

## Appendix 2: Survey filter, FPIC and statement of consent

### **FILTER**

Good morning (or good afternoon). My name is \_\_\_\_\_ (enumerator's name) and I work for CATIE University in Turrialba, Costa Rica and Conservation International, a US non-profit organization, in the CASCADE project. We are doing a survey about crop management and situations faced by farmers, but first, I would like to know some things about you, for the research we are doing. Please answer only if you want.

a. **Are you the head of the household?**

[ 1 ] **Yes** (*Go to b*)

[ 2 ] **No** (*Ask if the head of the household is around and if s/he could be interviewed. Ask if you can come back later to interview the head of the household*)

*(If the household head is around and can be interviewed, start the interview with him or her from the beginning)*

b. **Do you consider yourself a producer of the following products?**

[ 1 ] **Corn**

[ 2 ] **Beans**

[ 3 ] **Coffee**

*(If the answer is NO to all of the crops, stop the filter and read the following: To conduct this survey, we are looking for heads of households that are smallholder producers of coffee or basic grains, and that have been living in the area for at least 10 years. You and your household are not in the group of possible interviewees, because those characteristics have not been filled. Therefore, we are going to end the interview here. Thank you for your time.)*

*(If answered coffee in b, go to c)*

c- **Regarding the coffee you produce, do you sell all of it or at least a part of what is produced?**

[ 1 ] **Yes**

[ 2 ] **No**

*(If the answer is not, stop the filter and read the following: To conduct this survey, we are looking for heads of households that are smallholder producers of coffee or basic grains, and that have been living in the area for at least 10 years. You and your household are not in the group of possible interviewees, because those characteristics have not been filled. Therefore, we are going to end the interview here. Thank you for your time.)*

*(If the answer is yes to at least one of the crops, go to d)*

**d. Do you have at least 5 ha of land?**

**[ 1 ] Yes**

**[ 2 ] No**

*(If the answer is not, stop the filter and read the following: To conduct this survey, we are looking for heads of households that are smallholder producers of coffee or basic grains, and that have been living in the area for at least 10 years. You and your household are not in the group of possible interviewees, because those characteristics have not been filled. Therefore, we are going to end the interview here. Thank you for your time.)*

*(If the answer is yes, go to e)*

**e. Have you lived in this area for at least 10 years?**

**[ 1 ] Yes**

**[ 2 ] No**

*(If the answer is not, stop the filter and read the following: To conduct this survey, we are looking for heads of households that are smallholder producers of coffee or basic grains, and that have been living in the area for at least 10 years. You and your household are not in the group of possible interviewees, because those characteristics have not been filled. Therefore, we are going to end the interview here. Thank you for your time.)*

*(If the answer is yes, go to f)*

**f. Are you older than 18 years? (ask "are you older than 21?" for Honduras)**

**[ 1 ] Yes**

**[ 2 ] No**

*(If the answer is not, stop the filter and read the following: To conduct this survey, we are looking for heads of households that are smallholder producers of coffee or basic grains, and that have been living in the area for at least 10 years, and are over the legal age in the country<sup>1</sup>. You and your household are not in the group of possible interviewees, because those characteristics have not been filled. Therefore, we are going to end the interview here. Thank you for your time.)*

*(If the answer is yes, go to the next section)*

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<sup>1</sup> Legal age is 18 years in Costa Rica and Guatemala, 21 years in Honduras

## **FREE, PRIOR AND INFORMED CONSENT<sup>2</sup>**

### **INVITATION AND PURPOSE**

**We want to make a survey to help us understand the management of your crops and how farmers face difficult situations that arise from time to time on a farm.**

### **BENEFITS:**

**Your participation in this survey is very valuable to us and in return for your time we will be giving you a gift certificate for a value of \$15 (or equivalent in local currency) in a local store. Furthermore, the results of this study will be presented at a location near your community so we all learn about what we have studied.** Also, we will share the results with policy makers and NGO's, especially those related to the problems farmers face every day, who can use this information to improve the community. We also expect to produce training materials for extensionists working in your community.

### **RISKS, INCONVENIENCES AND DISCOMFORTS:**

**We estimate that the survey will take an hour and a half. You decide where it is more comfortable that we carry it out, in your home or on your farm.**

### **PROCEDURE**

During the interview, we will be asking questions about the composition of your household, the characteristics of your home, your farming practices, problems with your crops, and marketing activities. **Your participation is voluntary. At any time you can choose not to answer a question or to end the survey.**

### **PRIVACY AND CONFIDENTIALITY:**

It is also important that you know that your answers will be saved and used to generate results. The results will be general, so that it will be impossible to know your specific answers from the results. Also, **your answers will not be shared with anyone outside of the research team.** In ten years, all the answers will be deleted.

