

BEHAVIORAL SCIENCES APPROACH TO EMPOWERING WOMEN IN FOREST LANDSCAPE



Diagnostics Toolkit



WORLD BANK GROUP

eMBed
Mind, Behavior, and
Development Unit

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Interactivity Guidelines



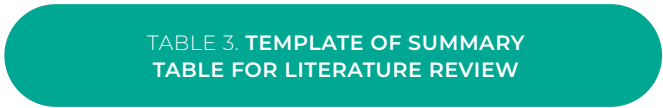
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Introduction



a.

Forest activities and women participation

Forests and terrestrial ecosystems play a primary environmental role in climate-change mitigation and adaptation. Forestry and other land-use sectors account for over 18 percent of global anthropogenic CO₂e emissions.¹ At the same time, reduced deforestation, conservation, and the improvement of carbon sinks can mitigate forest-based climate change, limit disaster risk, and increase ecological resilience. Healthy forests also allow societies to adapt to future climate change by providing a wide range of essential ecosystem services, such as bioproducts (food, fuel, and timber), ecological benefits (air and water purification, soil generation and preservation, and wildlife habitat), and sociocultural benefits (recreation, well-being).²

In many developing countries, forests provide ecosystem services and support the livelihoods of hundreds of millions of people, mainly the poorest and most vulnerable in rural areas. The sustainable management of natural resources can reduce poverty and enhance shared prosperity at the local level.³

As countries develop Natural Resource Management (NRM) and forest management, it is crucial to ensure that these processes include women in productive, income-generating activities. Men and women access, use, and manage forests differently, as seen in the gendered nature of activities such as gathering forest products, hunting, wood harvesting, and mineral collection.⁴ Furthermore, there are persistent gender gaps in access to services, inputs (including credit and financing), markets, value-addition activities, land tenure, representation, and agency.^{5, 6} Also, unprivileged populations often lack the bundle of rights to own, transfer, and sell land/forestland, which increases their engagement in unsustainable agricultural and management

practices,⁷ a phenomenon that might affect women more than men.

The Forest Carbon Partnership Facility (FCPF) and the World Bank (WB) have outlined a program aimed at promoting gender equality in REDD+⁸ and forestry strategies and implementation. The FCPF is a global partnership of governments, businesses, civil society, and Indigenous Peoples (IPs) focused on reducing emissions from deforestation and forest degradation, forest carbon stock conservation, sustainable forest management, and the enhancement of forest carbon stocks in developing countries, activities commonly referred to as REDD+. These REDD+ activities are closely linked to several key policy strategies for inclusive forest and agricultural development. The WB Climate Change Action Plan 2021-2025⁹ would ensure equitable effects of carbon reduction, aligned with the core principles of FCPF.

This document aims to help task teams and practitioners identify and diagnose factors contributing to gender gaps in sustainable forest projects in FCPF countries by providing nine people-centered research tools based in the behavioral sciences. Such gaps can be rooted in gender norms, roles, and beliefs, attentional limitations, and procedural hassles, among others.

b.

A new approach to policy design and implementation

An evidence-informed understanding of human decision-making can help policymakers solve development challenges. People's thoughts, feelings, and behaviors lie at the core of almost all developmental challenges. To design effective policies, programs, and interventions, we must understand how people's perceptions, thoughts, and behavior shape and relate to these challenges. In particular, psychological, social, and economic factors affect what people think and do, as do organizational and institutional systems.¹⁰

The behavioral sciences are already being integrated into rural development and climate change policymaking.¹¹ For example, insights from behavioral science have informed interventions designed to encourage farmers and landowners to save, use fertilizers, and adopt new technologies.¹² Such insights also have been used to address gender inequalities in education, health care,¹³ asset ownership, and job access,¹⁴ as well as the capacity to act on one's own behalf and interests.¹⁵ More recently, the World Bank used this approach to increasing women's participation in conservation activities in Mexican forest landscapes.¹⁶

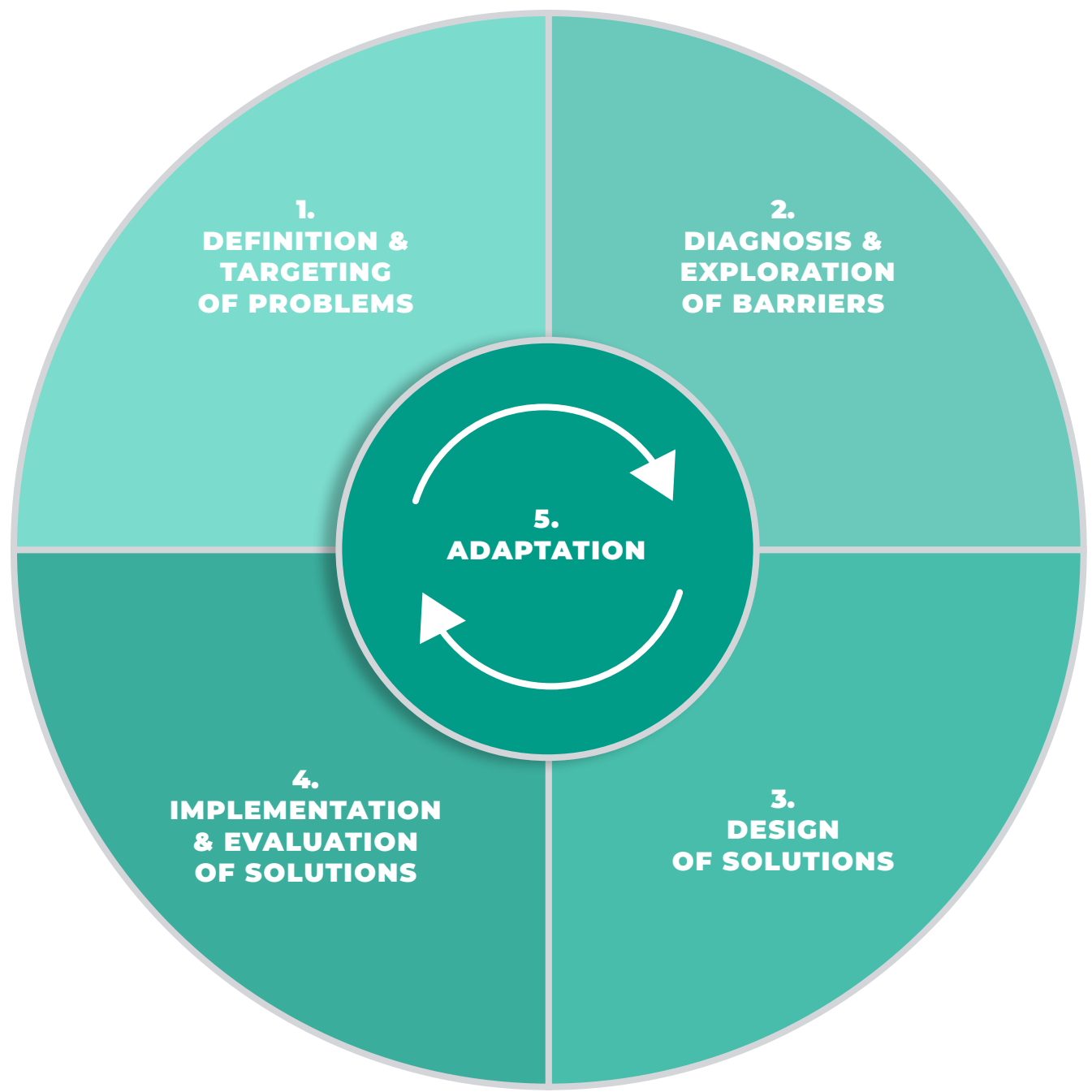
C. Applying behavioral insights

The effective use of behavioral insights examines human decisions across the conceptualization, implementation, and evaluation of programs and policies. Such efforts complement the traditional definition and diagnosis of problems and design of solutions (see [Figure 1¹⁷](#)). The process begins by defining and targeting a problem in the form of a set of specific behaviors or decisions that should lead to the policy's desired outcome. Next, factors that prevent or facilitate the desired behavior are diagnosed and explored, using quantitative and qualitative methods. A solution strategy is conceptualized to overcome empirically identified barriers. Through rigorous methodologies, the effectiveness of the solution is assessed to develop evidence-based conclusions that can inform policy. The process can repeat as hypotheses are reassessed and adapted.



FIGURE 1.
THE BEHAVIORAL APPROACH

Source: Adapted from WDR 2015 (The World Bank, 2015)



d.

Definition and Diagnosis

Defining a concrete behavioral problem and diagnosing barriers to desired behaviors are the most relevant steps of the behavioral approach to policy design and implementation. This approach needs to be integrated early into the formulation of programs and policies.¹⁸ The main objective is to identify barriers preventing the desired behavior and define possible entry points for the subsequent design stage. This is the most challenging stage in the process of applying behavioral insights, as policymakers' pre-conceived views and knowledge can shape their perspective even if the problem has been clearly defined.

Behavioral diagnosis is synonymous with flexibility. Defining a problem and identifying barriers to behavior change is a contextual, non-sequential, iterative, and flexible process. Hypotheses can be developed by applying theories from multiple disciplines, such as psychology, neurosciences, and economics, and research tools suitable to the study object can be adapted to the particular context.

BOX 1. **POLICY MAKERS AND CIVIL SERVANTS**

By adopting a human-centered approach, behaviorally-informed diagnostics consider the perspective of the multiple stakeholders involved in the policy challenge at stake. As such, the analysis of the decision-making process of policymakers and civil servants working on rural productive programs for women becomes crucial to understanding gender gaps in such activities.

Civil servants have a close interaction with the target population of a program. They are also responsible for its design, planning and allocation of resources, management of performance and activities, service delivery, and overall implementation. Thus, their decisions and actions directly impact the beneficiaries' program experience and benefits.

Policy professionals' motivation, beliefs, decisions, and performance are determined by the same influences any other human experiences and are prone to the same biases. There are three different contexts of influence:¹⁹

- **INDIVIDUAL:** refers to civil servants' motivational, interpretational, and ability factors (see [Annex 1: Behavioral Framework](#)). For example, are their beliefs, motivation, and incentives aligned with the gender goals of the program? Do they have the necessary training to equally or fairly treat female and male beneficiaries?
- **GROUP:** includes the primary social factors, such as the group identity, norms or rules, and conventions (see [Annex 1: Behavioral Framework](#)). For example, is the program staff interacting with target women mostly female or male? Do they have similar beliefs of traditional gender roles as the target population?
- **INSTITUTIONAL:** related to the work environment's formal or established rules and processes. For example, are there gender-sensitive indicators of the program performance? Is women's participation in program activities one of them? How specific are program protocols about integrating women in the activities?

The diagnostics tools provided here are versatile enough to capture how these contexts affect the decisions of policy professionals and, ultimately, the persistence of gender gaps in rural programs. Qualitative instruments with program staff and policymakers can be applied to gather first-hand evidence of their relationship with the target population (for example, Focus Group Discussions and Semi-Structured Interviews, presented in Section 1). However, they should be complemented with perceptions from targeted women and additional stakeholders and experts (through traditional qualitative methods, observation exercises, surveys, etc.)

Behaviorally Informed Diagnostic



A behavioral sciences approach focuses on social dynamics and psychological influences often overlooked by traditional assessments (see Table 1 below). For example, the diagnostic work in Mexico found not only institutional, legal, and economic barriers to the participation of women in natural resource management programs, including REDD+ relevant activities. The study also revealed that many women lacked the aspirations and self-confidence needed to engage in such activities, effectively preventing them from accessing incentive payments and support.²⁰

TABLE 1.
ELEMENTS AND FEATURES OF A BEHAVIORALLY INFORMED DIAGNOSTIC

- Standard analysis of structural challenges: informational, economic, and regulatory frameworks.*
- Social dynamics: norms, mental models, networks.*
- Psychological concepts: biases, preconceptions, belief systems.*

Ultimately, behaviorally informed diagnostics aim to identify an impactable outcome in the form of a behavior and solutions for improving it. When a range of possible explanations for a policy challenge exists, the process of applying behaviorally informed diagnostics affords understanding of the relationships between these factors, prioritization, and identification of entry points for solutions. For example, Mexico’s diagnostics work showed that, without the right psychological and motivational tools, an equitable

legal framework would not be sufficient to improve women's participation in REDD+ activities.

This section provides a primer on applying the behavioral sciences approach to defining problems and diagnosing barriers. First, it overviews the process, its steps, and the nine tools recommended. It then introduces each of the six activities and the four methodological tools for defining behavioral problems, followed by the four steps and five accompanying tools for diagnosing barriers. Examples of the application of steps and tools are provided, drawing from studies of the participation of women in forest management. The section also includes a checklist for applying the tools and additional resources, such as templates.



a.

The Tools and Methods

Methodologically, behavioral diagnostics involve applying a set of research tools to gather evidence on how people make decisions. The diagnostic process relies on the application of mixed research methods (see [Table 1](#)). Qualitative methods allow the identification and understanding of in-depth behavioral problems and barriers using traditional research tools, such as Focus Group Discussions (FGD), Semi-Structured Interviews (SSI), and observation exercises. Quantitative research, on the other hand, is based on a statistical analysis of numeric data; it can complement qualitative work by validating and expanding its findings through replication. Human-centered methods adopt the perspective of the target population or any other relevant stakeholder to allow for a more realistic representation of the analysis—for example, by assuming the role of women in a rural setting. Lastly, mapping methods enrich understanding of the context by focusing on legal and policy frameworks, relevant stakeholders, and their roles and responsibilities.

The nine research tools presented here respond to people’s behavior and the context at each step of the analytical process. They complement each other, each aiming to obtain different but equally relevant analytical inputs for diagnosing behavioral barriers. The selection of methodologies and the degree of rigor in their application should respond to the context and logistics, including budget, the availability of information, and the research team and institutional capacity.

This process is organized into two segments: **Definition and Targetting of Problem and Diagnosis and Exploration of Behavioral Barriers.** We refer to each of these segments as a “space,” inspired by language from human-centered design and to remind teams that these steps do not always have to be followed linearly. Often, behavioral diagnostics require revisiting aspects of the research process to test assumptions and capture new information.

BOX 2. **APPLYING THE BEHAVIORAL TOOLKIT IN MOZAMBIQUE AND NEPAL**

A preliminary and abridged version of the toolkit was adapted and implemented in two FCPF participating countries with advanced REDD+ program preparation and initial work on gender assessment: Mozambique and Nepal.

The team followed the definition and targeting steps by identifying behaviors of interest, the context in which they occur, associated stakeholders, and an initial set of potential barriers preventing the desired outcome. Several of the activities and tools were applied during this first stage, including literature and documentation review, data review and analysis, stakeholder and policy mapping, and initial conversations with experts and teams from WB, government, and specialized organizations.

In the second stage of diagnosis and exploration, qualitative instruments were adapted, tested, and applied to validate findings from the desk review and explore the dynamics, beliefs, and motivations of interest. The following qualitative exercises were conducted: Focus Group Discussions (FGDs), Semi-Structured Interviews (SSIs), and Non-Intrusive Observations. Selected participants included female and male program beneficiaries, female non-beneficiaries, program staff, community leaders, and local experts.

