For example, "why do you keep goats?" "I keep goats because they provide a more rapid way of generating income than growing vegetables" "why, then, do you bother to grow vegetables?" . . . . In this way a more complex view of the different reasons for pursuing a complex livelihood strategy is revealed.

Section B: Secondary Data, Key Informants and Group Methods

Introduction

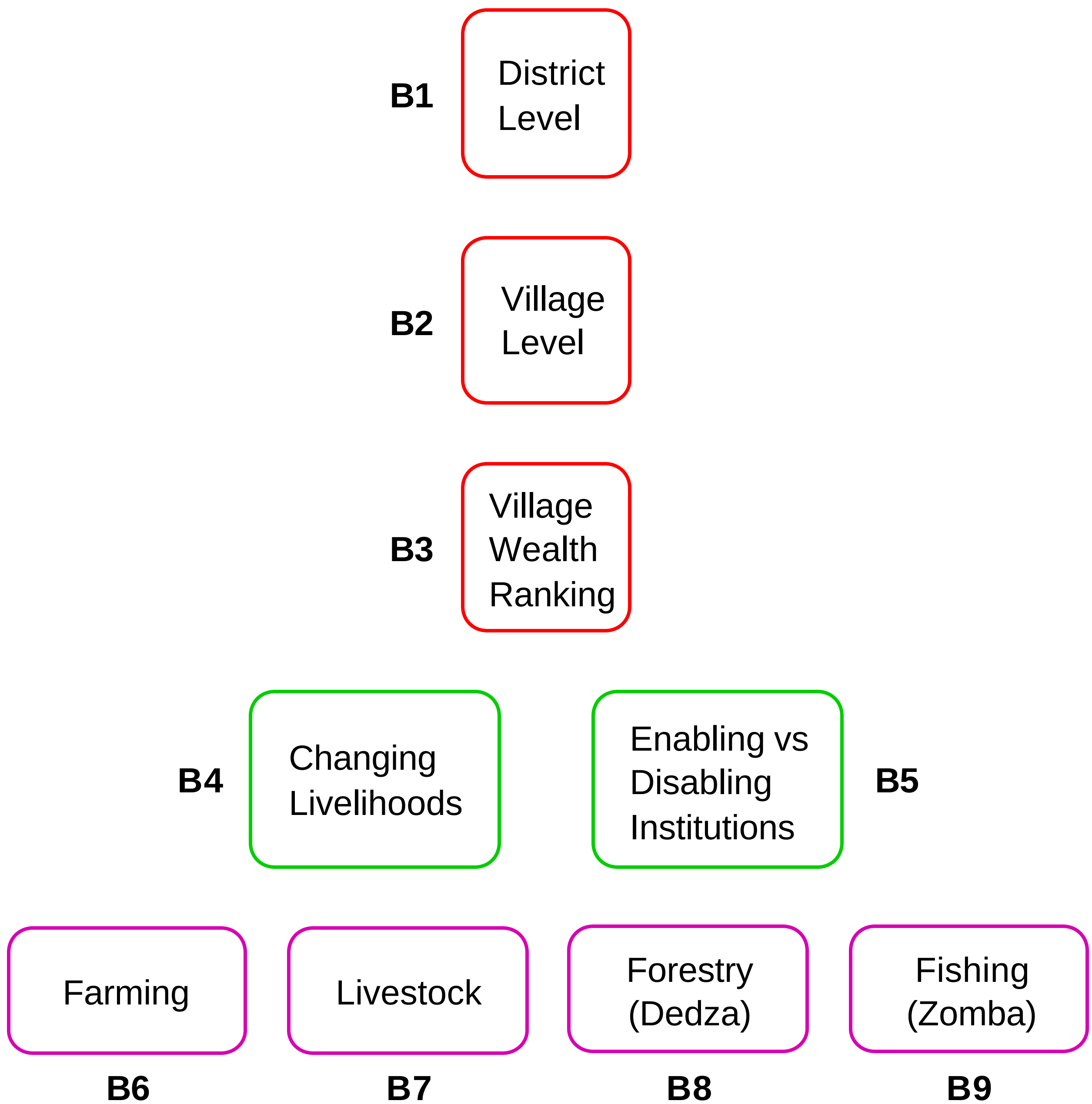
This section sets out the advice and guidelines offered to field researchers for conducting the secondary data collection, key informant, and group or PRA-type research activities in sample villages. An overview of these data components is given in Diagram B1

The overall objective of using these research methods was the same as for the project as a whole, and needed to be borne in mind throughout the fieldwork. The team was interested in people's livelihoods, whether they are improving or deteriorating, the factors that help them to construct stronger livelihoods, and those that weaken their ability to make a viable living. We were also especially interested in factors that cause people to diversify their livelihoods i.e. that increase the range of different activities that they undertake in order to gain a living.

The setting out of particular guidelines as presented here was not regarded as the only way of collecting the different types of information that was sought. It was considered useful to seek the same information utilising several different methods e.g. key informants, group meetings, spot interviews with individuals, in order to triangulate different sources and reach a multi-faceted view of the topic under investigation.