**My supervisor, Dr. Federico Castillo, might want to contact you if any doubt arises with the survey. It is also possible that another team from our project contacts you to characterize production systems on your farm. For this reason, we include your name and phone number on the survey. Your name,**

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<sup>2</sup> In order to make consent clear and significant to possible participants, it is pivotal in our case to use concise, adequate language that is meaningful to the subject. Simplification of language is due to that fact; technical words, especially related to information and computers, are not part neither of colloquial language nor of the everyday life of the farmers in the target population. We are making our best to respectfully explain all the steps to these local farmers.

phone number or other information that could be used to locate you will never be shared with anyone outside the project. Your name, your household members' first names and your phone number will be removed from the data in 6 months.

Do you have any questions? (provide answers to the questions if they arise)

If you were to have other questions later, you may contact the project leaders. On this card are contact details.

[ GIVE CARD 1, 2, or 3 depending of the country; this is FOR THE RESPONDENT TO KEEP, see table 1]

**If you have any complaints about the survey, you may either contact the project leaders at the contact details contained on the card or make an anonymous complaint using the website in the card, or the CI phone numbers indicated there.**

**Table 1.** Detail of website and local numbers in the contact card that respondents received. Design is not considered here.

**Card 1: contact data in Costa Rica**

You can contact the project coordinator, Milagro Saborío at phone (506)-2556-2623. You can also reach her in the e-mail msaborio@catie.ac.cr. Additionally, you can call the Institutional Review Committee of Conservation International, in the United States at: +1 703-341-2400. Complaints can be filed at <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>, or dial 0-800-011-4114, dial 866-294-8674 and say "español".

**Card 2: contact data in Guatemala**

CATIE office in Guatemala City, Guatemala: phone ((502) 2366-2650). Through this, you can contact the project coordinator, Milagro Saborío. You can also reach her in the e-mail msaborio@catie.ac.cr or phone (506)-2556-2623, in Costa Rica. Additionally, you can call the Institutional Review Committee of Conservation International, in the United States at: +1 703-341-2400. Complaints can be filed at <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>, or dial 999-9190, dial 866-294-8674 and say "español".

**Card 3: contact data in Honduras**

CATIE office in Tegucigalpa, Honduras Phone: (504) 2235-6609. Through this, you can contact the project coordinator, Milagro Saborío. You can also reach her in the e-mail msaborio@catie.ac.cr or phone (506)-2556-2623, in Costa Rica. Additionally, you can call the Institutional Review Committee of Conservation International, in the United States at: +1 703-341-2400. Complaints can be filed at <https://secure.ethicspoint.com/domain/media/en/gui/10680/index.html>

**Now I must ask you: are you willing to participate in the survey?**

*( If yes , proceed to sign the DECLARATION OF CONSENT)*

*( If the answer is no, read next line)*

**I understand you do not want to participate. Is there anything else I can tell you about the purpose or content of the survey?**

*( If the answer is still no, read the next line )*

**Okay, thanks for your time.**

**( Leave the place and leave a note on your list stating that this home declined to participate. Continue to next household)**

## STATEMENT OF INFORMED CONSENT FOR HOUSEHOLD SURVEY

\_\_\_\_\_ has been informed of the nature and purpose of the procedures described above, including any risks to do it. S/he has been given time to ask any questions, and these questions have been answered in the best possible way by the interviewer. (*enumerator: provide a copy of the consent form to the interviewee*)

Signature of interviewer: \_\_\_\_\_ Date: \_\_\_\_\_

### Written or oral consent

I have been informed of this study, the potential risks, benefits and discomforts. I hereby declare that I agree to take part in this research. I acknowledge that my participation is voluntary and that I am free to withdraw my consent and discontinue participation at any time. I also know that I can skip any questions if I do not wish to answer.

I understand that the information collected will only be used by CI and CATIE researchers, and they can only use my information for the purposes of this study.

Signature of interviewee: \_\_\_\_\_ Date: \_\_\_\_\_

Witness oral consent: \_\_\_\_\_ Date: \_\_\_\_\_

*To be completed before the survey. The survey cannot be carried out unless this form is completed.*