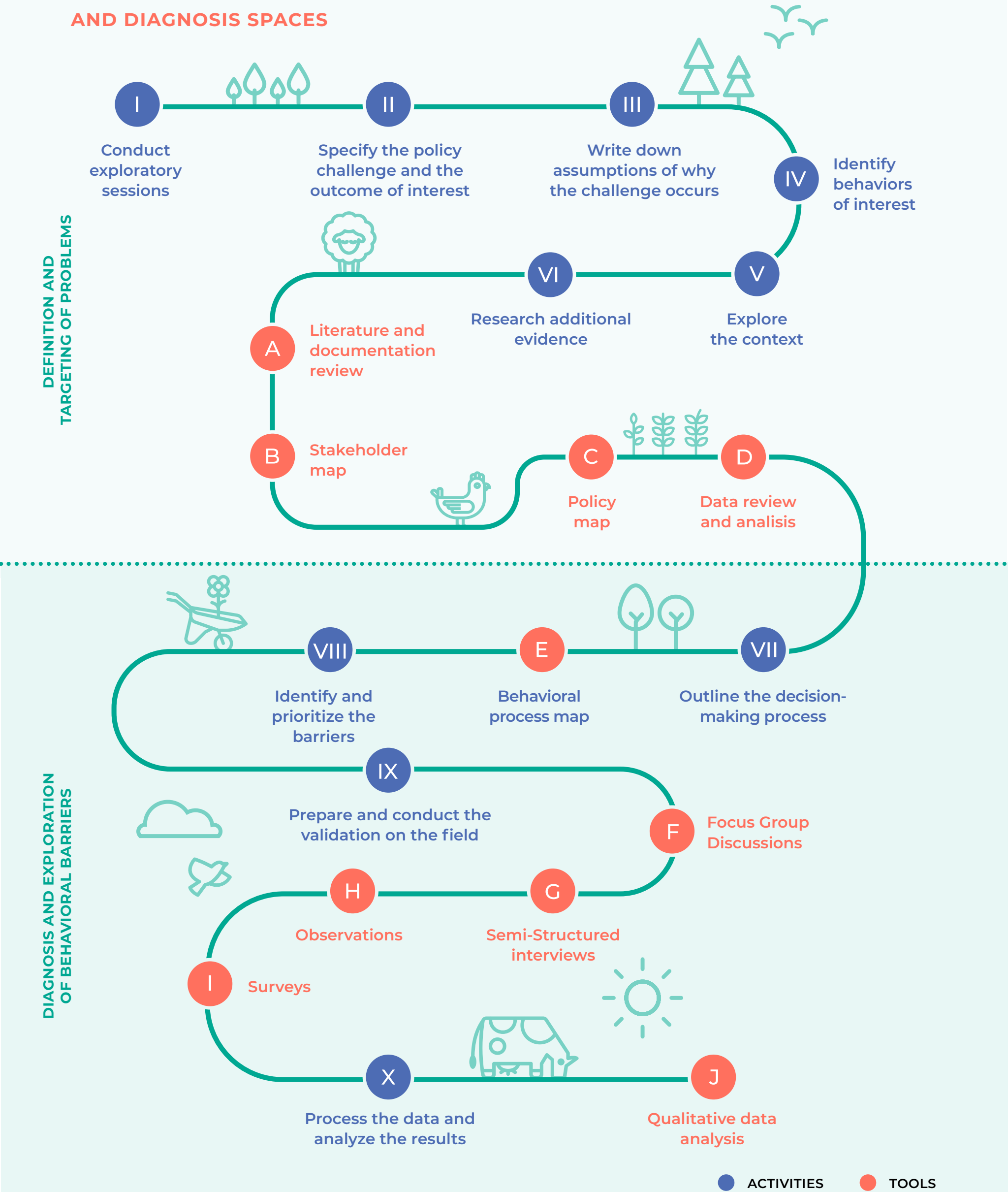
In Mozambique, fieldwork was conducted in two northern provinces where an investment project funded by the WB is being implemented: Nampula and Niassa.²¹ Activities were carried out in March 2021 in four rural communities from three districts in the selected provinces, with 72 participants (62 women) of 8 FGD, 18 SSI, and 2 observation exercises. Teams from local NGOs that were part of the Community NRM Network (R-GCRN) were in charge of the data collection and counted with the support of the WB team.

In Nepal, the assessment was conducted between March and April 2021 in three municipalities from the Lumbini Province and Province 2, areas prioritized by three operations financed by the WB.²² A total of 130 individuals (120 women) participated in 15 FGD, 23 SSI, and 11 Observation exercises. All data collection activities were organized and performed by a Nepalese research firm.²³

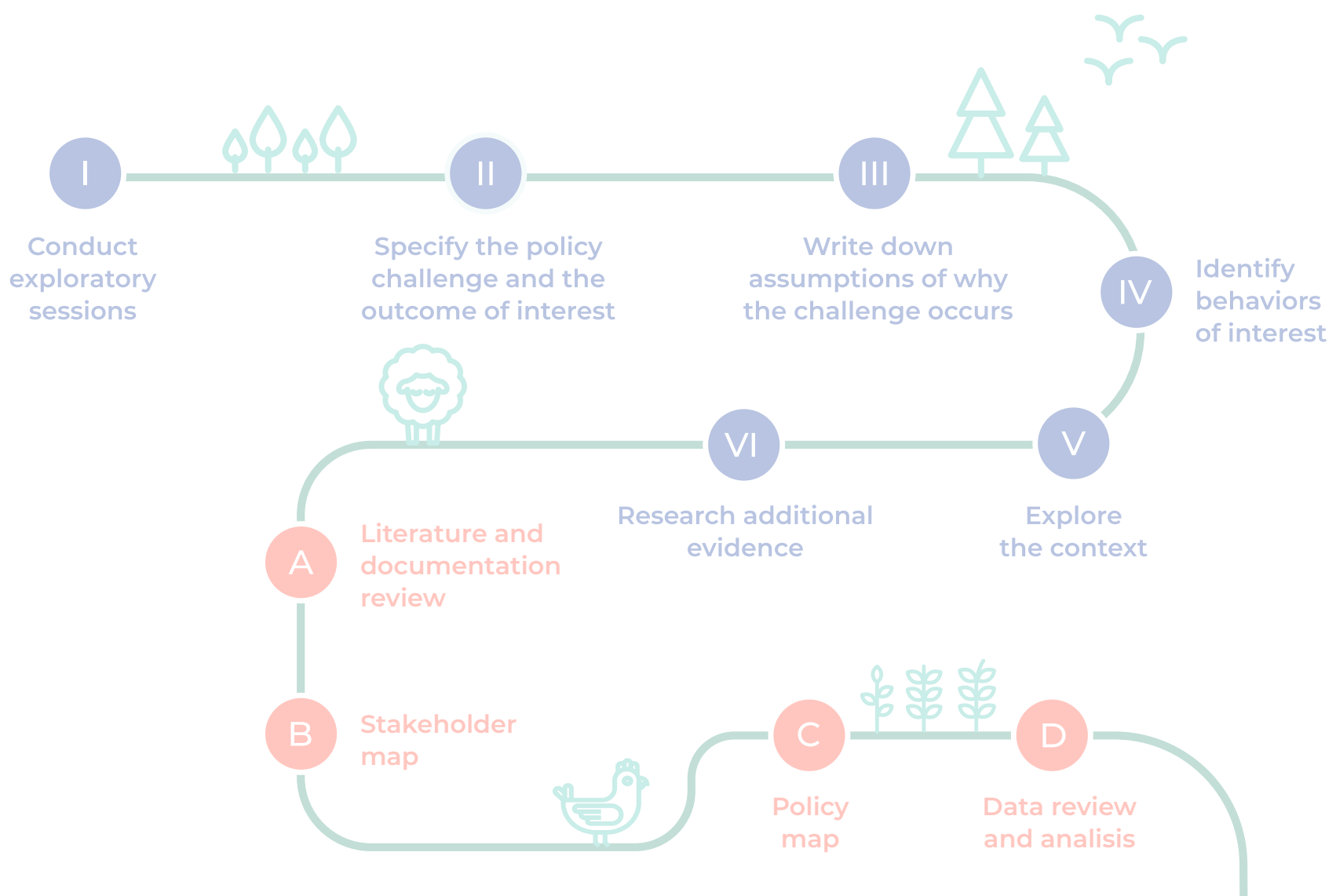
Findings from the diagnostics revealed similar barriers to women's participation in productive programs in the two countries²⁴: asymmetric, complex, or inaccessible information outreach about registration and participation processes; misperception about program benefits; poor perception of women about their agency, self-efficacy, sense of belonging, and aspirations; limiting beliefs and norms about the potential economic role of women; restricted social references and support; and financial and resource constraints. Furthermore, there was evidence of logistical challenges to participation due to remoteness in Mozambique and the timing of program activities in Nepal. Lastly, ethnic minorities perceived structural exclusion from programs in Nepal.

TABLE 2.

ACTIVITIES AND TOOLS FOR THE DEFINITION AND DIAGNOSIS SPACES



b. Definition and Targeting of Problems



These activities and tools aim to support teams to define a problem in terms of a specific, clear behavior or set of behaviors that the population of interest needs to do to attain the desired outcome.



Activities

I

CONDUCT EXPLORATORY SESSIONS

The main partner, client, or counterpart is an expert and can provide valuable information to help define source who can help define and diagnose behavioral problems. Schedule a series of meetings to obtain ideas, information, and feedback that can sharpen your definitions. These activities are usually part of the initial engagement with the project client, follow an iterative process, and can be informal and unstructured.

They can be complemented by more rigorous tools, such as Focus Group Discussions and Semi-Structured Interviews (see [E](#) and [G](#)). Elements to begin brainstorming include:

- Policy challenge and intended outcome;
- Target population and relevant stakeholders;
- Context, including documentation of relevant policies and programs;
- Prioritized behaviors; and
- Barriers and reasons for policy challenge.

The analytical activities that follow will lead the team to dive deeper into the elements discussed in this early-stage brainstorm.



SPECIFY THE POLICY CHALLENGE AND OUTCOME OF INTEREST

Projects and programs usually aim to improve the welfare of a specific population group by addressing a policy challenge. The challenge and outcome may be implied in the project development objective or provided by the government counterpart for the project.

Given the aim of this toolkit to identify obstacles to women's engagement in REDD+, forestry management, and NRM programs, there may be two main policy challenges of interest:

- **low uptake, adherence, or enrollment in REDD+ and broader forest management programs, and**
- **poor follow-through, active participation, and representation in program activities and processes even after enrollment.**



WRITE DOWN ASSUMPTIONS ABOUT WHY THE CHALLENGE OCCURS

Initially, keep this set as broad and flexible as possible by considering common cognitive biases, such as limited attention, social norms, and sense of agency (see [Annex 1](#)). Also lay out structural aspects of the challenge, such as policy and regulatory barriers or constraints in the communications ecosystem.



IDENTIFY BEHAVIORS OF INTEREST

Define in a detailed manner the actions that must be taken to attain the desired outcomes. Behaviors should be:

Specific:

Outline specific elements and features, such as the **what, when,** and **where**, but not the outcome of interest or the policy challenge:

- Attend the community meeting (**what**) on Monday at 7am (**when**) at the town hall (**where**)
- Prepare a question (**what**) ahead of the meeting (**when and where**) to ask to the community leader (**what**).

Assignable:

Identify the **who**—the actor or target population engaging in the behavior of interest.

- **Who** is the population the program is intended to serve or target audience (e.g., gender, age, literacy level, etc.)?
- **Who** are other relevant actors and stakeholders improving or facilitating the challenge? For example, who is involved in facilitating women's effective engagement in a productive program: family and community members, local leaders, program staff, policy makers, etc?

Observable:

An action should be detectable and measurable. Stating the behavior in a detailed manner allows for the definition of an explicit criterion for observing the behavior.

- Submit required paperwork for on-time registration.
- Bring registration form and copy of ID card to program office on specific day and time.

What is the behavior of interest?

- What are the relevant actors doing or not doing right now to contribute to the challenge?
- What are the desired behaviors of those actors to improve the challenge? Which one is the most important?
- When and where are these actors supposed to do these behaviors?



EXPLORE THE CONTEXT

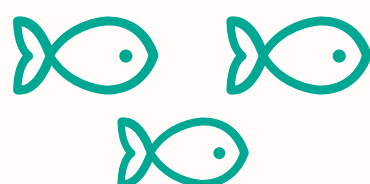
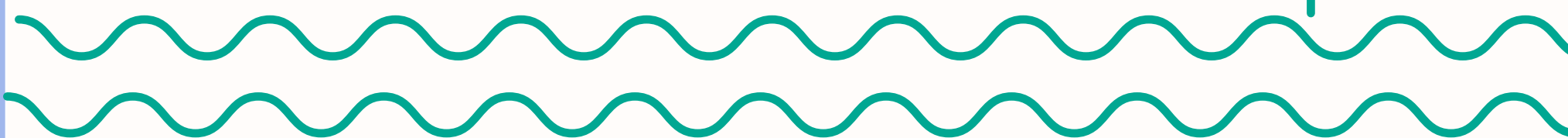
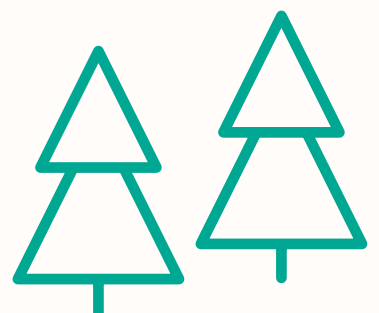
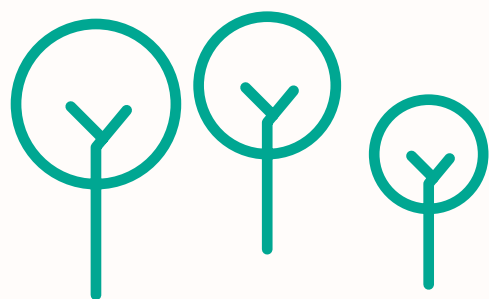
Analyze available statistical information and literature on the incidence and depth of the policy challenge in the study's specific context. The amount and rigor of available data will vary depending on your context and problem of interest. Additionally, look for patterns in indicators and measures of the desired outcome by analyzing how they have performed over time and if that performance is associated with specific locations, population groups, or groups' socio-demographic characteristics. This exercise provides initial inputs to identify population groups of interest for the diagnostics.



RESEARCH ADDITIONAL EVIDENCE

From interventions implemented in different contexts but around the relevant domain.

Identify assumptions, causes of the problem, and potential entry points and solutions.





Tools

A

LITERATURE REVIEW

As an analytical tool, the review will establish what is already known about the target behavior, its context, and its barriers by compiling, organizing, and analyzing existing scientific literature (e.g., journal articles, scientific books) and institutional documentation (e.g., program manuals, operational reports, concept notes, and policy briefs). The implementation team can choose for the scope of the review to be broad or narrow; for example, it can focus on barriers to the behavior of interest only or use scientific literature exclusively.

How to implement

1. Search for literature in physical and online databases;
2. Extract data using the summary table (**see Table 3 below**);
3. Comment on patterns, consistencies, and inconsistencies across studies, as well as gaps in the literature (optional)

Lessons from the field

In Nepal, the literature and documentation review furthered understanding of how the complex caste stratification system affects the use and management of natural resources, and supported the team to design fieldwork exercises to represent the experiences of the most vulnerable castes.

