Innovations in Ecosystem Management and Conservation (IEMaC) Project

Testing a gender-responsive prototype tool for assessing poverty impacts of value chain development (*5Capitals-G*)

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REPORT ON TRAINING PROGRAMME

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April 2016

Locations**:**
Sirsi, Uttara Kannada district, Karnataka, India

DISCLAIMER

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

Contents

1. Introduction

This training was implemented as part of the project 'Innovations in Ecosystem Management and Conservation (IEMaC)' with support from the CGIAR Research Program on Policies, Institutions and Markets (PIM). The IEMaC project is funded by the InFoRM (Innovations in Forest Resource Management) program of USAID, which aims to reduce forest degradation in India, with co-funding from the CGIAR Research Program on Forests, Trees and Agroforestry (FTA). Participants in the workshop also included partners of the project 'Linking agrobiodiversity value chains, climate adaptation and nutrition: Empowering the poor to manage risk' that is supported by IFAD, the European Union and the CGIAR Research Program of Climate Change Agriculture and Food Security (CCAFS) promoting value chain development of minor millets.

Degradation and deforestation of forest lands is a critical issue in India from both environmental and socio-economic development perspectives. Between 275 to 350 million people in the country, many of whom are from socially marginalized groups, are forest dependent (World Bank, 2006 and Nayak et al., 2012) and 170,000 villages (out of a total of 641,000 villages in India) lie within or near forests (MoEF, 2006 and Census 2011). Overexploitation of forest resources by external agents and local communities for construction materials, fuel wood and other non-timber forest products is a wide-spread phenomenon not only in India but around the world. Unsustainable harvesting practices for non-timber forest products (NTFPs) prevail as a result of persistent poverty, immediate livelihood needs, competition for scarce resources among collectors, lack of regulations, or inadequate monitoring and enforcement of the latter, and limited incentives for improved resource management reflected in low producer prices and other market-based mechanisms incentivizing sustainable harvesting.

Women and minority groups (landless or lower-caste groups) are strongly dependent on firewood or NTFP collection from common pool resources for securing their livelihoods and should be part of any intervention focusing on improved forest management. The IEMaC project strives to improve the livelihood of forest dependent households through the adoption of fuelwood-saving technologies, the promotion of sustainable NTFP harvesting practices, and improved marketing of NTFPs through a gender-sensitive approach. The project activities include the establishment of a Producer Company and equitable business relations with downstream buyers in both project sites as a means to generate higher and more equitable income from sustainably sourced NTFPs. Planning, monitoring and evaluation of value chain interventions requires the establishment of a baseline. The 5Capitals tool (Donovan & Stoian 2012) is an asset-based approach for assessing the impacts of value chain development on poverty that has been widely tested (see, for example, Sheck et al. 2013) and which can be used for both establishing a baseline and assessing the impact of value chain development. 5Capitals uses an asset-based approach to determine changes in human, social, natural, physical and

financial capitals at the level of smallholder households and the enterprises (e.g., cooperatives, farmer associations, limited liability companies) that link them with downstream buyers. Bioversity International and ICRAF are currently developing a gender-responsive version of the tool (5Capitals-G) to determine gender-differentiated access to and control over household and enterprise assets.

2. Background and focus of the course

This training course, which took place from 20-24 April 2016 at the College of Forestry in Sirsi, focused on a prototype version of 5Capitals-G to be field tested in Karnataka, Madhya Pradesh and possibly Tamil Nadu within the framework of the IEMaC and IFAD/EU projects, respectively. Twenty participants (women and men equally represented) were trained in the three key elements of the tool: 1) context analysis; 2) enterprise assessment; and 3) household assessment. Trainees included field staff and PhD/MSc students who will be in charge of supervising or implementing tool application in the field. The findings of the latter will serve as (extended) baseline for the IEMaC and IFAD/EU projects, as well as input for developing the final version of 5Capitals-G. Both projects will use the data for monitoring progress on asset building at household and enterprise level as indication of effective poverty reduction, including improvements in terms of gender equity. Designed as a learning tool, findings from the baseline studies and ongoing monitoring will allow the projects to better understand how their theories of change materialize, and which adjustments might be needed to ensure the envisioned outcomes and impacts.