Many of the sub-sections below reproduce livelihood issues in the form of questions as they appeared in the Methods Manual, but it was not intended for them to be asked in the form presented. Researchers were invited to think through how they would address each of the issues implied by the question, and what would be the best way of gaining the required understanding. Researchers were also invited to seek and note different perspectives, not aim for a single answer. It was emphasized that while, of course, there were occasions when everyone widely concurs about a particular issue, in many other instances when they do not, and silences would sometimes indicate when individuals were reserving their view about something.

Diagram B1: "Map" of Qualitative Data Components



In the light of the foregoing it was suggested to field researchers that they try to adhere to the following principles (applying especially to sub-sections B4 to B10):

1. Focus on ranges of experience and difference, not on "averages"
2. The prime interest here is poverty, so we need to disaggregate understandings according to different households, strategies, relative poverty and wealth
3. Investigate gender differences for all of these issues, as appropriate
4. Seek understanding not just description: the '<u>why</u>' not only the 'what' (see end of Section A above)
5. Probe on changes and trends whenever appropriate
6. Ask about problems, constraints, hindrances, faced for any of the issues, if appropriate.
7. Vary research methods according to what seems most appropriate – some of the issues that are listed here under group methods may be better approached through interviews with a range of different individuals
8. It is important to have a firm idea about how data gets recorded and written up - good records need to be kept during group meetings, perhaps by someone other than the facilitator, and notes should be written up straight afterwards; the same applies to semi-structured interviews with individuals and households

The purpose of the qualitative research can be summarised as identifying ways whereby it becomes easier for people to construct viable and improving livelihoods. Given this:

- we needed to know not just <u>what</u> people do, but <u>why</u> they do it
- we needed to know what it is that enables people to do certain things relatively easily, but makes other things very difficult for them to start up or engage in
- what are the factors in the policy environment - which includes policy institutions of all kinds and levels – that help people vs those that hinder or block people's options and opportunities

B1: *District profile*

The main method used here was secondary data collection, supplemented as required by key informant interviews. The purpose of this component was to be able to place the village and household level fieldwork in the context of the district and agro-ecological zone where the research took place. Key items required were:

- district and sub-district maps showing location of survey villages, roads, towns, etc.
- district and sub-district demographic data
- location, number, and level of schools in the sub-district where survey villages are located
- location, number, and level of health facilities in the sub-district where villages are located
- agro-ecological data for the district or sub-district where fieldwork took place: areas under forest reserves, cultivation, main crops or farming systems
- any other features of special or notable interest with respect to that district or sub-district, e.g. recent road upgrades, major public works (dams, etc.), new industries that have come into the district, major problems that are well-known for that district (cattle rustling, etc.)

- change in the district: what are the main things that have been changing in this district over the past five years or so – is it getting richer or poorer? are income or wealth differences widening or narrowing between different parts of the district? are people migrating away from or into this district? are there any events in the last five years for which this district is well-known e.g. environmental change, drought, civil unrest, etc.
- price data for agricultural commodities compiled at district level, including for major fish species in Zomba District (time series)
- supplemented by sales price data (including for fish at Lake Chilwa) collected during the fieldwork period
- visit to revenue collection authorities at district level to obtain accurate information on different taxes levied on inhabitants of the district (property taxes, poll taxes, commodity taxes or cesses, market levies, transaction taxes, etc.): detail is needed on the official level of these taxes and how they are collected

B2: *Village profile*

The main methods here were secondary data and key informants, supplemented where necessary by informal group or individual discussions. Key items required were:

- name of community and ward; its location; sketch map showing key features of village and surrounding area
- number of households; village population
- ethnic affiliations, linguistic groups, main religions
- significant migrations into area over the past two or three decades
- main current sources of livelihood in the village
- change in the village: what are the main things that have been changing in this village over the past five years or so – is it getting richer or poorer? are people migrating away from or into the village?
- institutions and organisations in the village; what institutions exist *within* the community? what *outside* organisations are represented or active within the community?
  - → what traditional institutions exist (e.g. traditional chieftancy: is there a traditional chief? how is he selected? what is his role? what other 'traditional' institutions exist?)
  - → what political institutions exist (village chairman, elected councils, etc.)?
  - → what formal organisations exist (e.g. community-level branches of development agencies, official cooperatives)?
  - → what community-based organisations (CBOs) exist (farmers groups, farmer-led cooperatives, credit associations, social/religious organisations)?
  - → what production services exist (e.g. agricultural extension, credit, input supply, marketing)?
  - → what social services exist (e.g. health clinics, schools)?
  - → how far away are the nearest clinics and schools, or other important facilities? how long does it take to reach these facilities?
  - → what non-government organisations (NGOs) exist?
  - → what credit groups or savings associations exist? what is their membership and what are they called?
  - → what significant private businesses operate in the locality
- what development initiatives have taken place within this community in the last ten years? how were they implemented? what happened? (probe for history, attitudes, comments).

- common property: what key productive resources are held in common by the community? what criteria, rules and institutions govern access?
- land tenure: what is the main type of land holding in the village (e.g. private ownership, customary tenure);
  - → if someone wants more land or to start-up farming here, how is access to land obtained?
  - → how is ownership, access, control over land distributed between men and women
- what has been the impact of AIDS/HIV in this village? what proportion of households have been affected?; how big is the problem of orphans created by this illness? (checks with health clinic records, etc. may be useful in this context)
- what is the security situation in this village? what are the main security problems? how long have they been going on? what is being done to try to solve these problems?