B

STAKEHOLDER MAP

This tool produces an organized visual depiction of all individuals and institutions that influence the diagnostic, behavior of interest, and target population. It focuses exclusively on describing stakeholder characteristics.

How to implement

1. Conduct a desk-based search of available information, which can be based on the findings of the literature review;
2. Host a brainstorming session with experts to identify additional stakeholders; and
3. Summarize information from each stakeholder using the designed template (**see Table 4 below**).

Lessons from the field

In Mozambique, the stakeholder map identified R-GCNR Community-Based Natural Resource Management Network of Mozambique) as a key partner for conducting the behavioral diagnostic. R-GCNR was present in rural areas targeted by World Bank programs, which facilitated the identification and recruitment of participants for the focus group discussions and interviews.



POLICY MAP

The policy map visually depicts the regulatory framework around the policy challenge, including legislation, policies, regulations, and programs or projects currently addressing or constraining it. Though similar to and based on inputs from the literature and documentation review, a policy map follows a quicker, more flexible process and has a narrower scope.

How to implement

1. Design a template for the policy map;
2. Conduct a desk-based search of available information;
3. Host a mapping workshop or brainstorming session to identify additional policies or sources of information; or
4. Summarize information from each policy using the designed template (**see Table 5 below**).

Lessons from the field

In Nepal, a policy map was developed to identify all the programs that (i) had activities similar to those supported by the Forest Investment Program and (ii) targeted indigenous people and local communities in Province 2 and Lumbini Province. Information from the policy map was instrumental to interpret the diagnostic's findings by comparing the programs' goals and intended activities with participants' experiences and perceptions.

D

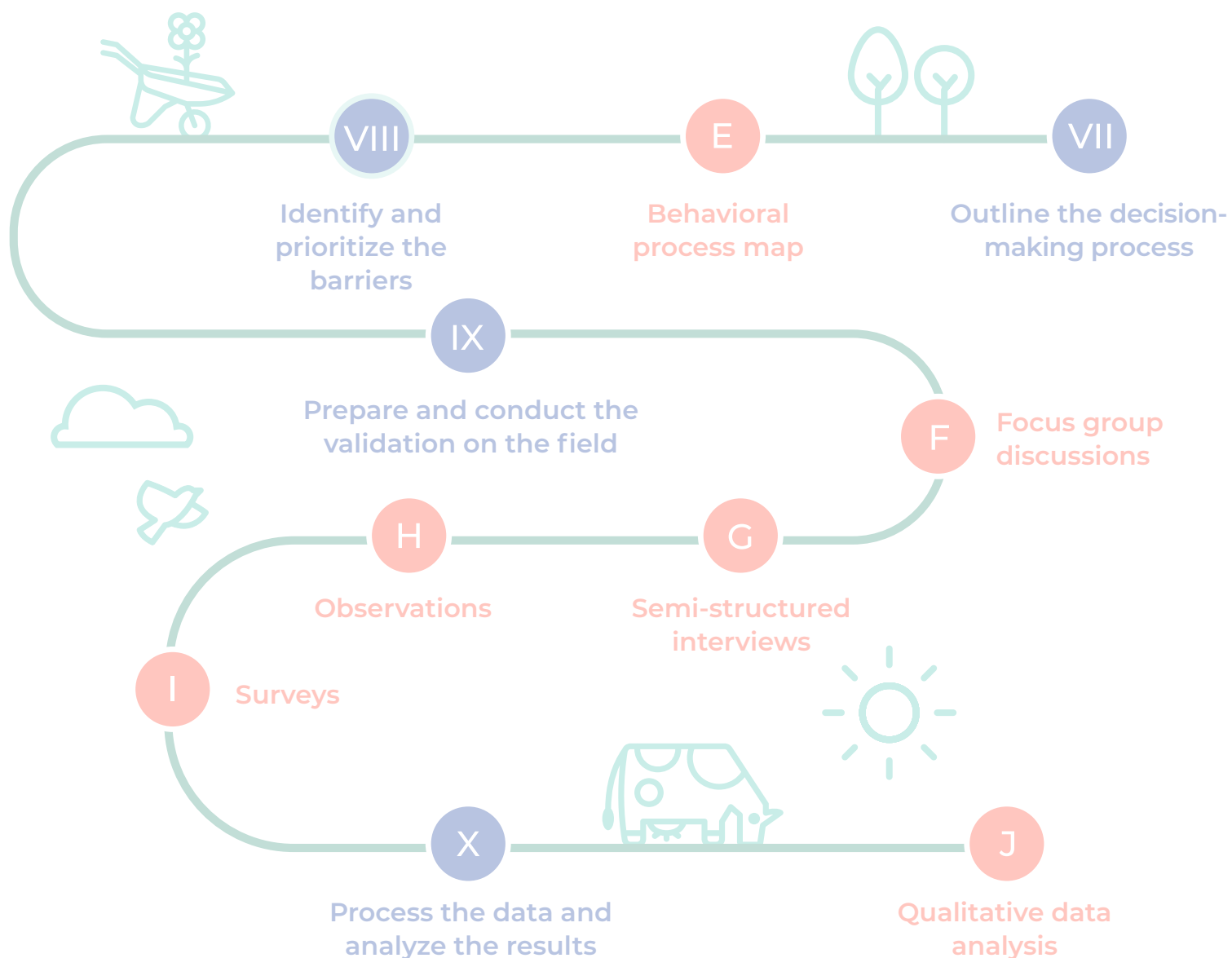
DATA REVIEW AND ANALYSIS

A tool for exploring, describing, and testing hypotheses using existing or new quantifiable data, data analysis can be used throughout the diagnostic to describe the behavior of interest (e.g., how many women engage in the behavior), explore factors associated with it (e.g., the socio-demographic characteristics of women who do or don't engage in the behavior), and prepare for data collection (e.g., which region or period of the year has the highest or lowest proportion of women engaging in the behavior).

How to implement

1. Identify and obtain relevant datasets on the policy challenge and/or the target population;
2. Describe variables or indicators of interest using graphs or tables with descriptive statistics (**see Figure 2 and Table 6 below**); and
3. Explore associations between variables.

C. Diagnosis and Exploration of Behavioral Barriers



The first objective of this space is to test and validate in the field with the actual target population and stakeholders the insights drawn from the initial desk review to determine barriers to the behavior of interest. Additionally, the exploratory work in the field will allow for identifying of an initial initial set of entry points for solutions.



Activities

VII

OUTLINE EACH STEP OF THE DECISION-MAKING PROCESS

This is the process that people follow to attain the desired behavior.

- Take the perspective of the specific actor.
- Use information gathered during the Definition and Targeting stage.
- Include all decisions, actions, requirements, and interactions needed to attain the desired outcome.
- Draw the process to visualize it, specifying the order and relations between steps, and
- Follow the actual flow of steps rather than the steps someone would follow in an ideal situation.

VIII

IDENTIFY AND PRIORITIZE THE BARRIERS PREVIOUSLY IDENTIFIED AND DETECT NEW ONES

Table Z provides guiding questions to identify behavioral and structural barriers women could potentially face to effectively engage in forest activities. Also, [Annex 1](#) depicts different categories and subcategories of barriers and how they are interrelated.

- Map all obstacles along the decision-making process faced by the target population. Focus on bottlenecks (the step, decision, or action where many people drop out of the process) and frictions or stress points (where logistical difficulties, such as information processing or requirements, are common).
- Differentiate structural barriers (costs, transportation, limited access to services) from behavioral ones (attitudes, beliefs, emotions, social influences).
- Narrow down and prioritize the barriers. This selection tends to be subjective but can be informed by the relevance of the barrier (Is this a barrier for most women? Which group of women is mostly affected by it?) and feasibility (Is it logistically and viable, resource-wise, to change it?).

BOX 3. GUIDING QUESTIONS FOR BARRIER DIAGNOSIS

The table below provides a set of questions teams may use to identify barriers preventing rural women from actively participating in programs and forest productive activities. These questions are a starting point for preparing and designing the tools for primary research during the [Diagnosis and Exploration stage](#) (tools E through I). Your team may use these tools to collect new information and complement secondary research (tools A through D). Secondary research draw from existing knowledge to provide contextual information and initial answers to most of the questions below.

The questions are grouped by barrier and category²⁵, following the Behavioral Framework presented in [Annex 1](#). The table also suggests the audience to apply the tools to and ask the questions to, or a venue or activity to visit and gain insights. Men and women should be asked the questions separately to assess gender differences in the prevalence of the barriers and to inquire about the reasons for those differences. Some questions can be asked directly to the target population in Focus Group Discussions (F.), Interviews (G.), or Surveys (I.), but also be answered through direct Observation (H.). This allows comparing between the perceptions and sentiments of the target population and the perspective of a third party (in this case, the research team).

Behavioral Barrier Faced by Target Population	Category	Suggested Tools	Audience or Venue	Sample Questions
Lack of awareness or attention to participate and of options available Indecision between options available Lack of knowledge on how to participate Unclear or uninteresting program materials	Information Processing & Decision Routines	B. Stakeholder Map E. Behavioral Process Map F. Focus Group Discussion G. Interview H. Observation I. Survey	Target Population Community Leaders Program Staff Community Meetings Service Delivery Activities and Venues	<i>Is the population aware of the program and its features?</i> <i>How and from whom does the population find out about the activities and events in their community? What types of communications are used (digital, physical, other formats)?</i> <i>When is this information received?</i> <i>Does the population pay attention to, understand, and remember the information in those communications?</i> <i>Which ways of receiving information does the population prefer or use the most?</i>
Lack of knowledge of how participation will help (Perception of) Lacking the resources or time needed to participate	Utility Assessment	E. Behavioral Process Map F. Focus Group Discussion G. Interview H. Observation I. Survey	Target Population Community Leaders Program Staff Service Delivery Activities and Venues	<i>What does the population know about the program's advantages or benefits? And of not participating?</i> <i>What are the requirements or costs of participating? For example, time, funds, paperwork, or engaging with contacts.</i> <i>Which of these requirements are the hardest to fulfill for the population?</i>
Limited cognitive bandwidth to make choices Emotions that prevent participation	Subjective Decision Heuristics	E. Behavioral Process Map F. Focus Group Discussion G. Interview H. Observation	Target Population Program Staff Service Delivery Activities and Venues	<i>Is the program a priority for the population? Do they pay attention and allocate time to the activities? Are there competing priorities?</i> <i>How does the population feel during the application or registration process? For example, relaxed or anxious, confident or insecure, excited or indifferent.</i>

Behavioral Barrier Faced by Target Population	Category	Suggested Tools	Audience or Venue	Sample Questions
Participating is not the norm Others discourage participating Belief that participating is not relevant for one	Social Influence Stereotypes & Discrimination	B. Stakeholder map F. Focus Group Discussion G. Interview I. Survey	Target Population Community Leaders Program Staff	<i>How many women in the community (or how common is to) participate in the program or productive activities?</i> <i>What do other people in the community think about women who participate in these activities? Are these women accepted and respected?</i> <i>Which stakeholders in the community influence the population in their decision to participate?</i>
	Social Identity	B. Stakeholder map F. Focus Group Discussion G. Interview	Target Population Community Leaders	<i>Who are the people most respected, admired, or trusted in the community? Do they participate in the program activities?</i> <i>Is participation in the program or productive activities aligned with how the population sees itself?</i>
	Normative Expectations	F. Focus Group Discussion G. Interview H. Observation	Target Population Community Leaders Community Meeting Program Staff Service Delivery Activities and Venues	<i>How is the experience or interaction of population with the leaders in the community or staff who work with the program?</i> <i>Do the leaders in the community or staff treat the population with respect or not? With patience or not? Are women treated differently?</i>
	Other-Relating Beliefs	F. Focus Group Discussion G. Interview H. Observation I. Survey	Target Population Community Leaders	<i>In the community, what are the main tasks and responsibilities (at home, in the community, at the workplace) that men and women have separately?</i>

Behavioral Barrier Faced by Target Population	Category	Suggested Tools	Audience or Venue	Sample Questions
Lack of plans (to participate) Perception of lack of capacity to participate	Self-beliefs	F. Focus Group Discussion G. Interview	Target Population	<i>If there were no limitations, what would the population like to be doing or working on in 5 years (in the future)?</i> <i>Does the population think it can achieve that aspiration? Does it feel it has the needed skills or resources?</i> <i>Does the population feel it has the needed skills or capacity to participate in the program?</i>
Lack of skills to participate	Sense of Agency	F. Focus Group Discussion G. Interview I. Survey	Target Population	<i>How does the family decide who participates in the program or productive activities? Who makes the final decision?</i>
The physical or policy environment does not allow participation	Structural Barriers	A. Literature and Documentation review B. Policy Map D. Data Analysis F. Focus Group Discussion G. Interview I. Survey	Target Population Community Leaders Program Staff Experts and policymakers	<i>Does the population face economic or financial limitations (to participate)?</i> <i>Can the population move around easily to attend program activities? Are there any physical or resource restrictions or risks, for example, weather, security, or infrastructure constraints?</i> <i>Does the population have the needed resources (financial, infrastructure) to do so, for example access to means of transportation?</i>
Support required to participate Parts of the process require different levels of effort	Program Access and Decision Barriers	A. Literature and Documentation review E. Behavioral Process Map F. Focus Group Discussion G. Interview H. Observation	Target Population Program Staff Service Delivery Activities and Venues	<i>What are all the steps needed to participate in or benefit from the program or productive activity?</i> <i>Which of the steps are the most difficult for the population to conduct or complete?</i> <i>Is the population aware of and understand the steps? Will they be physically and mentally able to follow them?</i> <i>Are there deadlines or unforeseen requirements (extra payments, paperwork, wait time)?</i> <i>Is there support or help during the process? From whom, when, and how?</i> <i>Where is the space or venue for the program (or productive) activities located? Is it visible, accessible, and well-equipped for the needs of the population?</i>



E

BEHAVIORAL PROCESS MAP

Also known as user journey or process flow, a behavioral process map visually represents every step in the decision-making process leading to the behavior of interest and potential barriers, considering the perspective of the target population. It can describe an individual or group process, and uses principles of human-centered design²⁶ by focusing on the end users and describing their experiences step-by-step.

How to implement

1. Define the target behavior or end point as the outcome of the process (**1 on Figure 3 below**);
2. Define a start point of the decision-making process from the perspective of the target population (**2 on Figure 3 below**);
3. Identify decisions and actions involved in attaining the behavior (**2 and 3 on Figure 3 below**) and outline the full decision-making process as a linear and sequential one that reaches the target behavior;
4. Map the identified barriers on each step of the process (**4 on Figure 3 below**); and

Add sources, notes, links, and additional information on a separate page, amending as new information becomes available (e.g., fieldwork findings).

Lessons from the field

In Mexico, the results of the behavioral diagnostics were summarized and presented in a formatted version of a behavioral process map (**see Figure 4 below**). The decision-making process women followed to effectively benefit from forest landscape programs was depicted, with five main decisions and actions, as well as the respective barriers in each of those steps.



Activities

IX

PREPARE AND CONDUCT THE VALIDATION IN THE FIELD

The conceptual and logistics requirements of conducting fieldwork are summarized below:

- Delimit the scope of the fieldwork by identifying key respondents among the target population, such as an representative woman, relatives or leaders who may influence women's decision-making, people who attained the desired behavior ("positive deviants") or did not ("negative deviants"), and people with first-hand knowledge of the community or interactions with the target population.