3. Objectives

The principal objective of the training workshop was to familiarize participants with the prototype tool, sensitize them about the relevance of the gender dimension, and enable them to guide or carry out tool application in the field.

Specific objectives were that:

1) Participants understand the relevance of an asset-based approach to poverty reduction through value chain development and are able to assess its outcomes and impacts at household and enterprise levels.

2) Participants embrace the importance of a gender focus and are enabled to collect and analyze gender-differentiated data.

3) Participants are mindful of contextual factors shaping the outcomes and impacts of value chain development and dispose of tools to assess these for given value chain initiatives.

4. Participants' selection and responsibilities

To test the gender-responsive version of 5Capitals, participants were selected from two projects that focus on value chain development:

- IEMaC: 12 participants (6 female, 6 male), including 2 PhD students and 10 MSc students
- IFAD-Bioversity: 5 participants (3 male, 2 female), including field staff

These participants will make up the teams to implement the (extended) baseline surveys in their respective sites, most of them as enumerators and some of them as supervisors/back-stoppers. Given the importance of mixed teams for elucidating gender differences, participants group will consist of both male and female.

5. Workshop programme

Workshop coordination:	Dietmar Stoian and Hugo Lamers
Workshop resource persons	Dietmar Stoian, Marlène Elias, Hugo Lamers
Location:	College of Forestry, Sirsi, Uttara Kannada, Karnataka, India
Duration:	4.5 days (including 2 field days)
Date:	20 – 24 April 2016
Participants:	22 people:

- 12 participants
- 3 facilitators
- 5 observers

Timing	Activity	Location
Wed 20 April	**Day 1: Class room training**	
09:00 – 13:00	• Introduction to 5Capital tool • Context Analysis	College of Forestry
	Lunch	
14.00 – 17.30	• Context Analysis • Gender considerations	College of Forestry
Thu 21 April	**Day 2: Class room training**	
09:00 - 13:00	• Enterprise assessment	College of

	• Gender considerations	Forestry
	Lunch	
14:00-17:30	• Household assessment • Attribution	College of Forestry
Fri 22 April	**Day 3: Fieldwork**	
09:00 - 13:00	• Household assessment	Sirsi town
	Lunch	
14:00-17:30	• Key informant and enterprise interview with Kadamba Cooperative Society	Sirsi town
Sat 23 April	**Day 4: Fieldwork**	
09:00 - 13:00	• Interview with Village Forest Committee Boardmembers	Devanalli village
	Lunch	
14:00-17:30	• Field trial of household tool	Devanalli village
Sun 24 April	**Day 5: Class room training**	
09:00 – 14:00	• Sampling strategy • Data management and entry • Analysis and report writing • Closing of the training	College of Forestry

6. Reflections on the course

Integrating smallholders in value chains for agricultural and forest products can increase the income of poor rural households, but did it benefit all members of the household equally? And did it only help to improve income or did it result in additional livelihood benefits? Value chain development needs to be mindful of smallholders' constrained access to land and other resources, potential trade-offs between market and non-market activities, and effects on the environment and social relationships. For this purpose, the *5Capitals* methodology assesses the endowment of critical livelihood assets (human, social, natural, physical, and financial capitals) of smallholder households and enterprises linking them with buyers downstream in the value chain. Designed as a learning tool, *5Capitals* helps determine the poverty impacts of value chain development by evaluating asset-building achieved by households and businesses in relation to contextual factors, such as policy changes and shifts in the economy. Particular emphasis is made to determine the long-term

viability of pathways out of poverty and associated trade-offs to guide interventions going forward.

