CONSULTATIONS WITH THE POOR:

METHODOLOGY GUIDE FOR THE 20 COUNTRY STUDY

FOR THE WORLD DEVELOPMENT REPORT 2000/01

Poverty Group
Poverty Reduction and Economic Management Network
The World Bank

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Preface

This study is part of a global research effort entitled *Consultations with the Poor,* designed to inform the *World Development Report 2000/1 on Poverty and Development.* The research involved poor people in twenty-three countries around the world. The effort also included two comprehensive reviews of Participatory Poverty Assessments completed in recent years by the World Bank and other agencies. Deepa Narayan, Principal Social Development Specialist in the World Bank's Poverty Group, initiated and led the research effort.

The global *Consultations with the Poor* is unique in two respects. It is the first large scale comparative research effort using participatory methods to focus on the voices of the poor. It is also the first time that the World Development Report is drawing on participatory research in a systematic fashion. Much has been learned in this process about how to conduct Participatory Poverty Assessments on a major scale across countries so that they have policy relevance. Findings from the country studies are already being used at the national level, and the methodology developed by the study team is already being adopted by many others.

We want to congratulate the network of 23 country research teams who mobilized at such short notice and completed the studies within six months. We also want to thank Deepa Narayan and her team: Patti Petesch, Consultant, provided overall coordination; Meera Kaul Shah, Consultant, provided methodological guidance; Ulrike Erhardt, provided administrative assistance; and the Institute of Development Studies, University of Sussex provided advisory support. More than a hundred colleagues within the World Bank also contributed greatly by identifying and supporting the local research teams.

The study would not have been possible without the generous financial support of the U.K. Department for International Development (DFID), numerous departments within the World Bank, the Swedish International Development Agency, MacArthur Foundation and several NGOs.

The completion of these studies in a way is just the beginning. We must now ensure that the findings lead to follow-up action to make a difference in the lives of the poor.

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Dear Study Partners:

It is with pleasure that I send to you the methodology Process Guide for the *Consultations with the Poor* study. Thank you for taking on this challenging assignment. Along with the local study teams in some twenty other countries, your research will comprise a major input to the Bank's *World Development Report 2000/01 on Poverty and Development*.

We hope you find the Guide to be a useful companion as you explore the perceptions, experiences, hopes and fears of poor women and poor men in your country. The Guide covers the entire study process, providing guidance on the study issues and methods, management of the study teams and fieldwork, and documentation and synthesis of site and national reports.

As this is a comparative study, we request that you work closely within the framework of the core themes, methods and reporting formats presented in the Guide. We fully appreciate, however, that the best open-ended and participatory field research is well tailored to local contexts and very dynamic – with study teams adapting in an iterative fashion to the learning and sometimes unpredictable (and exciting) turn of events that arise during fieldwork. As such, the Guide offers suggestions to the study teams on how to approach communities, form small group discussions with poor people, raise topics, and use terms, etc. etc., in ways that are locally meaningful and appropriate. Also important, as patterns begin to emerge and certain issues appear more important than others, feel free to spend more time exploring these issues in depth, and less time on the other areas.

In addition to contributing to the *WDR*, it is our hope that your work can be useful to national and local activities. In some cases, the studies are tied to World Bank projects or policy studies and dialogue; in other countries, NGOs plan to use the study to contribute to their own field programs, research or advocacy initiatives. We invite you to consider how best such linkages might be maximized as you design, conduct, and disseminate your work.

We have set 7-11 June 1999 for a global synthesis workshop. We will be inviting the study leader from each of the participating countries to present their national reports. We will also work collectively at the workshop to frame the key messages for the global synthesis report. More on this will follow.

Please do not hesitate to contact me or Patti Petesch, the Study Coordinator, at 202-473-5487 (or ppetesch@worldbank.org) with any questions or concerns you may have.

Good luck!