- Prepare a fieldwork guide or research instruments, laying out the main objective of the data-collection exercise, identifying critical information to obtain and hypotheses to test, and preparing questions and instruments best suited to the type of information you're seeking. This activity can be outsourced.

- Set up and supervise operational and logistics needs, such as a schedule of activities, a profile of the team and translation or interpretation services, training of fieldwork team, printed materials and stationery, and locations to visit. This activity can be outsourced.

- The study must include written or recorded informed consent; refer to the World Bank Directive on Personal Data Privacy for guidelines.²⁷ Permits and additional clearances from relevant authorities might be required as well.

BOX 4. **PROGRAM DESIGNERS AS KEY INFORMANTS AND TARGET POPULATION**

Program designers are important sources of information as they have vast knowledge and expertise related to the enablers and barriers for women's participation in forestry and agricultural programs. However, in a behavioral diagnosis, program designers should also be considered part of the target population, as their behaviors and beliefs might hinder women's participation.

For example, many program designers and other professionals often assume that members of households have shared interests and that any help provided to the head of the household (often a male) will benefit all members. This assumption might not hold true for households with conflict or those in which men monopolize assets, goods, and leisure time.²⁸ Another example that illustrates biases of program designers is the implementation of gender quotas without considering the quality of women's contributions.²⁹



Tools

F

FOCUS GROUP DISCUSSION (FGD)

An FGD consists of guided conversation among a small, homogeneous group of people from the target population (e.g., women who participate in forest activities) and key informants (e.g., community leaders) to gain an in-depth understanding of the behaviors.

How to implement

1. Design a discussion guide that includes general questions, probes, and follow-up questions;
2. Prepare for implementation by training the field team, pilot-testing questions, obtaining ethical clearance, identifying and recruiting participants, and selecting and organizing the site (these activities can be outsourced);
3. Conduct and supervise the data collection: collect demographic information from participants and guide the discussion, taking notes (see [Table 7](#)); next, discuss main topics and interpretations with the field team (see [Table 8](#)); and, finally, organize and file the data collection materials (these activities can be outsourced); and
4. Prepare a coding scheme and use it to organize and summarize your findings (see [J. Qualitative data analysis](#)).



Lessons from the field

In Mozambique and Nepal, FGDs were conducted among two groups: female beneficiaries and non-beneficiaries of forestry and agricultural programs. Discussion guides collected data on social norms, gender norms, and mental models, topics that benefited from the dynamic nature of the exercise (e.g., women would agree or disagree with one another). The exercises helped to identify shared beliefs about women's role in the community and the persistence of gender inequalities inside and outside the household.



SEMI-STRUCTURED INTERVIEW (SSI)

This tool is designed to elicit in-depth insights into the perception of a behavior from a single member of the target population or someone who interacts with this population. It follows a predetermined conversational format but allows for spontaneous questions. The semi-structured interview can also be used as a tool to define and target the problem when interacting systematically with area experts and counterparts.

How to implement

1. Design an interview guide that includes general questions, probes, and follow-up questions;
2. Prepare the implementation: train the field team, pilot-test the questions, obtain ethical clearance to conduct the exercise, identify and recruit participants, select and organize the site (activities that can be outsourced);
3. Conduct and supervise the data collection: collect demographic information from participants and interview them, taking notes (see [Table 7](#)); then organize and file all the data collection materials (these activities can be outsourced);
4. Prepare a coding scheme and use it to organize and summarize your findings (see [J. Qualitative Data Analysis](#).)



Lessons from the field

Semi-Structured Interviews with female and male beneficiaries of forestry and agricultural programs were conducted to collect detailed descriptions of experiences applying to and benefitting from these programs. Additional semi-structured interviews were conducted among community leaders and program staff regarding the barriers they believe women face to participating in programs.



OBSERVATIONS

This ethnographic method studies the behavior in the setting where it would normally occur without relying on the participant's verbal responses and retrospective memory, thereby allowing deeper insight into the population's experiences with an activity, procedure, or service.

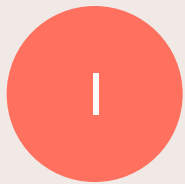
How to implement

1. Design an observational guide with questions regarding the details (requirements, steps, durations, number of interactions, paperwork), the location and environment (remoteness, comfort of participants, visual aids, availability of needed resources and materials), and individuals interacting with the target population (type of interaction, language used, treatment given);
2. Prepare the implementation: train the field team, pilot-test the questions, identify observation sites, and obtain access permits, authorizations, and ethical clearance to conduct the exercise (these activities can be outsourced);
3. Conduct and supervise the observation: respond to the questions in the observational guide and take notes, then organize and file data-collection materials (these activities can be outsourced); and
4. Prepare a coding scheme and use it to organize and summarize your findings; see [J. Qualitative Data Analysis](#) below.



Lessons from the field

Non-Intrusive Observations were conducted during community meetings and program activities that included both male and females. However, given the COVID-19 pandemic, many of these activities were conducted in a nontraditional way (e.g., with less participants, outside, with physical distance, and wearing face masks). Observation guides ask direct questions to prompt a team member to carefully describe physical spaces, social interactions, and perceptions of each woman attending the meeting or activity.



SURVEYS

This tool is used to measure and track quantifiable information about the behavior of interest using a structured set of questions or statements. It can be representative or generalizable to the full target population or applied on a smaller group to systematically gauge anecdotal evidence.

How to implement

1. Design questionnaire and choose the collection method and type of administration (e.g., online, via phone, or face-to-face; by an enumerator or self-administered, based on the education level in the population and complexity of the questions);
2. Prepare the implementation: train the field team, pilot-test the questions, identify and recruit participants, obtain ethical clearance (these activities can be outsourced);
3. Conduct and supervise the data collection: collect information from participants and record and organize responses on a dataset (these activities can be outsourced); and
4. Conduct data analysis (see [D. Data Review and Analysis](#) and [step X](#)).



Activities

X

PROCESS THE DATA AND ANALYZE THE RESULTS

- Analyze the data by looking for behavioral barriers and psychological biases. Tag and code insights by the type of barrier and contrast the results with your initial assumptions.

- Summarize the main findings, compile the barriers that frequently emerged, and revise the decision-making process.

- Check for inconsistencies and common insights from the initial review, fieldwork, and other studies. Having multiple team members working on the analysis may reduce the risk of researcher bias and increase the fidelity of the results.

- Ask qualified experts to review and validate your findings, and make adjustments and reinterpretations as needed. Experts can include university professors or experienced researchers, technical staff from government units, people who are from or have lived in the geography of interest, among others.



Tools

J

QUALITATIVE DATA ANALYSIS

Use a matrix to display and analyze the information collected to identify patterns and insights. With this technique, topics (or codes) are presented as rows and cases (or sources of data) as columns, providing a structure into which the team can systematically simplify the data and analyze it by source and code.

How to implement

1. Define a coding table based on your initial assumptions and data-collection instruments: topics (codes) explored during fieldwork as rows and sources of data from which the evidence comes as columns;
2. Become familiar with fieldwork outcomes (e.g., transcripts, notes, recordings, photographs) and make subsequent revisions to the coding matrix;
3. Chart data within the matrix (cells will contain summarized or excerpts of data); **see Table 9 below**;
4. Interpret the findings from the coding matrix (i.e., search for and describe patterns);

Tool Guides



a.

Literature and Documentation Review

This review is one of the “Define and Target” tools used to define the behavior of interest, describe its context, explore barriers to and motivations for the behavior, and prepare for any data-collection activity that will take place as part of the diagnostic.

As an analytical tool, the review will establish what is already known about the target behavior, its context, and its barriers by compiling, organizing, and analyzing existing scientific literature and institutional documentation. The review achieves this by compiling, organizing, and analyzing existing evidence and documentation on the topic of interest.

Stage and Step

- Define and Target/Desk Review

Strengths

- Provides the “state of knowledge” on the topic by establishing what is already known about a behavior, its barriers, and motivations; how it has been approached in the past; what should be studied further; and the context in which the behavior occurs (e.g., population, region).
- Informs the design and implementation of the “Explore and Diagnose” tools (e.g., information about relevant questions to ask and specific populations to recruit).
- Identifies projects and programs associated with the target behavior, which can inform the development of the policy map.
- Indirectly identifies experts on a particular topic (e.g., authors, reviewers, and donors), which can assist in the development of the stakeholder map.
- Logistically, a literature and documentation review is cost-effective, as it is less expensive than collecting data.

Limitations and Warnings

- Challenges arise when conducting a literature review for a newly studied behavior or behavior affecting an understudied population for which existing information is limited or nonexistent. In this case, inferences might be made from similar behaviors or populations with similar characteristics.
- Due to publication bias, studies and reports that did not find the expected results are less likely to be published and, therefore, less likely to be part of the literature and documentation review.
- Because reports and institutional documentation are not peer-reviewed documents, the reviewer should assess the quality and usability of the information. Furthermore, obtaining and accessing institutional documentation can be bureaucratic and time-consuming.
- This tool may be time sensitive—that is, evidence collected years ago might no longer be an accurate representation of the current situation.

1. REQUIREMENTS:

Data

- Data come from publications or institutional documentation, including scientific peer-reviewed articles, research reports, analytical reports, policy documents, country and sector strategy documents, project reports, and administrative guidelines.
- Required sample: There is no minimum number of publications or documentation required. Literature reviews can be as comprehensive or narrow as needed and will vary based on the availability of information.

Team

- **Minimum required team:** reviewer.
- **Reviewer:** In a literature and documentation review, the reviewer searches for, skims, and extracts information from each publication and/or document. The reviewer should be able to select relevant and important information, remember it, be diligent, and be detail oriented.
- **Additional team:** Additional reviewers can strengthen the quality of the exercise by assuring that all relevant documents have been included and that the information extracted from each document is accurate.

Level of Effort

- The level of effort required to plan, prepare, implement, and process the data in a literature and documentation review will depend on contextual and design factors. Contextual factors include the availability, accessibility, and clarity of the existing evidence. Design factors include the depth and breadth of the review (e.g., studying the target behavior only versus also analyzing similar behaviors) and the level of detail selected to synthesize the information (i.e., how much information will be extracted from each document).
- A literature and documentation review for a behavioral diagnostic could take at least 1-2 weeks.

Software

- Specialized software is not needed for a robust literature and documentation review, but they may be useful at different stages of the analysis.
- Optional software for sorting, organizing, and citing evidence include Mendeley, Zotero, and Endnote.
- Optional software for synthesizing and organizing the information extracted from each document include Microsoft Excel and NVivo.

Cost Categories

- **Labor:** Staffing of team members (i.e., wages and benefits).
- **Logistics:** Travel arrangements for team members to compile physical documentation from regional institutions and libraries (when digital copies are not available). Access to reliable internet.
- **Equipment and materials:** Computer and software license (optional).
- **Miscellaneous:** Translation services (if necessary). Subscriptions to online journals and digital repositories (if necessary).

2. IMPLEMENTATION STEPS:

Plan and Prepare

- **Develop a literature review protocol.** Outline all the steps the reviewer will follow to identify, access, and synthesize relevant information. This will include listing and describing potential information sources (e.g., webpages, institutions, and stakeholders), online search terms, and the criteria used to prioritize documents. See [Template 1](#).
- **Design an extraction/summary table.** An extraction or summary table is used to organize relevant information from each source, which can be changed throughout the implementation process. See [Template 1](#).
- **Train the team (optional).** Discuss with all team members the protocol that will be followed in the literature review and assure that all team members are familiar with the table format that will be used to summarize the information.
- **Search for relevant literature within local institutions.** Consult informally with identified stakeholders for guidance and access to institutional documentation. Technical personnel in central or local government may be able to provide published or unpublished reports, or information about research or projects in the region of interest. The resource centers and libraries of government agencies can also contain a wealth of information.
- **Search for relevant literature online.** Conduct an internet search for information about the behavior of interest and its context, using the literature review protocol as a guideline. The search should include peer-reviewed journal articles, academic documents (e.g., graduate-level theses), and background information and reports produced by international organizations, government agencies, and NGOs. Useful sources include:
 - Scientific and technical literature, such as reviewed journal academic documents, reviews, reports, specialized books, and any research product in the field of interest. Multidisciplinary digital libraries, academic databases, and search engines are: [Google Scholar](#), [JSTOR](#), [ScienceDirect](#), [SSRN](#).
 - Behavioral sciences and behavioral economics literature refers to research and academic literature specific for behavioral sciences. Specialized search engines with free access include: [PubPsych](#), [PubMed](#), [RePEc](#). Additionally, several specialized organizations have their own research available for open access: [B-HUB](#), [Behavioral Economics](#), [Behavioral Scientist](#), [BIT](#), [ideas42](#), [J-PAL](#)
- **Institutional, regulation, and policy literature.** This includes operational reports, laws and regulations, and from governmental and specialized institutions, both local and international.

Implement

- Screen and evaluate the quality of the collected documentation. Prioritize and/or exclude documents based on topic relevance, methodological quality, and the generalizability of results. First, assess topic relevance by prioritizing all documents directly related to the target behavior and its context. Second, prioritize publications that are recent, peer-reviewed, and conducted with representative population samples. Note, however, that while representative samples usually lead to higher-quality data, small-scale qualitative or quantitative studies can also provide rich insights.
- Extract data: Synthesize the relevant information from each study/document into a succinct overview and record it in the appropriate column of the summary table. Include comments, questions, and concerns in a separate column. The literature review should not only describe and summarize findings, but also identify potential issues for further study during the fieldwork stage of the behavioral diagnostic.

Process the data

- Comment on similarities, differences, and areas of consensus and disagreement between documents containing similar information.
- Comment on the availability of information and existing gaps.

b.

Stakeholder Map

The Stakeholder map is a “Define and Target” tool used to clearly, concisely, and visually identify and organize information about the stakeholders who influence the behavior of interest. Stakeholder mapping follows a systematic process to produce a snapshot or visual depiction of all individuals and institutions, governmental and from civil society, that are influential to the target behavior and population. Though similar to a literature and documentation review, the stakeholder map focuses exclusively on describing stakeholder characteristics and often offers a quicker, more flexible summary of information.

Stage and Step

- Define and Target/ Desk Review

Strenghts

- Identifies whom to involve at different stages of the diagnostic (e.g., participants, collaborators, and influential individuals/organizations).
- Identifies stakeholders with a deep understanding of the behavior, the target population, and/or the region of interest (i.e., formal and informal experts).
- Describes conflicts, collusions, and other informal relationships among stakeholders that influence the behavior.
- Logistically, creating a stakeholder map is a quick process that produces a user-friendly summary of relevant stakeholders for the diagnostic.

Limitations/ Cautions

- Available and valid information about stakeholders influencing the behavior of interest may be limited.
- Because some stakeholders may have different roles on paper than in practice, the accuracy of the information needs to be verified.
- Such information is time sensitive; previously identified stakeholders might no longer be influencing the behavior.
- Identifying key stakeholders can be time consuming if the team has a poor understanding of the behavior and its institutional context.
- Lack of online information about different stakeholders can pose a problem.

1. REQUIREMENTS:

Information

- Information about stakeholders comes from online searches, the literature review, team brainstorming sessions, and informal meetings with partners and local institutions.