A group of Bioversity researchers, in close collaboration with colleagues from the World Agroforestry Centre (ICRAF) and partners in India, Guatemala and Peru are now taking *5Capitals* to the next level by developing a gender-responsive version. The *5Capitals-G* tool accounts for the fact that men and women have distinct roles and responsibilities in the household and production activities. Labor division, income generation, and access and control over critical household and business assets are strongly shaped by gender, as are the options and needs of women and men when participating in value chains. The gender lens for the asset assessment will elucidate gender-specific options and needs for value chain development at household and enterprise levels. The *5Capitals-G* tool will be piloted in India, Guatemala and Peru over the coming months.

The validation process for 5Capitals-G tool was kicked off with this training workshop held in Sirsi, Karnataka, India on April 20-24, 2016 that brought together researchers from Bioversity International and partners from the College of Forestry (Karnataka), Action for Social Advancement (ASA, Madhya Pradesh), and the M.S. Swaminathan Research Foundation (MSSRF, Tamil Nadu). Among the participants were several Masters students from the College of Forestry who will be engaged in applying the tool to produce an baseline for a value chain initiative for three forest-gathered fruit species: *Garcinia indica* (kokum), *Mangifera indica* (mango), and *Garcinia gummi-gatta* (brindleberry).

The 5-day training explored the conceptual underpinning of an asset-based approach to value chain development and sensitized participants on the importance of collecting and analyzing gender-differentiated data. The key steps of 5Capitals-G (context analysis, enterprise survey, household survey) were discussed in detail and the prototype questionnaires were refined and tailored to the local context. On the third and fourth day, the household and enterprise tools were tested in the field, giving some participants a first experience in conducting household surveys and key informant interviews.

Participants visited the storefront and processing centre of the "Kadamba" company in Sirsi, which is a farmers' cooperative society with more than 2,000 members that markets agricultural and forest products from across Karnataka. The participants of the training course interviewed the CEO, Mr. Vishweshwar Bhat, to learn how the business operates and were impressed to learn that the marketing cooperative provides diverse income-earning opportunities for rural men and women by purchasing close to 30 agricultural and forest products. The following day, participants met with leaders of three local Village Forest Committees to understand how they manage sustainability issues with the commercialization of forest products.

Finally, participants visited a hamlet near Devanalli village to test the household survey tool. In this exercise, the complexity of gender-responsive surveying became apparent as the trainees needed to find appropriate spaces and transitions for interviewing household representatives jointly and separately by interviewing the male and female decision maker of the household. Translation from Hindi into the local language (Kannada) proved an additional challenge.

On the final day, experiences in the field were discussed and tips and advice were shared for addressing various situations that could arise during the field testing over the next months. The reflection was enriched by the experience and knowledge of field staff from MSSRF and ASA who have been involved in promoting the value chains of minor millets in Tamil Nadu and Madhya Pradesh. Participants left the training with a strong sense of the relevance of gender-responsive methodologies and for identifying viable and equitable options for women and men to benefit from their participation in value chains.

7. Evaluation of the course

All participants were asked to evaluate their knowledge level before and after the course on some of the key topics that were discussed during the course (table 1) using a 5-point lickert scale. The scores show that participants perceived themselves least knowledgeable about value chains and market research and most knowledgeable about conducting household surveys and key informant interviews before the course. Besides they evaluated themselves as having fairly limited knowledge about gender and social inclusion and slightly more on impact assessment and baseline surveys. The post evaluation shows that participants generally thought their knowledge had increased on all four topics and most substantially on value chains & marketing and gender & social inclusion. While before the training participants said they knew most about how to conduct household surveys and interviews, after the training they perceived themselves most knowledgeable about gender and social inclusion aspects.