When establishing a list of the existence and function of organisations and institutions, it was also important to probe about their effectiveness. Do they actually do anything? How responsive are they to the needs of their members or to the community as a whole? Some supplementary PRA work may have been required in order to establish some of these aspects e.g. institutional mapping/Venn diagrams, ranking. Also change was important – which institutions are declining and which are rising in importance.

<u>Output</u>: the output of this part was the first section of a village-level report corresponding to the checklist given above. This tried to take a critical view of things that were found to not work, especially institutions that do not work well for the poor. Of special interest for this research was to identify factors in the social and institutional environment that inhibited rather than encouraged people from taking advantage of livelihood opportunities or creating new opportunities for themselves.

B3: *Village wealth ranking*

This has already been discussed in Section A above. Initially, this exercise was conducted with participants themselves choosing the number of wealth groupings, and defining the criteria separating one group from another. This information had value for the livelihoods analysis in itself, and field notes from the exercise were written up. As well as the groupings, the <u>criteria</u> utilised by villagers for distinguishing households were of research interest; for example, the rich were often distinguished by having land holding above a certain size, or cattle above a certain number, or possession of particular types of physical asset, or some combination of these or other indicators. Also, the wealth ranking exercise provided an opportunity to discover something about the <u>direction of change</u> i.e. who was moving into or out of poverty in the village, and the reasons for this.

After the wealth ranking exercise was completed, field researchers were asked to regroup households in order to distinguish three wealth categories, as a prerequisite to random sampling within each category. The three categories were:

- the poor
- the middle, or better off
- the well off, or rich

In most cases, this regrouping was straightforward (the rich and the poor stayed the same, and other groups ended up in the middle). However, where the exercise produced a lot of groups, some thought was needed as to how these matched the poor, middle, rich distinction; and some help from informants was needed in order to re-classify households in this way.

Output

The groups, criteria and other information about the dynamics of poverty discovered during the wealth ranking exercise were written up for each village. The re-classifying into three groups resulted in the sample frame from which the stratified random sample of households was drawn.

B4: *Village livelihoods, past and present*

The principle method to be used here was that of the village group meeting, which aimed to be a group representing a reasonable cross-section of the community. Facilitators were advised to be sensitive to the tendency for a few people to dominate group discussions, and to elicit responses from the less forthcoming members of the group. The purpose of the discussion was to discover activity patterns of the village and how they had been changing over the past ten years, including things that have got worse or better, and some general points on environmental change. It was also suggested that questions asked here be asked of selected individuals across different social groups in the village, as a way of confirming understandings. Suggested discussion points were:

- what are the main sources of income in the village now? is this the same as five years ago? the same as ten years ago? are those sources of income as important now as they were five and ten years ago?

- what new activities are commonplace now, that were rare or did not exist before? activities that have started in the last ten years? the last five years? how important are these new activities now for the incomes of people in the village? what activities have stopped?

- what do villagers consider to have got worse in the last five years? last ten years? for those whose standard of living has deteriorated, what are the main things that have caused their lives or livelihoods to go down in the last five or ten years?

- what do villagers consider to have improved in the last five years? last ten years? for those whose standard of living has increased, what are the main things that have got better in the last five or ten years?

- what have been the main agricultural problems in the village over the past five or ten years? what has been happening with maize? other food crops? livestock? milk?, etc. both production and marketing problems can be discussed here? (more on agriculture in section B6 below)

- what has happened to people’s access to natural resources over the past ten years? access to land for cultivation? fragmentation of holdings? distance of holdings from homestead? access to forests and forest products? timber? woodfuel? water for agricultural and household purposes? hay for cattle, etc.?

- what has been the impact of AIDS/HIV on the village in the view of members of the group? are many households affected? what are the main effects on people's ability to gain a reasonable living? how has the village responded to children who are orphaned due to this illness?

- how has the status of women changed in this village over the past five or ten years? are there more women that are heads of households than before? are there activities that women do now that they did not usually do before? what livelihood activities are women still not permitted to do in this community?

- (repeat of questions asked of key informants in Section B2) what is the security situation in this village? what are the main security problems? how long have they been going on? what is being done to try to solve these problems?

<u>Output</u>
Information was transferred to the village report, and a summary in matrix format was done, as illustrated in Table B1 below.

B5: *Effect of institutions on livelihoods*

The method utilised here was the same as for the preceding Section. Of special importance here were the factors that inhibit rather than encourage people from taking advantage of livelihood opportunities or creating new opportunities for themselves. The following coverage was suggested:

- are there particular activities in the village that require special permission or a license in order to be allowed to do that thing? [make list of such activities]
- for these activities, what person, or organisation or institution grants permission or issues licenses? [link this to the relevant activity]
- what is the cost of getting permission, or obtaining a license to start-up this activity? probe here both for official and 'unofficial' costs e.g. gift payments to traditional authorities or to local officials
- are there particular activities that individuals in the group would like to do, but are unable to do because of the costs that are imposed on starting up the activity?
- are there any restrictions on moving produce (crops or livestock) from the village to the town for sale?
- if so, what are these restrictions? are payments required to any person or institution in order to move goods from one place to another?
- amongst the village organisations and institutions (sub-section B2 above) which ones are the most helpful for improving people's standard of living? [list in order of priority as given by people in the group]
- what is it that these organisations do that help people to gain a better living?
- are there people in the village who are excluded for some reason from the benefits that these organisations can provide? if so which group of people?
- amongst the village organisations and institutions (sub-section B2 above) which ones are least helpful, or even block, people from doing things to improve their standard of living [make list of unhelpful organisations and institutions]
- what is it that these organisations do which hold people back from gaining a better living?