Team

- **Minimum required team:** reviewer.
- **Reviewer:** In a mapping exercise, the reviewer holds informal meetings, searches for and summarizes online and physical documentation, and organizes all information as a diagram or table. The reviewer should have accurate recording skills, the ability to select relevant and important information, the ability to work effectively with local and national stakeholders, a good memory, diligence, and attention to detail.

Level of effort

- The level of effort required to plan, prepare, implement, and process the data in a stakeholder map will depend on contextual and design factors. Contextual factors include the availability, accessibility, and clarity of information about relevant stakeholders. If published information is not available, informal meetings need to be held with different stakeholders, which can be time-consuming. Design factors include the depth and breadth of the mapping exercise, including the types of stakeholders that will be included in the exercise and the level of detail used to describe information.
- Developing a stakeholder map for a behavioral diagnostic could take 1-2 weeks.

Limitations/ Cautions

- Specialized software is not necessary to develop a stakeholder map.
- Optional software for organizing and recording information includes Microsoft Word and Microsoft Excel.

Cost categories

- **Labor:** Staffing of team members (i.e., wages and benefits).
- **Logistics:** Travel arrangements for team members to compile documentation and hold informal meeting. Access to reliable internet.
- **Equipment and materials:** Computer, software license (optional), notebooks, and pens.
- **Miscellaneous:** Translation services (if relevant). Subscriptions to online journals and digital repositories (if necessary).

2. IMPLEMENTATION STEPS:

Plan and prepare

- **Decide the strategy for the mapping exercise.** A stakeholder map can be developed by hosting workshops or brainstorm sessions (i.e., get people in one room for a few hours of participatory mapping), by conducting interviews with key informants, and/or by conducting a desk review. A strategy can be chosen based on the availability of online and written information, time constraints, and the possibility of holding in-person or phone meetings with stakeholders.
- **Develop a template of the stakeholder map.** Design a table with all the information categories you would like to collect for each stakeholder: stakeholder name, type, contact person, contact information, responsibility/role in the diagnostic, and (optional) level of influence, level of interest, and relationship between stakeholders. Examples of stakeholders include the target population and influential actors in their communities, government institution, civil society institutions and NGOs, topic-specific organizations, international institutions, and the private sector when relevant. See [Template 2](#).
- **Host a mapping workshop or brainstorming session.** Ideally, the stakeholder map should be completed in a team setting, with different team members suggesting information to include in the map. This session should not last more than half a day.
- **Conduct informal interviews with key informants.** Identify relevant stakeholders by holding informal consultations or interviews with experts and local leaders.
- **Conduct a desk-based search.** Search for institutions and or individual stakeholders that influence the behavior of interest. Search for needed information about already identified stakeholders (e.g., contact information).

Implement

- **Summarize information from each stakeholder.** In the stakeholder map template, include information about each stakeholder's characteristics, role and the nature of their possible involvement with the diagnostic. Information about their level of influence, level of interest, and how the stakeholders are connected to each other is optional. Notes can also indicate the interests each stakeholder represents, the amount of power they possess, and whether they represent inhibiting or supporting interests.
- Note missing, unclear, or incomplete information.

Process the Data

- Socialize and review the created table or map to refine and identify missing information.

C.

Policy Map

As one of the “Define and Target” tools used to describe the context of the target behavior and its barriers and motivations, a policy map is developed through a systematic process to produce a snapshot or visual depiction of the regulatory framework around the policy challenge, including legislation, policies, regulations, and programs or projects to address it. Though similar to and based on inputs from the literature and documentation reviews, a policy map follows a process that is quicker, more flexible, and has narrower scope.

Space and Step

- Define and Target/ Desk Review

Strengths

- Identifies and describes the current status of laws, policies, regulations, and programs associated with the behavior of interest (i.e., what is on the books, what is currently being implemented, and what has political support).
- Explores and identifies the institutional and policy dimensions of barriers to and motivations for the behavior.
- Logistically, developing a policy map is a quick process that produces a user-friendly outcome.

Limitations/ Cautions

- A policy map depends on the availability and validity of existing information about laws, policies, and programs associated with the behavior.
- A policy map is a time-sensitive tool; regulations, policies, and laws can be enacted at one point of time, but their implementation can take place months or even years later.
- Obtaining, accessing, and interpreting information from laws, policies, and regulations can be time-consuming.

1. REQUIREMENTS:

Data

- Data come from documents describing laws, policies, regulations, national plans, sectoral strategy documents, national development strategies, and programs or projects.

Team

- **Minimum required team:** reviewer.
- **Reviewer:** Holds informal meetings, searches for, and summarizes online and physical documentation, and organizes all information as a diagram or table. The reviewer must have accurate recording skills; the ability to select relevant and important information; good memory, diligence, and attention to detail; knowledge of basic policy documents and how to access them; and the ability to work effectively with local and national stakeholders

Level of effort

- The level of effort required to plan, prepare, implement, and process the data in a policy map will depend on contextual and design factors. Contextual factors include the availability, accessibility, and clarity of the information. Design factors include the depth and breadth of the mapping exercise, including the types of policies that will be included in the exercise and the level of detail used to describe the information.
- Developing a policy map for a behavioral diagnostic could take 1-2 weeks.

Software

- Specialized software is not necessary to develop a policy map.
- Optional software for organizing and recoding the information includes Microsoft Excel.

Cost categories

- **Labor:** Staffing of team members (i.e., wages and benefits).
- **Logistics:** Travel arrangements for team members to compile documentation and hold informal meetings. Access to reliable internet.
- **Equipment and materials:** Computer, software license (optional), notebook/paper, and pencils.
- **Miscellaneous:** Translation services (if relevant) and subscriptions to online journals and digital repositories (to access impact evaluations of policies and programs).

2. IMPLEMENTATION STEPS:

Plan and prepare

- Decide the strategy to use for the mapping exercise. Mapping exercises can be conducted at one's desk (online searches, revising documentation), by using a snowball strategy (ask stakeholders about relevant laws, policies, and programs), and/or by conducting mapping workshops (get people in one room for a few hours of participatory mapping).
- Develop a template of the policy map. Design a template or table to organize all the information categories you would like to collect for each policy. Include a basic description of the policy, the objective, the scope and coverage over the target population, the geographical coverage, the institutions involved in its implementation, the time frame for implementation, and the policy's results or outcomes. See [Template 3](#).
- Conduct informal interviews with key informants. Hold informal consultations with policymakers and officials to gather information about policy and programs influencing the behavior of interest.
- Conduct a desk-review search. Search for laws, policies, regulations, programs, and projects associated with the behavior of interest.

Implement

- Summarize the information from each document using the policy map template. Each row of the table can contain information from multiple documents.
- Note weaknesses and strengths in the policies described in your table, whether they worked as intended, whether they prioritized a specific segment of the population, and how they enforced behavior.
- Note missing, unclear, or incomplete information.

Process the data

- Socialize and review the created table or map to refine and identify missing information.

d.

Data Analysis

Data analysis is one of the “Define and Target” tools used to define the behavior of interest, measure its prevalence, describe the context in which it takes place (e.g., target population, region of interest), explore factors associated with the attainment of the behavior, and to prepare for any data collection that will take place as part of the behavioral diagnostic. Specifically, data analysis is a tool for exploring, describing, and testing hypotheses using either already existing or new quantifiable data (e.g., administrative data, surveys, census data). Though described as a “Define and Target” tool, data analysis can be used throughout the behavioral diagnostic whenever quantifiable data is available.

Space and Step

- Define and Target/ Desk review

Strengths

- Allows the simplification of large amounts of data and helps present quantitative descriptions in a manageable form.
- Helps identify and segment the target population.
- Enables the exploration of associations between the behavior of interest and background or contextual characteristics (including barriers and motivations).
- Logistically, it is cost-effective to implement and can be conducted even with limited resources. An analysis of already existing data is typically less expensive than collecting new data.

Limitations/ Cautions

- Dependent on the availability of information.
- Requires moderate-to-extensive training on statistics.

REQUIREMENTS:

Data

- **Censuses** systematically acquire and record the number of members of a population and other population information. Examples include national population censuses, business censuses, and censuses of agricultural holdings. However, there are also topic- and population-specific censuses.
- **Sample surveys** collect information from a sample of units, such as population subgroups, households, and agricultural holdings.
- **Administrative data** include all information produced as part of the routine operational activities of government ministries, departments, and agencies, such as transactions and record keeping.

Team

- **Minimum required team:** data analyst. A data manager may be another role.
- **Data analyst:** Finds, cleans, organizes, describes, analyzes, and interprets data. The data analyst has statistical skills, mathematical ability, problem-solving skills, and is highly organized and detailed oriented.

Level of Effort

- The level of effort required to plan, prepare, and conduct a data analysis will depend on contextual and design factors. Contextual factors include access requirements and format of the data (e.g., having clear labels and organized data). Design factors include the number of data sources to use and the rigor selected for the analysis.
- Conducting a data analysis for a behavioral diagnostic could take between 1-4 weeks.

Software

- Required for data collection; suggested software include Microsoft Excel and ODK.
- Required for data visualization; suggested software include Microsoft Excel, Tableau, and Google Spreadsheets or Google Charts.
- Optional during more complex statistical analysis; suggested specialized software include SPSS, Stata, and R.
- Optional during spatial analysis; suggested software specialized include ArcGIS and GGIS.

Cost Categories

- **Labor:** Staffing of team members (e.g., wages, benefits).
- **Equipment and materials:** Computer and statistical software license.
- **Miscellaneous:** Fees for accessing a database (if relevant).

IMPLEMENTATION STEPS:

Plan and prepare

- Identify and obtain a relevant dataset. The criteria used to identify useful databases include content, availability, timing, target population, and data quality.
- Clean up the dataset. If necessary, the analyst should clean the data that will be used (e.g., check for repeated observations, missing values, or coding errors).
- Tidy the dataset. This refers to the process of structuring the data in a way that makes it easy to analyze and use (e.g., recode variables, change the format of variables).

Implement

- During the implementation of a data analysis, all or some of the following activities should be conducted:
 - **Explore and describe.** Visualize and describe indicators that measure the incidence of the challenge or the desired outcome. In this case, a starting point is, for example, obtaining the percentage of women participating in the specific program or similar activities and preparing charts and graphs. At a more aggregate level, there are macroeconomic and labor market indicators that can provide, such as female population economically active, employed or in the informal sector in rural areas.
 - **Profile the population** by breaking the down available data according to relevant factors that are associated with the outcome of interest. Examples of such factors include main socio-demographic and economic variables, such as gender, age groups, educational level or literacy, measures of wealth such as poverty incidence or level of income, and labor market participation (employment and type). Additionally, a geographical disaggregation at a municipality, state, or regional level might reveal patterns associated with geographical, economic, or cultural factors. Lastly, a temporal analysis allows to identify trends in time and evolution of the information of interest and to compare patterns across groups.
 - **Test associations.** Correlation, regression, and multivariate statistical analyses are more complex techniques that provide a sense of magnitude of the relation between the measured outcome and related factors, and, in some cases, allow to identify the explanatory power of such factors. However, such analyses require highly detailed data, the use of statistical packages, and an advance knowledge of statistics. See [Template 4](#).

Process the Data

- Format the analysis outputs (e.g., tables, graphs) and describe the findings.

e.

Behavioral Process Map

A Behavioral Process Map, also known as user journey or process flow, is one of the “Define and Target” tools used to define the behavior of interest, describe its context, explore its barriers and motivations, and prepare for any data collection that will take place as part of the diagnostic. Specifically, a BPM is a visual representation of every step in the decision-making process leading to behavior of interest and potential barriers, considering the perspective of the target population. A BMP, which can describe the process of an individual or be adapted to a group, uses principles of human-centered design by focusing on the end users and describing their experiences step-by-step.

Space and Step

- Define and Target/ Initial Exploration

Strenghts

- Describes the end-user journey from their own perspective.
- Provides detailed information about barriers at each step of a process.
- Uses data from multiple sources to describe different aspects of the user's journey.
- Is flexible, iterative, and can be easily adapted to different behaviors and contexts.
- Will produce a user-friendly, clear snapshot of the behavior of interest and its barriers and motivations.

Limitations/ Cautions

- Requires information (evidence-based or not) about the experiences of the target population.
- Requires setting subjective assumptions about the behavior of interest and the decision-making process leading to it, such as assuming a linear process, reducing alternative choices, or simplifying interaction with stakeholders.
- It must be constantly updated with new information.

REQUIREMENTS:

Team

- **Minimum required team:** a team members should develop a BPM. However, is recommended to have more members during the development of the map to capitalize on multiple points of view and brainstorming sessions.
- The team members conducting the BPM should have an adequate-to-deep knowledge of the topic and experiences of the target population. They should also be perceptive, insightful, open-minded, and detail oriented, and have the ability to work effectively with formal stakeholders as well as with the target population.

Information

- Information used to develop the BPM come from the literature and documentation review, stakeholder map, policy map, data analysis, and informal interviews with stakeholders and/or representatives of the target population.

Level of Effort

- The level of effort required to plan and prepare, implement, and process a BPM will depend on contextual and design factors. Contextual factors include the richness and level of detail of the available information. Design factors include the depth and breadth of the BPM, including the level of detail selected to describe the barriers and motivations during each step of the process (e.g., whether or not environmental and social barriers are described).
- If rich information is available and well understood by team members, a BPM could be conducted within a day. If information is lacking or informal interviews are needed, this exercise could take up to a week.

Software

- Optional when presenting a final version of the BPM; suggested software includes Microsoft Power Point.

Cost Categories

- **Labor:** Staffing of team members (e.g., wages, benefits).
- **Equipment and materials:** Paper, pens/pencils, markers (optional), post-it notes (optional), blackboards (optional), and wall easel pads (optional).

IMPLEMENTATION STEPS:

Plan and Prepare

- **Gather relevant information.** Gather and organize all information obtained from the literature and documentation review, stakeholder and policy mapping, and data analysis.
- **Conduct informal interviews.** Because additional information may be required, the team should be prepared to conduct informal interviews with experts and the target population to resolve questions and fill information gaps.

Implement

The implementation of a BMP is an iterative process—that is, it can be necessary to go back and forth between steps until the desired product is achieved. The implementation stage should take place within a brainstorming environment, where two or more team members conduct each of the steps listed below and discuss them until reaching consensus.

- **Define the target behavior or end point.** Define and state the behavior of interest in a clear and concise way.
- **Define a start point.** Define and state the status quo of the target population to determine the length and characteristics of the process or journey. For example, the process of accessing a loan will be different for women who have already started a business than for those who have not.
- **Identify decisions and actions involved in attaining the behavior.** Taking the place of the target population or end user, list all the decisions and actions that are required to attain the desired outcome based on how people actually behave. Decisions can be defined as moments of choice (e.g., deciding to apply for a microcredit), while actions are moments when something is accomplished (e.g., filling out the application form). It is important to zoom in to each step of the process to identify very detailed and specific decisions and actions.
- **Diagram your outcome, decisions, and actions as a linear and sequenced process (decision-action map).** The diagram is a chronological chart of the decisions and actions that lead to the behavior of interest; it always starts with a decision and ends with an action. Make sure to visually differentiate between decisions and actions (e.g., diagram decisions as red circles and actions as blue squares). See [Figure 3](#).