Table 1: Averages scores of 18 participants by self-evaluation

Topic	Before	After	Difference
Value Chain Development and Market Research	2.44	3.75	1.31
Gender and Social Inclusion	2.77	3.81	1.04
Impact Assessment and Baseline Surveys	2.88	3.62	0.74
Skills in conducting household surveys and key informant interviews	3.33	3.75	0.42
Total	**11.42**	**14.93**	**3.51**

We asked participants also to explain what household assets are and to provide examples of such assets. In total 4 participants provided a correct and complete

answer after the training, which was only 1 participant before. In total 4 participants before and 5 participants after the training did not answer this question. The number of participants that could partially answer the question did decrease mostly due lower number of participants that filled the form or they managed to answer correctly afterwards. These results suggest that the understanding about the different type of household assets as a method to assess poverty did increase among participants, although participants probably need more exposure to the particular methodology for full understanding.

Table 2: Number of participants grouped per classification

|	Before	%	After	%
No answer	4	22.2	5	31.2
Partially correct	13	72.2	7	43.7
Completely correct	1	5.5	4	25.0
Total	18	100.0	16	100.0

8. Course organization and facilitators

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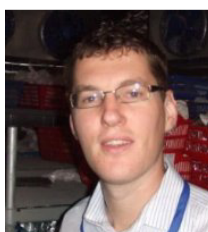
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9. List of participants

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ANNEXURE 1
Detailed Program

Time	Wednesday, April 20	Thursday, April 21	Friday, April 22	Saturday, April 23	Sunday, April 24
09:00-11:00	**Introduction** - Inauguration (HL) - Interactive introduction of participants (HL) - Program overview (DS) - Introduction of 5Capitals-G (DS) - Group discussion on relevance of an asset-based approach to value chain development with a gender lens (DS, ME, participants)	**Methods** **Enterprise Assessment (DS)** - Prioritized vs. non-prioritized enterprise - Business assets - Enterprise governance with a gender lens (ME), incl. barriers to active participation by women in target value chains - Group review of generic tool for enterprise assessment	Preparation of field work **Context analysis (HL)** - Key informant interviews - Identification of principal political-legal, institutional and socio-economic drivers - Elaboration of a simple impact pathway for target chains in Karnataka (DS, HL)	**Field work** **Household assessment** - Household interviews in mixed teams among members of producer company - Synthesis of key issues encountered during household interviews	**Reflections on field days (DS, HL, ME)** - Context analysis - Enterprise Survey - Household Survey - Attribution
11:00-11:30	Chai break	Chai break			Chai break
11:30-13:00	**Basic concepts** **Value chains (DS)** - Approaches to value chain development - Methodologies for value chain analysis and impact assessments - Brief reference to the target value chains in Karnataka (HL) and Madhya Pradesh (SP/GM)/Tamil Nadu (OK) - Group discussion on personal experiences with value chain analysis and development	**Methods** **Household assessment (DS)** - Linkage with enterprise assessment - Household assets - Gendered access to assets (matrix), ME - Livelihood strategies - Multi-chain linkages - Group discussion on critical livelihood/value chain aspects in Karnataka and Madhya Pradesh/Tamil Nadu			**Preparation of future field work (HL, DS, ME)** - Sample design - Control groups - Data collection - Data entry - Analysis - Reporting - Reflection
13:00-14:00	Lunch break	Lunch break	Lunch break	Lunch break	Lunch break

|					
14:00-15:30	**Basic concepts** **Gender considerations (ME)** - Role play (Power walk) - Women empowerment - Gender and value chains - Group discussion on gender experiences/reflections with focus on the target value chains in Karnataka, Madhya Pradesh/Tamil Nadu	**Methods** **Household assessment from a gender perspective (ME, DS)** - Methodological issues: work in mixed teams, creating space for gender-sensitive interviews - Group review of generic tool for household assessment	*Field day* **Enterprise assessment** - Focus group discussions with representatives from a producer company at the beginning and as wrap-up - Individual, gender-sensitive interviews with representatives from a Producer Company	*Cont.*	*Departure for Vasco and further destinations*
15:30-16:00	*Chai break*	*Chai break*			
16:00-17:30	**Methods** **Context analysis (DS)** - Political-legal and institutional framework - Macroeconomic and market trends - Previous interventions in value chain - Group work on context of target value chains in Karnataka (HL) and Madhya Pradesh (SP/GM)/ Tamil Nadu (OK)	**Methods** **Impact pathways and attribution (DS)** - Results orientation: from inputs to outputs, outcomes and impact - Theory of change - Attribution vs. contribution - Group discussion on key elements of impact pathways in relation to Karnataka and Madhya Pradesh sites			
17:30-17:40	*Evaluation of the day*	*Evaluation of the day*	*Evaluation of the day*	*Evaluation of the day*	
17:40-18:10	*Process team meeting*	*Process team meeting*	*Process team meeting*	*Process team meeting*	