- are there people in the village who are particularly disadvantaged by the way these organisations or institutions work? if so, which group of people?

B6: *Special questions on farming* (all villages)

The purpose of questions in this sub-section was to discover trends and emerging problems in crop and livestock production. A mixed-gender farming focus group was recommended, making sure that representation of both men and women was reasonably even in the discussion. Again, cross-checking with key informants outside of the group (for example, key individuals in farmers' associations, or cooperatives, or input delivery agencies) who may have had a broader view of the context of farming in the area and how it has changed was also encouraged. The following questions and issues for discussion were utilised as a guide:

- what have been the main changes affecting crop yields in the past five years? e.g. pest attacks, rainfall, fertility of soil, erosion, weed problems; for each of these, have they improved, stayed the same, or got worse for the main crops grown in the village?

- overall, has crop farming become more risky, stayed the same, or become less risky over the past five years?

- what have been the main changes affecting livestock keeping and/or milk production in the past five years? e.g. animal diseases, availability of forage for stall-fed cattle, availability and quality of grazing?

- what has happened to prices of farm inputs (land rental, labour, ploughing services, seed, fertilizers, pesticides, veterinary medicines, etc.) over the past five years? for which inputs have purchase prices risen the most over the past five years? for which inputs have farmers reduced or stopped buying them due to price rises in recent years? [make a list of current prices for farm inputs, and incl. this in the write-up]

- what has happened to the sale prices of crops grown in this village over the past five years? for which crops have sale prices risen the most over the past five years? which crops are most profitable for farmers to grow now (in rank order)? how does this compare with five years ago? [make a list of the current sales prices of crops, and incl. this in the write-up]

- what has happened to marketing institutions over the past five years? changes in organisation of selling? ease of sale? regularity of visits by traders? does the system work better or worse than before?

- what has happened to credit institutions and availability over the past five years? has the source of credit changed? is it more difficult or less difficult to obtain credit than before? write down main current credit institutions

- what has been happening with the extension service over the past five years? has it improved, stayed the same, got worse? if it has improved, in what ways is this so? if it has got worse, why is this so? what will happen to extension services when they are re-organised under decentralisation?

- overall, would people say that farming had become more difficult, stayed the same, become less difficult over the past five years or so? if more difficult, what are the main reasons this has been so (ranked list)? if less difficult, what are the main reasons this has been so (ranked list)?

- what is the effect on farming of households engaging in a wide range of different activities (both farm and non-farm)? is this helpful to farming because it generates cash that can be used to buy fertilizer or make investments? or is it unhelpful to farming because it means that people are doing other things and cannot pay attention to the farm?

Some basic gender questions related to farming:

- what access do women have to land and fields? how is this access obtained? (e.g. inheritance, purchase, customary allocation, borrowed)

- under what circumstances do women control the income from sales of crops? is this specific to certain fields? (if so, which fields) or to certain crops? (list crops for which this is normally true)

- what livestock do women have special responsibility for? are there some animals that women are not permitted to tend? (if so, why?)

- do women control the sale of any particular types of livestock or livestock products (e.g. milk, meat, wool, manure, etc.)?

B7: *Special questions on livestock* (all villages)

1. <u>Basic understanding</u>

- holdings: what livestock are kept, and by whom – distribution of different types and numbers between households (quantitative); custody vs actual ownership of livestock

- roles of livestock: why do people keep them – for each type, comparing and contrasting pros and cons of different types, with reasons, etc., and focus on difference. Look out for less tangible roles such as to build networks and social capital as well as more tangible ones such as for draft, manure, cash, sale in emergency, investment, risk aversion, food, etc.

- objectives: what are people's objectives in keeping livestock? What do they hope it will allow them to do – now and in future? What possible livelihood trajectories to which livestock contribute can we identify?

- importance: How important are livestock? Why are they useful? What alternatives are there for the roles they fulfil and how do they compare? What happens if someone loses their animals?

- ownership: what ownership patterns exist, what is their prevalence, how do they work, why are they there, and what are their implications?

- livestock strategy groups: can we identify distinct (or fuzzy) groups on the basis of their livestock-keeping strategies and the contribution livestock make to their livelihoods? What are the distinguishing features of each group (objectives, strategies, constraints, wealth, etc.)?

- what livestock related problems do people have? Include those which might not be related directly to livestock themselves – eg infrastructure, credit, theft, legislation, land tenure, etc. What can and do people do about them? Does it work? What else is needed?