- **Identify barriers/bottlenecks for each decision and action.** Based on all the information gathered, identify barriers that could be influencing each of the decisions and actions diagramed in the decision-action map. Include these barriers next to each decision or action within the map. Consider and, ideally, identify intrinsic and external barriers based on evidence. Which of the behavioral barriers or bottlenecks described in this report (e.g., status quo, scarcity, horn effect, unperceived punishment, social norms, and loss aversion) are relevant to the outcome of interest? See [Box 3](#) for a list of questions that can be used to identify barriers to decisions and actions.

Process the data

- Format your BPM. Make sure the visual representation is clear and clean.
- Expand the map by adding sources, notes, links, and additional information on a separate page.
- Correct the map as necessary. Once the initial map is created, tenaciously reiterate on it as additional information, including fieldwork outcomes, becomes available.

f.

Focus Group Discussion

A Focus Group Discussion (FGD) is one of the “Explore and Diagnose” tools used to gain insights into the prevalence, context, beliefs, barriers and motivations, and dynamics of the behavior of interest. Specifically, an FGD consists of guided discussions with a small, homogeneous group of people from the target population and key informants to gain in-depth understanding of the behavior. Unlike Group Interviews, which are directed discussions between the facilitator and individual participants, FGDs are guided by a facilitator who encourages discussion and interactions between participants.

Space and Step

- Explore and Diagnose/ Fieldwork

Strenghts

- Well suited for studying behaviors influenced by other members of society (e.g., through social norms), FGDs allow data collection on group interactions, including group agreements, disagreements, censoring, and support of specific behaviors or beliefs.
- Enables the collection of multiple perspectives in a short period of time.
- Well suited for exploring unanticipated information and for pursuing topics that are not directly related to the predetermined list of questions.
- Time- and cost-efficient, it allows modifications throughout the implementation stage (e.g., changes to recruitment strategy and discussion content).

Limitations/ Cautions

- If participants' responses conform to or are censored by the facilitator or other participants, FGDs can lead to groupthink, herd behavior, and social desirability bias.
- If participants are not representative of the general population, a group's results cannot be broadly generalized.
- Not well-suited for analyzing individualized behaviors, such as exceptions to the rule (e.g., deviant cases) and life stories.
- Because disclosure, confidentiality, and privacy are limited, FGDs are not suited to collecting sensitive information that could harm (e.g., illegal practices), shame, or polarize the group.
- Planning and preparation challenges may arise, such as finding participants who share very specific characteristics or finding a venue and time that works for most participants.
- Analyzing FGD data using a transcription-based analysis can be time consuming and challenging (i.e., audio problems, difficulty of describing non-verbal communication).

REQUIREMENTS:

Team

- **Minimum required team:** facilitator and assistant or note-taker.
- Team members must have adequate knowledge of the topic, speak the participants' language, and have a warm personality (e.g., respectful and caring).
- **Facilitator:** Leads the discussion, interacts directly with participants, and debriefs with the assistant after each session. The facilitator should be empathetic, charismatic, respectful, and skilled at managing groups; a good communicator, listener, and observer; and able to adapt to participants' reactions. They should have the ability to build rapport by creating a warm, supportive, and comfortable environment.
- **Assistant:** Handles meeting preparation and logistics (e.g., arranges the room and welcomes and seats participants), takes careful notes, monitors recording equipment, provides feedback, and debriefs with the facilitator. The assistant should be highly organized with great attention to detail.
- **Additional team:** Additional roles include logistics coordinator, participant recruiter, and data analyst. More than one role can be assigned to the same person (e.g., the facilitator can also be the participant recruiter).

Participants

- Participants should be homogeneous (i.e., same gender, similar socio-economic status, or engage in the same behavior).
- Most of the time, the study of more than one type of participant will be relevant (e.g., individuals performing and not performing the behavior, or the challenges faced by men versus women). In these cases, FGDs should be conducted separately for each type of participants (e.g., conduct a set of FGDs with men and a separate set with women).
- Required sample for each type of participant: 3-4 FGDs with a maximum of 6-8 participants per FGD.

Level of Effort

- The level of effort required to plan, prepare, implement, and process the data in an FGD will depend on contextual and design factors. Contextual factors include safety concerns at field sites, the region's transportation infrastructure, and the community's acceptance of the research. Design factors include the number of groups of participants, the number of FGDs per group, the size of each FGD, potential challenges to recruiting and ensuring the participation of the target population, and the rigor selected for the analysis.
- Each FGD should take 60-120 minutes.
- One or two FGDs can be conducted per day (depending on the length and complexity of the discussion and whether recruitment is on-site or scheduled).

Cost Categories

- **Labor:** Staffing of team members (i.e., wages and benefits).
- **Logistics:** Venue/space rental and arrangements for team members at field sites (e.g., travel, accommodation, and food).
- **Equipment and materials:** Recording devices (optional), name tags, printouts, pens, easels (optional), blackboard (optional), and refreshments for participants.
- **Participant remuneration:** Some type of compensation for participants (e.g., transportation vouchers, child-care, and/or small monetary or in-kind incentives) is recommended as a token of appreciation for their time.
- **Miscellaneous:** Transcription and/or translation services (if relevant).

Software

- Optional during the analysis of the data. While specialized software is not necessary to conduct a robust analysis, suggested software include NVivo, ATLAS.ti, and Dedoose.

IMPLEMENTATION STEPS:

Plan and Prepare

- **Design a discussion guide.** A discussion guide can have a 3-section structure: (i) introduction (brief synopsis, rules, consent form, and introductions); (ii) general questions, probes, and follow-up questions; and (iii) wrap-up. Separate discussion guides should be designed for each type of group of participants.
- **Train the team.** Training should be provided to all team members. The training's content can be structured as: project overview, main learning questions/objectives, timeframe/work plan, roles and responsibilities, discussion of ethical issues, thorough review of all data collection instruments, and skill-building exercises on recruiting participants, facilitating, taking notes, and analyzing FGDs (for relevant team members). If more than one facilitator is used, it is important to ensure that all facilitators will ask questions in a similar manner.
- **Pilot-test the discussion guide.** Test all discussion guides with a subsample of the target population to confirm that the questions are phrased appropriately, understood as intended, and elicit the type of data expected. Conduct a debriefing session with the participants of the pilot test to gauge the information needed to improve the guides.
- **Identify participants.** Participants can be identified from different sources, including: lists from community-based organizations, attendees of community events or local institutions (e.g., clinics, schools, and public offices), eligible participants in a program, people nominated by a local leader, or snowball samples (e.g., allowing one participant to invite others who fulfill the requirements).
- **Recruit participants.** Recruitment can be done in advance or right before the discussion. If the FGD is scheduled, reminders (e.g., phone calls or text messages) should be sent to participants the day or night before the FGD. To prepare for potential underattendance, over-recruitment by 20% is recommended.
- **Select and organize site.** Prioritize a neutral, convenient, and safe location. The room should be arranged to ensure privacy (e.g., blocking windows if necessary). Seats should be arranged to encourage interaction (e.g., in a circle) while allowing participants to be comfortable. Finally, check the tape recorder's batteries and make sure all required materials (e.g., handouts) are available. Prepare a means of organizing and storing notes and handouts after the discussion.

Implement

- **Greet and set up participants.** Upon arrival, participants should be welcomed and directed to assigned seats, and team members should introduce themselves. Refreshments and name tags can be provided, and basic demographic information can be collected from each participant.
- **Introduce participants to the FGD.** Once all participants have arrived, explain the purpose of the FGD, why they were chosen, the expected duration of the discussion, that the information will be kept confidential, and whether or not you will use a tape recorder. Obtain informed consent from all participants, let them introduce each other to the group, and conduct an ice-breaker or warm-up exercise (essential for establishing good rapport).
- **Conduct the discussion.** Audio-recording the discussion is highly encouraged but not required. The facilitator should follow the discussion guide, making sure everyone stays on topic. However, improvised probes might be needed to maintain the natural flow of the discussion. The assistant facilitator should take careful notes throughout the discussion, using shorthand, abbreviations, or symbols. See [Template 5](#). Fluent coordination between the facilitator and the assistant can ensure important points are noted and that the facilitator stays on topic. At the end of the discussion, the facilitator will summarize the discussion and ask for additional clarifications from the participants.
- **Debrief with all team members present at the discussion.** As soon as participants leave, note and report themes, hunches, interpretations, and ideas for each question using a debriefing form. See [Template 6](#).
- **Review collected data.** Make sure all notes and forms are written clearly such that someone who did not participate in the discussion can understand what was said.
- **Label and file materials.** Including field notes, tapes, and other materials used during the discussion (e.g., written informed consent). Labels should include date, time, and location, a unique identifier of the FGD, and a participant identifier—for example, “July 10th, Group A in XX location, Participant 1.” Confirm that all stored data are “de-identified”—that is, that none of the documents contain any personal information about the participants.

Process the Data

- In a behavioral diagnostic, the FGD data can be processed by itself or along with the data from Interviews and Observations (if relevant).
- **Develop a coding scheme.** Develop a tentative coding scheme for your data. This includes identifying possible themes based on your earlier reviewing, your Behavioral Process Map, and the questions in your discussion guide.
- **Compile, organize, and review all notes/forms.** Check if all information is complete and clarify incomplete or confusing information.
- **Review and explore the data.** Listen to or read your data (e.g., notes, forms, recordings) and do a first-sense check, noting initial findings and general thoughts.
- Following your coding scheme, record and count responses in a spreadsheet or using the suggested template. You can refine your coding scheme by identifying new recurring themes and dropping those not mentioned. For example, you can process notes from one FGD, test the coding, and redefine. See [Template 7](#).

g. Interview

A Focus Group Discussion (FGD) is one of the “Explore and An interview is one “Explore and Diagnose” tool used to gain insights into the prevalence, context, beliefs, motivations and barriers, and dynamics of the behavior of interest. The interview can also be applied in the “Define and Target” space as a tool for interacting systematically with area experts and counterparts. An interview is a tool designed to elicit in-depth and detailed insights into a single participant’s perceptions of a behavior. This section describes semi-structured interviews, which follow a predetermined conversational format but allow for spontaneous questions and probes.

Space and Step

- Define and Target/Initial exploration; Explore and Diagnose/Fieldwork

Strengths

- Provides substantial and detailed information about each participant's thoughts, experiences, and personal circumstances.
- Well-suited for discussing issues that would be difficult or inappropriate to address in groups.
- Well-suited for exploring unanticipated information and pursuing a topic not directly related to the predetermined list of questions.
- Interviews are forgiving of mistakes: unclear questions can be clarified during implementation, and participants can be contacted multiple times to clarify information.
- Logistically, interviews are flexible; modifications (e.g., to the recruitment strategy, to the content of the guide) can be made throughout the implementation.

Limitations/ Cautions

- Participants may not be representative of the general population; therefore, results from an interview cannot be generalized to other areas or to an aggregate level.
- Interviews do not tell us if the participant's way of thinking or acting is shared by others in their group.
- Analyzing interview data can be resource-consuming when using a transcript-based analysis. For example, if passionate participants provide extensive information during one-on-one interviews, verbatim transcription can be time consuming.

REQUIREMENTS:

Team

- Minimum required team: interviewer.
- All team members must have adequate knowledge of the topic, speak the participants' language, and have a warm personality.
- Interviewer: Conducts the interview and takes written notes throughout. The interviewer needs to be a good listener, a detailed recordkeeper, and capable of adapting to different personalities and emotional states.
- Additional team: Additional roles include note-taker, logistics coordinator, participant recruiter, and data analyst. More than one role can be assigned to the same person (e.g., the facilitator can also serve as participant recruiter).

Participants

- Interviewees will be members of the target population who can provide extensive information about the topic of interest (e.g., people engaging/not engaging in the behavior, informal and formal experts).
- Required sample: In a behavioral diagnostic, conducting at least 3 interviews with each group of participants will be sufficient. However, for a stand-alone study, the minimum required would be between 15 to 30 interviews.

Level of Effort

- The level of effort required to plan, prepare, implement, and process the data in an interview will depend on contextual and design factors. Contextual factors include safety concerns at field sites, the region's transportation infrastructure, and the community's acceptance of conducting research. Design factors include the number of groups of participants, the number of interviews per group, the duration of each interview, potential challenges to recruiting participants, and the rigor selected for the analysis.
- Implementation of each interview should take between 30-60 minutes.
- In one day, up to 3 interviews can be conducted (depending on the length and complexity of the interview and any possible logistical challenges).

Software

- Specialized software is not necessary to conduct a robust interview.
- Optional during the analysis of the data; suggested software include NVivo, ATLAS.ti, and Dedoose.

Cost Categories

- **Labor:** Staffing of team members (e.g., wages, benefits).
- **Logistics:** Room/site rental (optional) and arrangements for team members at field sites (e.g., travel, accommodation, and food).
- **Equipment and materials:** Recording devices, printouts, pens, notebooks, and refreshments for participants (optional).
- **Participant remuneration:** Compensation for participants (e.g., small monetary or in-kind incentives, transportation vouchers, and/or child-care arrangements) are optional tokens of appreciation for their time. Compensation is relevant to participants who are part of the target population. It is not recommended to offer compensation to government officials or experts.
- **Miscellaneous:** Transcription and/or translation services (if relevant).

IMPLEMENTATION STEPS:

Plan and Prepare

- **Design an interview guide.** An interview guide can have a 3-section structure: (i) introduction; (ii) general questions, probes, and follow-up questions; and (iii) wrap-up. Separate interview guides should be designed for each group of participants.
- **Train the team.** Training should be provided to all team members. The content of training can be structured as: project overview; main learning questions/objectives; timeframe/work plan; roles and responsibilities of team members; discussion of ethical issues; thorough review of all data-collection instruments; and skill-building exercises on recruiting participants, interviewing, taking notes, and analyzing interviews. If there is more than one interviewer, ensure that all interviewers will be asking and noting the same information.
- **Pilot-test the interview guide.** Test all interview guides with a subsample from the target population to confirm that the questions are phrased appropriately, are understood as intended, are culturally appropriate, and elicit the type of data that is needed. A debriefing session with the participants in the pilot testing can provide information needed to improve the guides.
- **Identify participants.** Participants can be identified from different sources, including lists from community-based organizations, attendees of community events or local institutions (e.g., clinic, school, public office), people nominated by a local leader, or snowball samples (e.g., allowing one participant to invite others who fulfill the requirements).
- **Recruit participants.** Recruitment can be done in advance (i.e., scheduled interviews) or right before the interview (i.e., on-site interviews). If the interview is scheduled, reminders should be sent to participants the day or night before.
- **Select and organize site.** The location can be selected by the participants (e.g., their place of work). Otherwise, select a convenient, private, quiet, and comfortable location.

Implement

- Greet the participant, introduce yourself, and explain the purpose of the interview, why the participant was chosen, the expected duration of the interview, that the information will be kept confidential, and whether you will use a tape recorder or not. Obtain informed consent from the participant, and collect background and demographic information before beginning the interview.
- **Conduct the interview.** Audio-recording the interview is encouraged but not required. The interviewer should follow the interview guide, making sure the participant stays on topic. However, improvised probes might be needed to maintain the natural flow of the conversation. If a note-taker is not part of the team, the interviewer should take written notes throughout the interview using shorthand, abbreviations, or symbols. Notes should include a careful description of the time, place, and circumstances of the interview. (See [Template 5](#).) At the end of the interview, the interviewer will summarize the main statements and ask for additional clarifications from the participant.
- **Expand notes.** As soon as the interview is over, the interviewer should expand all notes, including hunches, interpretations, and ideas for each question in the guide. The interviewer should distinguish between responses given with enthusiasm and those the participants answered in only a few words.
- **Label and file materials.** Including field notes, tapes, and other materials used during the interview (e.g., written informed consent).