Sincerely,
Deepa Narayan
Study Team Leader & Principal Social Development Specialist
Poverty Group, Poverty Reduction and Economic Management Network

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Acknowledgements

This guide has been prepared by Meera Kaul Shah, Consultant, under the overall supervision of Deepa Narayan, Team leader, *Consultations With the Poor* Study. This guide has been developed on the basis of several rounds of discussions, both within and outside the World Bank. Other than the discussions held with Bank staff and members of the *World Development Report* – 2000/01 *(WDR*) team, the content and scope of the study as well as the methodology were discussed at two workshops with representatives from the Institute of Development Studies (IDS) several NGOs, the U.K. Department for International Development (DFID), and other individuals. The first workshop was held in New Delhi at the World Bank in September 1998 and the second at IDS, UK in December 1998. A draft methodology outline was piloted in Thailand, Sri Lanka, Bolivia, and India. We are grateful to Anchana Naranong, Chamindra Weerackody, Fernando Dick and James Mascarenhas for sharing their experiences from the pilot studies, and we thank the other participants at the New Delhi and IDS workshops for their useful inputs. In addition, useful comments on drafts of the Guide were provided by Karen Brock, Robert Chambers, John Clark, Nora Dudwick, Chris Grootaert, Kinuthia Macharia, Andy Norton and Patti Petesch.

We would like to express our appreciation to DFID for providing financial support for this study. In addition, several departments in the Bank and many NGOs and research institutes in the participating countries are contributing substantial resources towards making it possible to carry out the study across some twenty countries.

1. How to use this Process Guide

This guide is intended for country teams carrying out the *Consultations With the Poor* study for the *WDR* 2000/01. All members of the study teams should have their own copy of this process guide, so that they can refer to it whenever they need to do so.

It is best to first read the complete document, from cover-to-cover, in order to understand the scope and content of the study. Once all the team members have read the guide, the team leader should facilitate a discussion on its contents in order to ensure that all the team members have a shared understanding of the task and the desired output.

Section 2 gives the background to this study and how it fits with the *WDR* 2000/01. Sections 3 and 4 describe the process and the time frame for the study. The main issues being explored in the study are listed in Section 5. A checklist of detailed issues, and the methods that can be used to analyze them in the field, is given in Section 6. Team members may find it useful to carry a copy of Section 6 with them to the field. The field methodology is detailed in Section 7. Preparation required for fieldwork is discussed in Section 8. Section 9 describes the fieldwork process. Notes on documentation and the synthesis process, and the reporting formats are given in Section 10. Some important points to remember are listed at the end, in Section 11.

It is important to mention at the outset that what we are attempting in this study is rather complex. While it will be relatively easy to carry out the fieldwork and facilitate discussions with the communities, the task of putting all the information together and synthesizing the results from multiple sites in 20 countries will be a challenge. It is therefore important that all the study teams follow the steps and the process outlined in this guide, so that the approach and themes remain common across countries. This is crucial to enable some comparability of results. While the study teams are free to decide their own sequences, and devise their own adaptation of the methodology outlined in this guide, it should be ensured that we do not lose sight of the thematic focus of the study. Teams should use the methods and reporting formats provided in this guide. Additional issues, related to the core themes of this study, can be added to the research agenda. However, it is not possible to provide additional resources for this purpose.

2. About the 20 country study and *WDR* 2000/01

2.1 Background

The World Bank's *World Development Report* (*WDR*) 2000/01 will be on Poverty and Development. This follows the practice established in 1980 and 1990 of preparing a major report every decade on poverty. The *WDR* enjoys a high profile in the global development community. The 1990 *Report's* messages on strategies for poverty reduction continue to provide an important conceptual framework for the development policies and programs of the World Bank as well as for other official and private development agencies worldwide. The 1990 strategy advanced policies that promote broad-based labor intensive growth, investment in human capital, and the provision of safety nets for those unable to share in the benefits of growth.

The *WDR* 2000/01 presents an opportunity to revisit the World Bank's poverty reduction strategy in light of recent development experience and future prospects. There is now greater recognition that indicators of well-being must be multidimensional. In discussing poverty and inequality, therefore, alongside the standard and important measures based on the levels of income and consumption have to be put other measures which reflect such dimensions as health and education, vulnerability and risk, crime and violence, and other factors highlighted by the poor themselves as being important. Moreover, not only must the measurement of the standard of living go below the level of the household to investigate the conditions facing women and children, it must also go above the household level to take into account community level considerations.