2. Livestock-keeping strategies

- acquisition of animals: how do people acquire animals? Which ones do they prefer? What different strategies are there? What problems do they encounter? Why do they want animals? How do livestock compare with alternative investments? Focus on difference and strategies adopted by the poor

- marketing: why, when, how, etc. do people sell animals? How do they decide what and when (etc) to sell? What marketing strategies can we identify? Is marketing a problem?

- holding strategies: what species and types and numbers and mix are people aiming for, and why? Does this differ? Who can and can't achieve the ideal mix? Why do people without livestock not have them, have they had them before, why did they lose them, do they want them now, and can they get them?

- feeding/grazing: how do people feed/water their animals, especially the poor? How does grazing work? What patterns of grazing are there: accompanied/ unaccompanied; collective/ individual; open access/restricted access? Who owns what grazing land? Who controls it? Is it sufficient? How do people decide where to go? Does this change seasonally? (a mapping exercise would be useful here) Who does/doesn't graze? What problems with grazing?

- breeding/animal health: what do people do about these? What are their strategies? What problems do they encounter?

- movement: do people move their animals elsewhere at any time of year? Why, where, what issues/problems, etc. Do other transhumant livestock visit this area? Why, where, what interactions do they have with locals and resources? What issues/problems?

3. Livestock services

- availability: What services related to livestock are available/not available and from whom? Include direct livestock services such as animal health or extension, but also other related services such as credit or marketing. Also include informal and local sources (eg traditional healer) as well as those from more conventional sources such as government, private sector, NGOs or farmers' organisations.

- access and use: How do they get them? How do they use them? Who does/does not use them and why?

- quality: How effective, timely, reliable, affordable, sustainable are they? Difference.
- how has this changed?
- what do they need? How might they get it? Difference.

4. Gender

- what preferences for livestock do women/men have? What roles do they value/not value? Why do women/men want specific types of livestock? What/how do they help?
- what livelihood strategies and objectives do livestock support for women/men under different circumstances?
- how do all these differ between women and men? How do they resolve any differences between personal gendered interest and household interests? Do they result in sensible outcomes, plans and strategies?

B8: *Special questions on forestry* (Dedza, Malawi only)

General background on forestry and tree resources
This information was collected from key informants, including forestry department, donors or NGOs involved, local forestry officers, individuals in the designated villages associated with community forestry initiatives, and so on. The following was sought:

- overall status and stage of implementation of new community-based forestry policy in Malawi (related documentation to be collected)
- emerging relationship between forestry department and community-based schemes (any case-studies?)
- map of designated forest areas in Dedza District; distinguishing forest type, and actual or proposed management regimes
- significance of these forest areas for e.g. watershed management; species diversity; commercial timber, etc.
- maps of forest areas adjacent to the case-study villages chosen in order to study this topic
- existing or emerging community management institutions in these villages; how and when were they formed? membership rules? structure and organisation? regulations and penalties? related details?
- The research team should use and record local units/words as necessary and then define these units/words in their reports. This is particularly important for describing a resource and its ownership/access regime where a full description of their meaning can provide important insights that would be missed by simply transposing the nearest equivalent English word. For species the research team needs to identify the scientific equivalent of the local name for key species and resources used.

Community level qualitative data collection

The main category of methods utilised here were PRA/group methods, including resource mapping and ranking methods. Key informants were also used to clarify understandings that emerged from group discussions. The research team used and recorded local units/words as necessary and were asked to then define these units/words when reporting. This was considered to be particularly important for describing a resource and its ownership or access regime where a full description of its meaning provided important insights that would have been missed by simply transposing the nearest equivalent English word. For species, the field researchers were asked to identify the scientific equivalent of the local name for key species and resources used.

Key question:

What is the changing availability of forest/tree resources and grazing on non-private lands in this locality?

Sub-questions:

- where are these resources?
  - draw each location
  - find out how far each location is from the locality
  - data needs to be disaggregated e.g. "there are three patches of forest in this locality; patch A is 3 kms away and consists mainly of rather degraded *miombo* woodland; patch B is a planted eucalyptus area that is used only for building materials, etc."
- what are these resources?
  - area of each location
  - vegetation type of each location
  - vegetation quality of each location
  - key species in each location
- how are they controlled?
  - ownership of each location/resource as appropriate
  - access regulations of each location/resource as appropriate (formal position and practical reality)
  - who in the locality and beyond uses which resources/locations? why?
  - who in the locality and beyond does not use these resources/locations? why?
- what problems or opportunities does the availability of forest/tree resources have for this locality?

Household level data collection

In the villages chosen to examine forest use as a natural resource management issue, all households in the sample survey were asked these questions, which were written up as field notes to accompany the completed survey forms.

Key question:

What is the changing pattern of forest/tree resource and grazing use? How has this affected livelihoods?

Sub-questions:

- what kinds of fuels do members of the household use?
    - identify types of fuel in order of importance (e.g. kerosene, twigs, large firewood, etc.); find out the following for the five most important fuels:
    - what is each fuel used for? Why?
    - how is each fuel obtained? Where from? (refer to resource map from community level data collection where appropriate or specify own fields or whatever other source as necessary) who by? At what cost? When? How? (using hand cart or headloading or by bicycle, etc.)
    - what changes have there been in your use of each fuel over the last 10 years? Why? How has this affected your household?