Process the Data

- **Develop a coding scheme.** Develop a tentative coding scheme for your data. This includes identifying possible themes based on your questions, your earlier reviewing, and your Behavioral Process Map.
- **Compile, organize, and review all notes/forms.** Check if all information is filled, and clarify incomplete or confusing information.
- **Review and explore the data.** Listen to or read your data (e.g., notes, forms, recordings) and do a first-sense check, noting initial findings and general thoughts.
- Follow your coding scheme, and record and count responses in a spreadsheet or using the suggested template. (See [Template 7](#).) You can refine your coding scheme by identifying new recurring themes and dropping those not mentioned. For example, you can process notes from one interview, test the coding, and redefine.
- Confirm that all outcomes and stored data are “de-identified”—that none of the documents contain any personal information from participants.

h. Observation

Observation is one of the “Explore and Diagnose” tools used to gain insights into the prevalence, context, beliefs, motivations and barriers, and dynamics of the behavior of interest. Specifically, an observation is a tool for studying the behavior in the setting where it would normally occur without relying on the participant’s verbal responses and retrospective memory. Observations are an ethnographic method, though marketing and social science disciplines have used them to gain deeper insight when describing a phenomenon. This tool describes Semi-Structured, Non-Intrusive Observations conducted by one or more observers who do not intervene in the activity or with the population being observed. One type of Non-Intrusive Observation, shadowing, consists of observing participants who know they are being observed over a specific period. In a public sphere, participants might not need to be notified that they are being observed, but this can be seen as a deceptive technique. In another type, participant observations, the observer becomes a “player” in the situation being observed, as in techniques such as mystery shopping, mystery client, and dogfooding. Both shadowing and participant observations are commonly used within the marketing research to describe scenarios in which the observer, mirroring the behavior of a typical client, describes their experiences using a service or product.

Space and Step

- Explore and Diagnose/ Fieldwork

Strengths

- Observations collect data on actual rather than self-reported behavior. Therefore, they have high validity (i.e., data produced by the tool can be a “true” representation of typical behavior) and low recall bias (i.e., error due to participants’ inability to remember information accurately).
- It provides rich insights into the natural context in which behaviors take place.
- Well-suited to understand sequences of activities, such as ongoing behaviors, processes, unfolding situations, or events.
- Helpful for identifying the errors and omissions of other tools that rely on self-reported information.
- Observations are flexible, and modifications (e.g., to the recruitment strategy, the content of the guide) can be made throughout implementation.

Limitations/ Cautions

- Participants may not be representative of the general population; therefore, results from an observation cannot be generalized to other areas or to an aggregate level.
- Subject to observation bias, this means that participants might behave differently when being observed.
- There are ethical concerns regarding the observation of vulnerable populations or people in sensitive circumstances (e.g., observing a child in the absence of an authorized adult, observing violent episodes)
- Logistically, it is difficult to control for the timing and duration of the observation (i.e., observations must be of sufficient duration to capture typical daily practices).
- Data entry, coding, and analysis are time-consuming. To have structured observations, well-defined observational categories are needed, but defining these codes requires significant effort and training.

REQUIREMENTS:

Participants

- Participants of an observation can be individuals (e.g., a farmer cultivating the land) or observation sites (e.g., a meeting, an event, an activity).
- **Required sample:** In a behavioral diagnostic, conducting at least one observation for each group of participants or observation sites will be sufficient.

Level of Effort

- **Minimum required team:** observer. Additional roles include logistics coordinator, participant recruiter, and data analyst. More than one role can be assigned to the same person (e.g., the observer can also be a participant recruiter) and multiple people can have the same role (e.g., multiple observers).
- **Observer in a Non-Intrusive Observation.** The observer systematically records the context, the specific activities or behaviors of interest, and the nature of the interactions without intervening or influencing the activity. Throughout the course of the observation, the observer can change their level of obtrusiveness, from observing the activity silently to asking questions or requesting more information from participants. The observer should have accurate observation and recording skills, a solid base of cultural awareness, the ability to select relevant and important factors in relation to the subject of observation, a good memory, and personal discipline.

Software

- The level of effort required to plan, prepare, implement, and process the data in an observation will depend on contextual and design factors. Contextual factors include safety concerns at field sites, the region's transportation infrastructure, and the community's acceptance of conducting research. Design factors include the number of observations to be conducted, the length of each observation (highly dependent on the nature of the activity being observed), the potential challenges in gaining participants' trust or obtaining authorization to conduct the observations, and the rigor selected for the analysis (e.g., choosing a structured strategy for coding the observations will require a more rigorous training).
- The implementation of each observation can take 30-180 minutes, but the time required is highly dependent on the nature of the activity.
- In one day, up to 3 observations can be conducted (depending on the length and complexity of the observation and any possible logistical challenges in conducting the observation).

Software

- Specialized software is not necessary to conduct a robust observation.
- Optional during the analysis of the data. Suggested software includes NVivo, HyperRESEARCH, ATLAS.ti, Dedoose.

Cost Categories

- **Labor:** Staffing of team members (e.g., wages, benefits).
- **Logistics:** Arrangements for team members at field sites (e.g., travel, accommodation, and food).
- **Equipment and materials:** Image recording devices (e.g., photographic or video camera), printouts, pens, notebooks, tablets (optional), refreshments for participants (optional), analysis software license (optional).
- **Participant remuneration:** Compensation for participants (e.g., small monetary or in-kind incentives) are optional as a token of appreciation for their time.
- **Miscellaneous:** Transcription and/or translation services (if relevant).

IMPLEMENTATION STEPS:

Plan and prepare

- **Select the level of obtrusiveness of the observation.** Obtrusiveness refers to the degree to which participants are aware that the diagnostic is going on. In an unobtrusive observation, the observer avoids intervening in the action being observed (i.e., behaves like a “fly on the wall”). In more obtrusive observations, the observer intervenes in the action as an outside observer only (e.g., asking questions and requesting clarifications). This choice has to balance the possible impact of intervening in the action (e.g., participants modifying their usual behavior) versus the need to gather information by asking participants additional questions.
- **Design an observational guide.** Outline instructions and questions on what to see, hear, perceive, and record during the observation to secure fulfillment of study’s objectives. Develop one observation guide for each group of participants or observation sites. Include the sections: (i) introduction and (ii) general open-ended questions and ratings. Observations include detailed information about appearance, verbal behavior, interactions, setting, and any contextual or out-of-the-ordinary conditions (e.g., rain)
- **Train the team.** Training should be provided to all team members. The content of the training can be structured as: project overview; main learning questions/objectives; timeframe/work plan; team members’ roles and responsibilities; discussion of ethical issues; thorough review of all data-collection instruments; how to respond to unexpected problems; and skill-building exercises on recruiting participants, paying attention, writing descriptive notes, and analyzing observations. If there is more than one observer, it is important to ensure that all observers will pay attention, focus, and take notes about the same things.
- **Pilot-test all observational guides.** Test the observation guide in a subsample of the target observation sites to confirm that the instructions and questions are clear and elicit the type of data needed. All observers should do this exercise independently in the same site and then compare their observations.
- **Identify participants/observation sites.** Participants can be identified from different sources, including: lists from community-based organizations, attendees at community events or local institutions (e.g., clinic, school, public office), people nominated by a local leader, or snowball samples (e.g., allowing one participant to invite others who fulfill the requirements). An observation site is any place where participants interact naturally. These sites can be identified by popularity (e.g., most populous public office), relevance (e.g., a town with the lowest proportion of women’s participation), or convenience (e.g., an area where other studies are being conducted).

- **Recruit participants for individual observations.** Recruitment can be done in advance (i.e., scheduled observations) or right before the observation (i.e., on-site). If the observation is not taking place right after recruitment, send reminders (e.g., phone calls, text messages) to participants the day before. It is important to note that if the observation is scheduled, this could influence the participant's behavior that day.
- **Obtain access to observe sites or activities.** Typically, the observer will need to secure the approval of a gatekeeper to conduct the observation at a determined site. Informal gatekeepers are trusted individuals in the community who can grant/negotiate access to the site. Formal gatekeepers are institutions, such as the government or the police, who can provide permission to access and observe a site.

Implement

- **Conduct the observation.** The observer should follow the observation guide, making sure to record every detail of interest. Take photos or videos only if the target population gives their consent.
- **Expand notes.** As soon as the observation is over, the observer should expand all notes, including hunches, interpretations, and ideas for each question/instruction in the guide.
- **Label and file materials.** This includes field notes, tapes, and other materials used during the observation (e.g., written informed consent).

Process the Data

- **Develop a coding scheme.** Develop a tentative coding scheme for your data. This includes identifying possible themes based on your questions, earlier reviewing, and Behavioral Process Map.
- **Compile, organize, and review all notes/forms.** Check if all forms are complete and clarify confusing information.
- **Review and explore the data.** Listen to or read your data (e.g., notes, forms, and recordings) and do a first-sense check, noting initial findings and general thoughts.
- Follow your coding scheme, and record and count responses in a spreadsheet or using the suggested template. (See [Template 7](#).) Refine your coding scheme by identifying new recurring themes and dropping those not mentioned. For example, you can process notes from one observation, test the coding, and redefine.
- Confirm that all outcomes and stored data are “de-identified”—that none of the documents contain any personal information from the participants.

i.

Surveys

Survey is one of the “Explore and Diagnose” tools used to gain insights into the prevalence, context, beliefs, motivations, and dynamics of the behavior of interest. Specifically, a survey is a tool used to measure and track quantifiable information about the behavior of interest using a structured set of questions or statements. This tool can be used to conduct surveys—online, face-to-face, and via phone—that are representative (i.e., the information gathered can be generalized to all members of a population) or non-representative (i.e., the information gathered cannot be generalized to all members of a population).

Space and Step

- Explore and Diagnose/Fieldwork

Strengths

- Provide an estimate of the magnitude, prevalence, and characteristics of behaviors, experiences, and opinions and their correlation with other factors (e.g., sociodemographic characteristics).
- Most effective tool for collecting information from large populations. Surveys use a predefined and fixed set of questions to collect information; therefore, the time needed for each participant to provide information is standard across participants and usually shorter than with any qualitative method.
- Results from representative surveys can be generalized to all members of a population. This feature also allows for merging or linking the results obtained with already existing data.
- Enables comparisons among individuals, households, regions, and time periods.
- If questions are correctly worded, the data obtained is reliable. Therefore, surveys can provide comparable snapshots throughout time or across populations.
- Logistically, the process for analyzing survey data is straightforward.

Limitations/ Cautions

- Surveys are not well-suited for collecting complex answers or explanations. Therefore, they may not capture nuances associated with the behavior of interest. Furthermore, information about participants' reactions to the questions is often missed by surveys.
- The information collected can be time sensitive. It is not advisable to ask participants about experiences that happened over a year ago, as such information may not be reliable.
- Questions need to be carefully developed and pilot-tested, as the framing, formatting, wording, and delivery of questions can affect measurement. Furthermore, participants do not receive clarifications or explanations during the implementation of the survey unless determined beforehand by the team.

- Even representative surveys can miss hard-to-reach population (e.g., homeless people and residents of correctional facilities).
- Survey development, administration, and data collection can be costly and time-consuming.
- Surveys are not a flexible tool; changes to their design cannot be made during the implementation stage without affecting representativeness and comparability.

REQUIREMENTS:

Participants

- Survey participants are usually members of the target population who can provide direct information about the behavior of interest and its context. However, surveys with formal and informal experts are also common.
- **Sample size.** The sample size will depend on the size of the target population, expected response rate, margin of error, and confidence rate.
- **Sampling strategy.** To ensure that members of the target population will be randomly selected, probability sampling is used to select the sample in a representative survey. In the easiest method of probability sampling, simple random sampling, the team lead must ensure that all members of the target population are included in a list (also called a sampling frame), from which subjects are then selected randomly.
- Non-probability sampling is used to select the sample in a non-representative survey. This means that members in the target population will not be randomly selected. Non-probability sampling strategies include quota sampling (i.e., participants are selected based on specific traits or qualities), convenience sampling (i.e., participants are selected based on the ability to contact and reach them), and snowball sampling (i.e., letting one participant identify others).

Team

- **Minimum required team:** surveyor and data analyst. Additional roles include logistics coordinator and supervisor. It is important to note that the same person can have more than one role (e.g., the logistics coordinator can also analyze the data) and that more than one surveyor might be necessary.
- All team members have adequate knowledge of the topic, speak the participants' language, and has a warm personality.
- **Surveyor:** Collect the information in a truthful, reliable, and appropriate way. A surveyor should have interviewing skills, conversational skills, and basic computer skills (if conducting a computer-assisted survey).
- **Data analyst:** Compiles, merges, cleans, labels, and organizes the data collected by the surveyor. Uses the data to estimate descriptive statistics and test hypotheses. Data analysts should have mathematical ability, programming languages, problem-solving skills, and attention to detail.

Level of Effort

- The level of effort required to plan, prepare, implement, and process the data in a survey will depend on contextual and design factors. Contextual factors include safety concerns at field sites, the transportation infrastructure of the region, and the community's acceptance of conducting research. Design factors include the types of participants, the sample size, the length and/or complexity of the questionnaire, the method selected for administering the survey (e.g., internet, phone, face-to-face), and the rigor selected for the analysis.
- Administering each survey should take 5-30 minutes.
- In one day, 1-10 surveys per surveyor can be conducted (depending on the length and complexity of the questionnaire).

Software

- Optional during data collection; suggested software include Survey Monkey (web); Google forms (web), and Echo mobile (SMS).
- Optional during the data exploration; suggested software include Microsoft Excel, Google Drive sheets, and EpiData.
- Optional during statistical analysis; suggested software include SPSS, Stata, and R.
- Optional during spatial analysis; suggested software include ArcGIS and QGIS.

Cost Categories

- **Labor:** Staffing of team members (e.g., wages, benefits).
- **Logistics:** Arrangements for team members at field sites (e.g., travel, accommodation, and food).
- **Equipment and materials:** Computer (optional), tablets (optional), printouts, pens, notebooks, refreshments for participants (optional), analysis software.
- **Participant remuneration:** Compensation (e.g., small monetary or in-kind incentives) are optional as a token of appreciation of participants' time.

IMPLEMENTATION STEPS:

Plan and Prepare

- **Decide what type of survey to use.** Surveys can be self-administered or surveyor-administered. Self-administered surveys are useful for sensitive topics, but they require literacy from participants and the discipline needed to complete the survey. Surveyor-administered surveys have higher response rates and are more likely to be completed. Surveys can be paper-based, computer-assisted, app-based, internet-based, or phone-based. The type of survey chosen should be based on logistical considerations, such as the availability of computer-assisted equipment (e.g., tablets and computers), phone penetration in the region of interest, and the need to show images to the participant (thereby eliminating the option of a phone-based survey).