Facilitators/Resource Persons: Dietmar Stoian (DS), Hugo Lamers (HL), Marlène Elias (ME), Stefano Padulosi (SP), Gennifer Meldrum (GM) and Oliver King (OK)

ANNEXURE 3
Photos
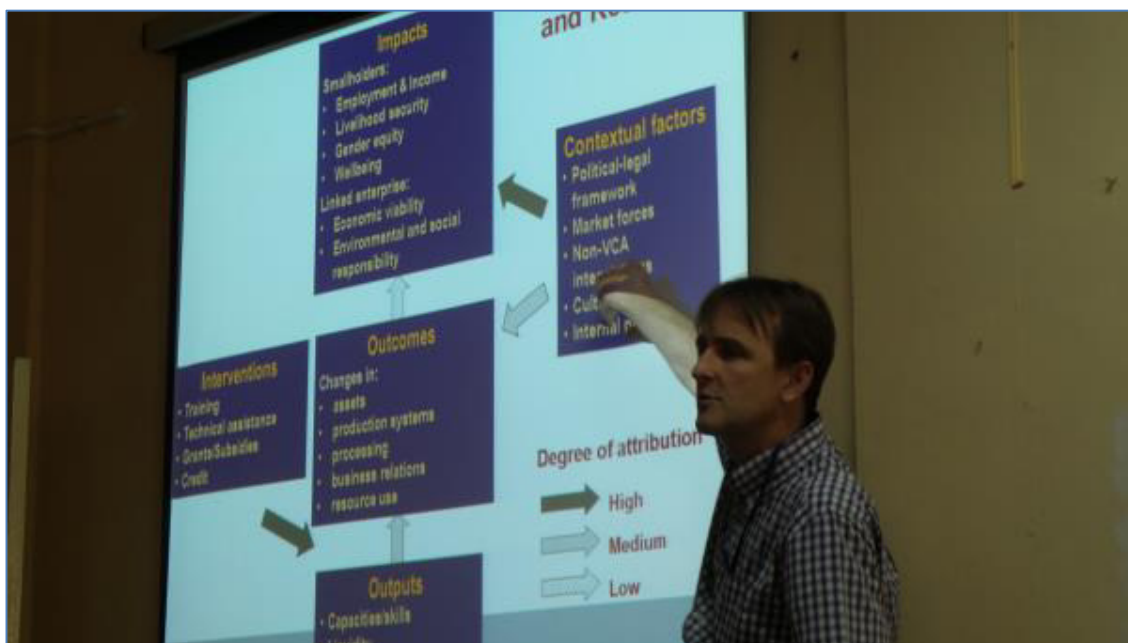
Day 1: Introduction to the concept of 5Capital tool

Day 3: Field work and meeting with Kadamba Cooperative Society in Sirsi

Day 4: Interview with Village Forest Committee Chief as part of contextual analysis

Day 4: Interview with Village Forest Committee Chief as part of contextual analysis

Day 3: Field work and meeting with Kadamba Cooperative Society in Sirsi

Day 5: Reflections on the three major components of the 5capital tool

Female participants of the training course

Day 5: Classroom discussion and reflections on 5capital tool

Day 4: Visit to old Hindu temple near Devanalli village in Uttara Kannada