- what other forest/tree products do members of the household use?
    - identify types of resource in order of importance (e.g. x tree leaves, y tree timber, etc.); find out the following for the five most important resources:
    - what is the resource used for? (e.g. “for feeding goats” or “for house building materials”)
    - what role does this play in the households livelihood? (e.g. “goats are kept to sell when our maize crop fails” or “the bark of y tree is sold for cash”)
    - how is each resource obtained? (as above)
    - what changes have there been in your use of each resource over the last 10 years? Why? How has this affected your household?

B9: *Special questions on wildlife & tourism* (Morogoro, Tanzania only)

In Mvuha and Bwakira Divisions, Morogoro Rural District, Tanzania, the special focus of interest was on the role that wildlife and tourist related activities play in livelihoods. A critical feature was the management of wildlife resources and the evolving institutional context of wildlife management or co-management. Some of the data requirements set out below were obtainable from key informants e.g. village leaders, chairpersons of management committees, NGO personnel, donor representatives. Other data required group discussions, and interviews with individuals or families whose livelihoods were identified as being significantly based on wildlife products or tourist activities.

Background data
Community managed wildlife or tourist ventures are often initiated by donors, sometimes through NGOs. Field researchers were advised that there may have been (or still be) conflicts with conventional wildlife protection authorities (National Parks). The following category of research was based initially on key informants:

- main stakeholders involved in wildlife or tourist-related activities in this location (e.g. government agencies, conservation agencies, NGOs, private enterprises, village councils, village management institutions)

- what is the recent history of these agencies and institutions in this area? those that have been around a long time? those that have been created or become established in the area during the past ten years?

- which institutions or stakeholders are becoming more important? or less important? over time

- what donors have been important in setting up or facilitating community wildlife management institutions (e.g. GTZ etc.)? – obtain relevant donor reports and evaluations

- what was (or still is) the role of those donors in terms of institutional innovation and services provided?

- what conflicts between institutions and agencies have occurred during the past 10 years? how have these conflicts been resolved?

Qualitative information about existing arrangements

The method required this information to be collected in a group meeting, embellished by individual or household interviews where it was evident that this would clarify or amplify points raised in discussions. The focus here was on legalised or open wildlife or tourist income, often in order to generate cash income from sales or wages. It was not about casual or illegal hunting to supplement family subsistence.

- how are people involved in wildlife or tourism? what type of activity? what type of individual involvement? (full-time employment, casual labour, own enterprise, community management institution?)

- who has taken up activities in wildlife or tourism? which households? which members of households?

- who has not taken up such activities, and why not?

- what are the pros and cons (advantages and disadvantages) of this type of activity? does it fit in well with other things household members do in order to make a living?

- has this activity enabled some people to move out of poverty? if so, which families or individuals have benefitted in this way? (follow up by interviewing those individuals or families)

- how does this type of activity fit into the seasonal labour needs in agriculture?

- what has been the impact of this activity on those community members not involved?

- what determines the availability of this activity for different people? special skills? availability of credit? the existence of a market? level of education?

- what are seen as the main constraints that prevent this activity from growing in importance? e.g. limited market? poor roads? low prices? few traders?

Quantitative data

The regular household survey (Section C) was intended to pick up a lot of the quantitative data about wildlife or tourism as a source of livelihood. This appears in Form E (under other NR income) or under Form F (non-farm income received by individual members of the household). Field researchers were asked to especially consider household links to wildlife or tourism while working in Mvuha and Bwakira divisions, e.g. sales of crops or livestock or other NR items to the tourist trade.

Aside from the household survey, the field team were asked to follow up the quantitative significance of wildlife or tourist activities in each case-study village:

- how many individuals or families are involved?
- for wildlife, how many animals, and of what type, are "harvested" per month and per year in the village?
- what is the average sales value per animal realised? and what does this comprise (e.g. meat, hides etc.)?
- how much income is generated in the community as a whole?
- how much of this income accrues to the community management organisation, and how much to individuals?
- if a proportion of income goes to community management, what is this income used for?
- for tourist activities (if applicable), type of employment (e.g. full or part-time), wage levels (incl. rations) paid?
- skills or education level needed in order to get employment in tourism?

B10: *Special questions on fishing* (Kamuli, Uganda; Zomba, Malawi; Suba, Kenya)

Fishing as an activity poses special problems for investigation, due to the cyclical and seasonal nature of fish stocks and their varying location at different times. Households tend to specialise in fishing or not to fish at all. Fisherfolk tend to be more mobile than settled farmers and are sometimes a different ethnic group from the resident agriculturalists in lakeshore villages. Owners of boats and gears may be different from users of those same assets, and wage (or catch-share) labour arrangements may be prevalent. To deal with these complexities, qualitative data research was divided into four main categories:

A. general discussion about fishing, in a broadly representative village group meeting (as for Section B3 above)
B. discussion about regulations, access and management with members of fishing households (fishing focus group meeting), and key informants, resident in the village
C. if relevant, discussion with migrant fishermen who were temporarily cited at or nearby to the village
D. mapping of migratory movements made by fishermen

<u>Category A</u>:
Some main questions in a general village discussion about fishing were suggested as:

(a) overall importance of fishing for survival in this community? is this just a minority occupation? do most households have members that fish, or are there some families that specialise while others do not fish at all? obtain count of households that fish and households that do not fish in this village
(b) how big an area is fished by people based in the village? do village-based fishers move around and often fish elsewhere?
(c) where are the main sites that village-based fishermen go for fishing? (a rough map may be helpful here)
(d) how has the importance of fishing changed compared to five years ago? ten years ago?