	PROS	CONS
Surveyor administered (paper-based, tablet-based, phone-based)	• Higher response rate	• Higher costs • Not good for sensitive topics • Phone-based surveys do not allow images to be shown to participants
Self-administered (online, paper-based, tablet-based)	• Good for sensitive topics • Lower costs	• Require literacy from participants

- **Design the questionnaire or survey instrument.** First, the team needs to decide whether to use an existing questionnaire (already validated), a new one, or a mix of both. Identify variables that need to be measured, including outcome and background variables. Carefully word, order, and format questions that measure each of the identified variables. Avoid leading questions (i.e., those that suggest an answer). Questionnaire length is an important consideration, both for cost reasons and effects on participants; therefore, avoid repetitive or unnecessary questions.
- **Train the team.** Training should be provided to all team members. Training content can be structured as: project overview; main learning questions/objectives; timeframe/work plan; roles and responsibilities of team members; discussion of ethical issues; thorough review of all data-collection instruments; and skill-building exercises on recruiting participants, asking questions, and analyzing data. If there is more than one surveyor, ensure that all surveyors will be asking questions in the same way.

- **Pilot-test the survey instrument.** Test all questionnaires with members of the target population to confirm that the questions are phrased appropriately, are understood as intended, and elicit the type of data needed. The best way to pretest a questionnaire is face-to-face so that respondents can be asked to identify confusing and/or difficult questions. Measure the time it takes for each participant to finish the questionnaire.

Implement

- **Surveyor-administered surveys.** Questions should be asked in the exact way they are written, with no variations or wording changes. Spontaneous probing is not recommended.
- **Self-administered surveys.** All surveys should be delivered to participants under similar circumstances (e.g., similar time of day and same location).
- **Confirm that all outcomes and stored data are “de-identified”—**that is, that none of the documents contain any personal information from participants.

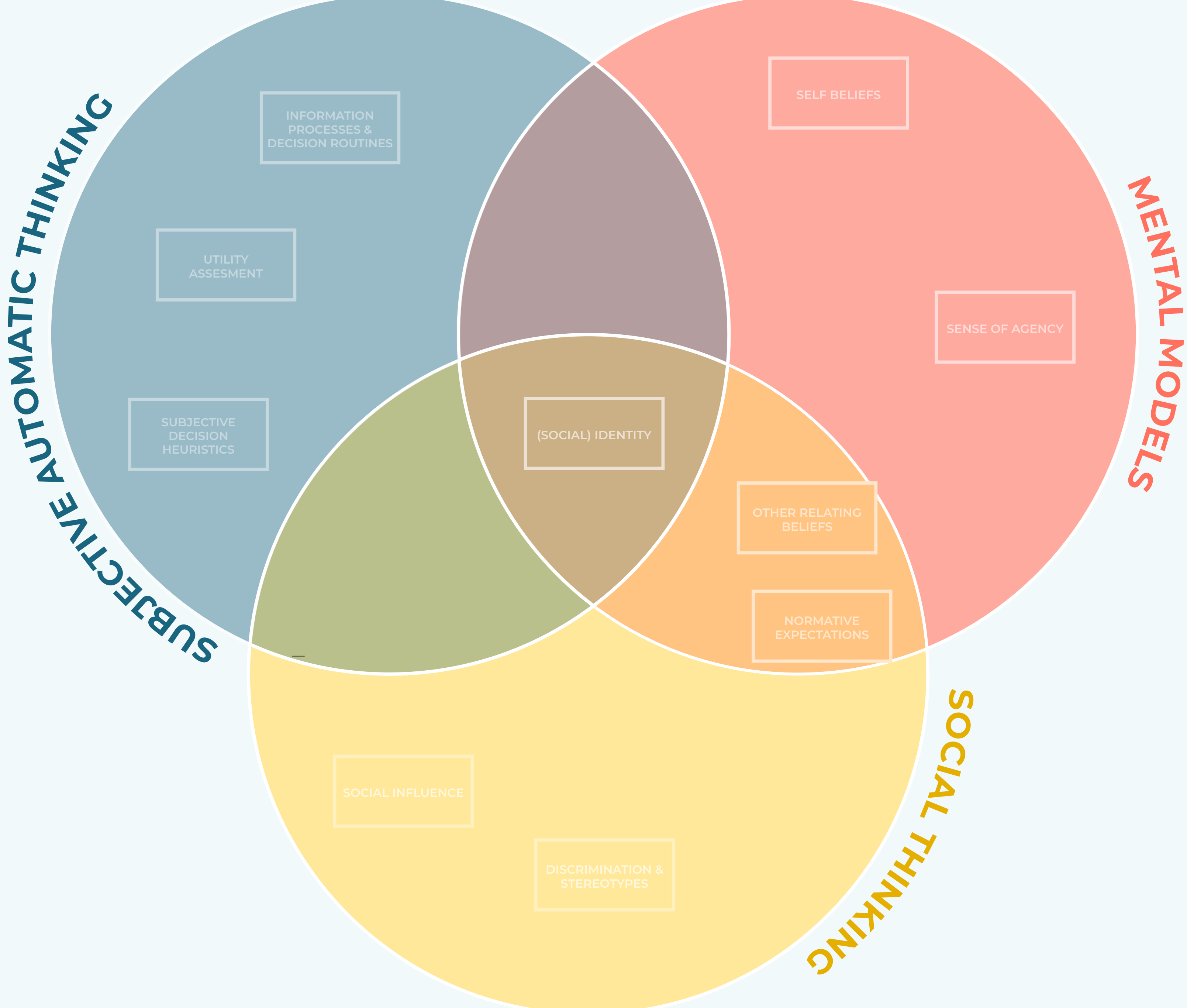
Process the Data

- **Prepare the data for analysis.** Format all variables consistently and construct a coding book, highlighting the name and characteristics of each variable within the data.

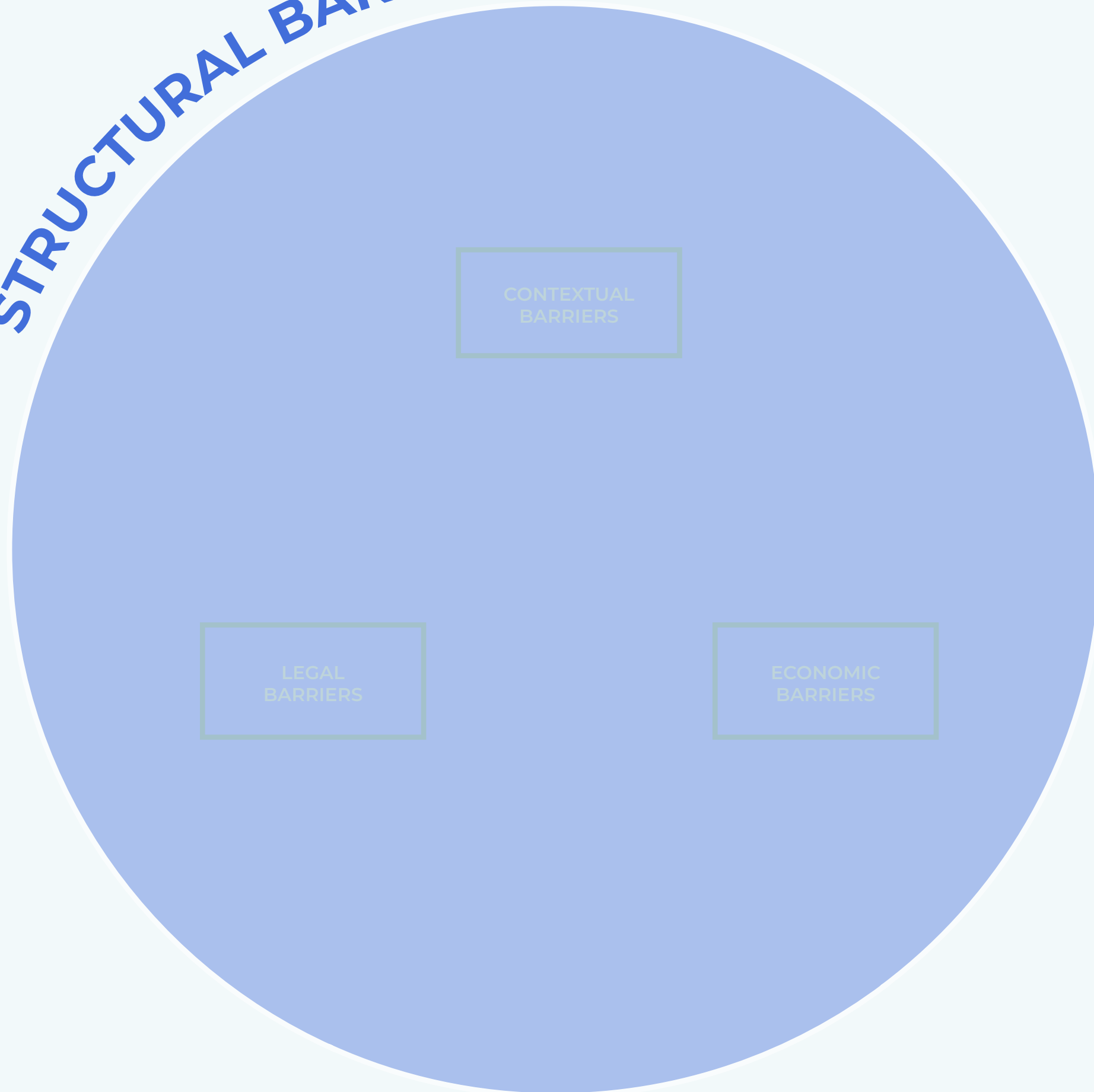
Annex



ANNEX 1:
BEHAVIORAL FRAMEWORK



STRUCTURAL BARRIERS



PROGRAM AND PROCESS BARRIERS



ANNEX 2:

BEHAVIORAL SCIENCES

FRAMEWORKS AND TOOLKITS

FRAMEWORK OR TOOLKIT	ORGANIZATION(S) OR AUTHOR(S)	DESCRIPTION
BASIC	OECD	A toolkit from the OECD on the application of Behavioral Insights.
BEHAVIORAL DESIGN PROCESS	IRRATIONAL LABS	A framework from Irrational Labs
BEHAVIORAL FRAMEWORK	IDEAS42	Research framework from ideas42
BEWORKS METHOD	BEWORKS	Method for the design of behavioral solutions for business and policy work
EAST FRAMEWORK	BEHAVIOURAL INSIGHTS TEAM - BIT	A model complementing the MINDSPACE framework and focusing on solutions: Easy, Attractive, Social, and Timely.
APPLICATION OF BEHAVIOURAL INSIGHTS IN THE EC	EUROPEAN COMMISSION JOINT RESEARCH CENTER	Policy approach applied by the Center to increase effectiveness of policies.
IRS BEHAVIORAL TOOLKIT	IRS DELOITTE GOVLAB & GREENHOUSE	A toolkit for tax systems practitioners and researchers, developed by Deloitte.
MINDSPACE FRAMEWORK	BIT	An analytical framework from the BIT focusing on the Messenger, Incentives, Norms, Defaults, Salience, Priming, Affect, Commitments, & Ego.
BEHAVIORAL CHANGE FOR NATURE TOOLKIT	RARE BIT	A toolkit from Rare and BIT on the application of Behavioral Insights.
TEST	BIT	Implementation framework: Target, Explore, Solution, & Trial.
COM-B SYSTEM	SUSAN MICHIE, LOU ATKINS & ROBERT WEST	The Behaviour Change Model focusing on Capability, Opportunity, Motivation and Behavior

ANNEX 3:
TEMPLATES

TEMPLATE 1. SUMMARY TABLE FOR LITERATURE
 AND DOCUMENTATION REVIEW

Document title	Year	Author	Location of interest	Population of interest <i>Demographic characteristics</i>	Main points <i>Main or noteworthy findings</i>	Barriers <i>Barriers and motivations to the behavior(s) of interest</i>
Closing the Gender Gap in Natural Resource Management Programs in Mexico	2018	World Bank	Chiapas and Yucatan, Mexico	Indigenous people, mainly women living with a partner and with children.	Women face structural and behavioral challenges when accessing NRM programs	• Inaccessible communication channels • Information and cognitive overload

- COMMENTS:
1. Most relevant findings
 2. Consistencies and inconsistencies within the literature
 3. Gaps in the literature

TEMPLATE 2. STAKEHOLDER MAP

Name of the stakeholder Local government, funding agency, NGO, technical or top specialist, local leader, population representative, researcher	Type of stakeholder Expert, funder, formal collaborator, informal collaborator	Contact person If available and relevant	Contact information Phone number, email, address	Responsibility or role
Joyce Guantollo	Expert	Joyce Guantollo	joyce@researcher.com	Key local researcher and expert in qualitative methods

OPTIONAL COLUMNS:

1. **Influence** level, or power to change/affect the diagnostic;
2. **Interest** level, or the desire to know, learn, and/or participate in the diagnostic; and
3. Relationship with other stakeholders, or level of coordination and cooperation

TEMPLATE 3. POLICY MAP

Policy <i>Policy, law, national plan, regulation, intervention, or program</i>	Time frame <i>Expert, funder, formal collaborator, informal collaborator</i>	Institutions <i>If available and relevant</i>	Description <i>Objectives and activities</i>	Relevance for the diagnostic
Program: Hariyo Ban II	2016-2021	Funding agency: USAID Implementing agency: WWF, CARE Nepal	Provide vocational skill-based training and support to get council for Technical Education & Vocational Training accreditation	Targets population of interest and has features similar to the programs of interest

OPTIONAL COLUMNS

- Strengths: list of positive elements, design features or consequences of the policy
- Weaknesses: list of positive elements, design features or consequences of the policy

TEMPLATE 4. DESCRIPTIVE STATISTICS FOR DATA ANALYSIS

Variable	N	SD	Min	25 th percentile	Median	Average	75 th percentile	Max
Time the participant spends on household activities								

TEMPLATE 5. NOTE TAKING FORM FOR FGD AND INTERVIEW

NOTE-TAKING FORM	
Archival #: FGD/Interview type: Site: Date: Facilitator/Interviewer: Assistant:	Start time: End time: Number of participants:

Seating chart (FGDs only):

Before starting the discussion, make a seating chart indicating each participant’s location and their identifiers. Use this chart to identify speakers as you take notes.

Question (# or key words)	Responses	Additional observations

TEMPLATE 6. FGD DEBRIEFING FORM

FGD DEBRIEFING FORM

Archival #:

FGD category/type:

Site:

Date:

Facilitator:

Assistant::

Start time:

End time:

Number of participants:

This form should be completed by all members of the team who were present during the discussion, including the facilitator and the assistant.

Q1. Environmental and contextual barriers

- Main themes and codes identified by the team (no comments or personal opinions);
- Participants' non-verbal language and/or team members' comments/thoughts/perceptions; and
- Similarities to and/or differences from other FGDs, including suggestions for future FGDs (e.g., questions to ask, topics to explore).

TEMPLATE 7. EXAMPLE OF CODING TABLE

		FGD with female beneficiaries of forestry programs	Semi-structured Interview with a female non-beneficiary
Topic 1. Mental models	1.1. Women’s role in the community	<i>“Women take care of the children while bringing the bread to the table”</i>	<i>“I spend most of my time looking after my kids”</i>
	1.2. Men’s role in the community		
	1.3. Reasons for differences in roles		