(e) is it still possible in this village for people who were not fishing before to take up fishing? is fishing seen as a good way to strengthen livelihoods? what are the barriers for people who want to take up fishing?
(f) what are the seasonal characteristics of fishing as an occupation? what are the peak months for catches, and the lowest months during the year? draw up a calendar showing seasonal changes in fishing; have there been any changes in the seasonal pattern of fish availability compared to five years ago? ten years ago? (reasons for these fluctuations? weather, drying constraints (e.g. rain), fish movements/availability)
(g) aside from regular annual patterns of fishing, are there cyclical changes that occur across years e.g. very good years for fishing occurring every three years or every five years? what is the recollection of the community about years (over the past 10-15 years) that have been very good or very bad years for fishing (reasons/understanding of fluctuations – biological stocks, weather, markets, costs?)

Category B

Some main questions for discussion with a focus group of fishing households were:

(h) what are the chief regulations about fishing and access that the village understands to apply to their fishing activities? do people comply with these regulations?
(i) how are the regulations policed? what is the penalty for non-compliance? is this an individual penalty or one imposed on the community?
(j) does the village have its own (community management) system for regulating seasonal access to fish and permitted fishing gears, and how does this work?
(k) have either formal or village regulations changed over the past five years? past ten years? and if so how have they changed?
(l) are there conflicts between the way the village authorities would like to manage access to fishing, and the rules that are imposed from outside by the fisheries department?
(m) do the rules (whether village-based or imposed from outside) mean that some individuals have permanent rights to fish while others are always excluded from fishing?
(n) have outsiders been coming into fishing over the past five years? if so, what effect have they had on the fishery? what effect do new fishermen have on the way that fisheries are managed here?

After discussing these questions in a village group situation, it was recommended that they be followed up by discussions with key informants to check on the understanding of different people about matters of regulation and access. For example, individuals in authority in the village, selected people specialising in fishing, selected people not fishing in order to find out why they do not fish if they are located on the lake shore.

Category C

This category comprised migrant fishermen located at or nearby to the resident village. Questions to be asked of this group were:

(o) where are you from? (place of permanent residence)
(p) which fish are you catching? what is the main fish that you come here to catch?
(q) duration of stay on lake shore? other places you fish? always go to the same places? where are these places? do you come every year? or do you come only when you hear that there are good stocks here? [this set of questions should allow a “map” of places on the lake that are favoured by this group of fishermen to be drawn, together with information on the time they spend at each location]
(r) why do you come to this village in particular? what are the advantages of being located here? [list reasons given by the group, and follow up particularly on relationships

between the migrants and the resident community, such as exchanges, trading arrangements]

(s) do you need permission from the village authorities to be here? how do you get this permission?

(t) is it easier or more difficult to get permission to fish at this site compared to 10 years ago? 5 years ago?

(u) what rules and regulations (rules about when you are allowed to fish, or about net size, etc.) apply to your fishing activities? are these good rules? what do you see as the good or bad points about these rules?

(v) in your place of permanent residence what is the main activity of your family (e.g. farming)? how important is fishing for you (i.e. for your livelihood) overall? (e.g. very minor, about a quarter, half)

(w) in general has access to fishing got more difficult? or less difficult? over the past 5 years? the past 10 years? what are the reasons for access getting worse or better?

Category D: Mapping Movements

This was the mapping exercise alluded to in Section C above, and was about discovering the movements that fishermen make to different parts of the lake in order to sustain their fish catches. This did not require "formal" research methods, but did require visiting villages and beaches, at intervals, along the coast to find out where fishermen were from, and to ask them about the main places that they fished. Seasonal information about fishing locations were asked to be included. Questions to be asked were: where are you from? how long are you here? what other sites do you fish? in which seasons do you move between these places? For villages visited for PRA or sample survey purposes, it was recommended that this be done at the same time as the PRA.

B11: *Special questions on small-scale irrigation* (Kilosa, Tanzania)

Village selection in Kilosa district was designed to examine the situation where small-scale irrigation plays a critical part in the construction of rural livelihoods. In addition to general livelihood questions, the research here therefore sought to address key issues around irrigated small-scale farming:

- management of small-scale irrigation
- determinants of access and exclusion
- livelihood interactions with managed water regimes

Background data

A general picture of irrigated areas and their place in the community was required, including command areas, history, donor or NGO involvement, management institutions and so on. The following data was sought from key informants and secondary documents, especially local government officials, donors, NGOs and village leaders:

- location and maps of irrigated areas, in the context of land use in the village
- technical information on dams, canals, off-takes within each area
- number of irrigated farms or farmers, and as a proportion of the village as a whole
- land tenure in irrigated areas, and does this differ from tenure elsewhere in the village
- history of irrigation schemes – when started, expanded or contracted, re-organised

- past and current management structure – government vs. community-management
- details of community management – who belongs, how it works, how decisions are taken, how revenues are raised, cost-sharing (or not) with government for O&M, related details
- past and present involvement of outside agencies: govt, donor or NGO support
- scheme reports, M&E reports, assessments and evaluations (documentation collection)

Qualitative information

Given qualitative data collected elsewhere (Sections B1-B7), it was suggested that a group of irrigated farmers and family members (men and women) be gathered together, in order to have a discussion about livelihood issues that were specific to belonging to an irrigation scheme. The following were suggested as a checklist of relevant questions, as a rough guideline. Facilitators were asked to allow the discussion to go 'off-the-track' where answers led in unexpected directions, in order to find out interesting aspects of participation in this type of scheme.

- how has this irrigation scheme changed over the past 10 years? what are the main things people think have been important in this period?
- does the scheme nowadays work better, the same, or worse than 5 or 10 years ago?
- if the scheme works better, what are the main reasons for this?
- if the scheme has deteriorated, what are the main reasons for this?
- what do people consider to be the most important current problems with the scheme?
- how do they think these problems can be fixed?
- how is this scheme managed? (get people to describe scheme management as they see it)
- who takes decisions on repair and maintenance work?
- does repair and maintenance get done in good time?
- what contributions by farmers are made to scheme management, and repair and maintenance? are these contributions fair?
- do all people in the scheme area have equal access to water? how is water allocated? are there advantages to being located in particular places in relation to canals?
- what are the extra time inputs (regular tasks) required for being in the scheme, compared to being a farmer outside the scheme?
- do farmers in the scheme make more money than those outside the scheme? what are the reasons for this?
- what tasks do women perform in this scheme? compare this to the tasks that men perform in this scheme? (incl. farm activities as well as water management activities)
- are any women involved in scheme management? if not, why not?
- does being in the scheme prevent individuals from doing things that people outside the scheme are able to do? for example, taking seasonal work outside the village, or taking casual work outside agriculture? if so, what are the main reasons for this?
- if someone new wanted to join this scheme would they be able to do so? what are the main ways by which new people can get access to land under this scheme? what are the costs they are likely to incur in order to do this?

B.12: *Cross-cutting themes*

Following village selection visits to the 4 countries during 2001, the following cross-cutting themes were identified as being of critical importance to interpreting rural livelihoods, and therefore to be kept in mind throughout the qualitative research process:

1. farming systems: gradients between higher and lower altitude, more and less rainfall, intensive and extensive, irrigated and non-irrigated, variations in farm sizes, and varying distances of market access

2. (in Malawi particularly, given prominence of livestock rustling) the security problem in rural areas: recent origins of this problem, whether it has stabilised or is worsening, what can be done about it

3. multiple roles of livestock in rural livelihoods: manifested in varying ways in all research locations, but. . . . . .

4. (in Malawi) the virtual disappearance of livestock from rural livelihoods in many areas due to security problems

5. local institutions (village headmen, chiefs, traditional authorities) and interaction with proposed decentralised structures

6. service delivery at district, sub-district & village levels: organisation of agricultural extension and other service delivery issues e.g. credit, inputs, seeds, etc.; true (as against theoretical) coverage and accessibility to these services

7. land tenure: the way the customary systems works; the powers of village headmen or chiefs to allocate land; the way land conflicts are resolved

8. taxes and licenses that may apply to rural enterprises (whether farm or non-farm)

9. livelihood diversification: a key theme for the research as a whole, but researchers need to uncover this carefully because non-farm income sources tend to be “hidden” from view and are not necessarily mentioned in the context of discussions on farm-based livelihoods

TABLE B1: EXAMPLE TABULATION FOR SUMMARISING GROUP DISCUSSIONS

(illustrated by the information asked in Section B4 of the Methods Manual)

Village: [ ] Checklist ID (Section of Manual): [ ]

This form is for summarising information obtained from group discussions in each village. The form will vary with respect to the topics listed down the left hand side according to the group or sub-group of topics under discussion (Sections B3, B4, B5 etc). A form like this provides a convenient way of summarising qualitative research findings but should be completed in rough first, making sure from field notes that all main points of general agreement are covered, before making a clean version later.

Group Question	**Now**	**5 Years Ago**	**10 Years Ago**
Main			
Incomes			
Comments:			
New			
Activities			
(started)			
Comments:			
Got			
Worse?			
Comments:			
Got			
Better?			
Comments:			
Agric and			
Marketing			
Problems			
Comments:			
Access to			
Natural			
Resources			
Comments:			

Section C

SAMPLE SURVEY FORMS

Diagram C1: “Map” of Sample Survey Forms

Core Quantitative Data - All Households

FORM A → BASIC

FORM B → ASSETS 1

FORM C → ASSETS 2

FORM D → CROPS

FORM E → LIVESTOCK/OTHER NR

FORM F → NON-FARM

FORM G → TRANSFERS/COPING

FORM H → INCOME SUMMARY

Qualitative Data - All Households

FORM I → CHANGE

Qualitative Data - 1 in 5 Households

FORM J → GENDER

Quantitative Data - Fishing Households

FORM K → FISHING