Among the core themes that the *WDR* will explore is opportunity, empowerment and security. The global evolution of technology, trade and political systems means that the world stands on the brink of extraordinary opportunity for development and poverty reduction over the next twenty years. However, the extent to which the fruits of development are broadly shared is a complex matter, depending on economic, social, political, demographic, environmental, institutional and policy factors. The other side of the coin of extraordinary opportunity, and linked to these very same processes, is the risk of increased inequality, increased vulnerability, social exclusion and marginalization of different groups, and social dissolution. These risks are present at the international, national, sub-national (regional and ethnic), community, household and individual levels.

The purpose of the *Consultations With the Poor* study is to enable a wide range of poor people in diverse countries and conditions to share their views in such a way that they can inform and contribute to the concepts and content of the *WDR 2000/01*. The poor are true poverty experts. Hence a policy document on poverty strategies for the 21st century must be based on the experiences, priorities, reflections, and recommendations of poor people, men and women.

Consultations With the Poor will provide a micro-level perspective of poor people's own experiences of poverty and responses to it – illuminating the nature of risk and vulnerability, for example, and the local processes that shape whether poor women, men and children share in or are excluded from development.

The *Consultations With the Poor* study has two components. First, there will be a major effort to review and synthesize completed participatory poverty assessments (PPAs) and other relevant World Bank and external studies that use participatory and qualitative methods to explore the poor's perceptions. The methodologies used in these studies have varied from country-to-country and even study-to-study within the same country. Despite this, they have revealed striking commonalties in the experience of poverty.

Second, and to which this guide is directed, a new study in about 20 countries, also using participatory and qualitative research methods, will be undertaken on a narrowly focused set of issues (see section on Thematic Focus below). Some of these issues have been addressed in prior research; however, they are of central importance to the *WDR 2000/01* and the new study will enable greater comparability of findings.

The study design is firmly rooted in the open-ended tradition of participatory and qualitative research tools. This approach explicitly encourages study teams to explore key issues that emerge by country, culture, social group, gender, age, occupation or other dimensions of difference of local importance. New and old study tools will be used to uncover and understand the perspectives and insights of the poor, enabling them to express and analyze their realities, with outsiders playing a facilitating role.

2.2 Guiding Principles for the 20-Country Comparative Study

A) Enable Local People To Serve as Partners in Data Collection and Analysis.

Participatory and qualitative field methods have been developed to enable poor people to define, describe, analyze and express their perceptions of the study topics (see section on Thematic Focus below), including their complexities and dynamics. The methods are designed to stimulate rich interactions among the participants. For such exchanges to occur, a learning environment needs to be fostered where sensitive issues, attitudes and behaviors can be discussed openly and where there is real interaction among the participants. Study teams will need to create a flexible and relaxed environment and enable the participants to share control over the process of gathering and documenting their views and experiences.

B) Link Fieldwork to Ongoing Development Activities and Policy Analysis.

As far as possible, new or existing World Bank, or other donor, government, or NGO projects or policy work, or studies should be underway in the countries and poor communities that participate in this study. This linkage will help to ensure that the findings gained over the course of the study feed into action at the country and community levels and do not stand alone as inputs into the *WDR*.

C) Apply Sampling Framework with Geographic Representation and Diversity.

As discussed in detail below, the sampling process will take place at the regional, country and local levels. At the regional and country levels, countries will be chosen opportunistically within different regions for a total of 20 countries. Within country, a total of 10 to 15 study sites will be selected in communities, neighborhoods or groups in rural villages and cities.

D) Adopt a Strong Post-Research Dissemination Effort.

The study teams will share the study findings, and the site reports, with the communities which participated in the study. In addition, the country synthesis reports will be available to local public, private and civil society leaders. Such communication processes can serve to raise awareness of local poverty issues and build partnerships for future activities.

E) Use Local Research Networks.

The study will help to strengthen local capacity for participatory and qualitative research by hiring and training local experts where possible to conduct the country studies. In addition, regional and global workshops will provide opportunities for study team leaders to network with their counterparts from other countries.

F) Link to quantitative poverty assessment.

Preference will be given to countries where a recent poverty assessment has been completed to contextualize the findings.

3. Overall Study Process

The data gathering, analysis, and synthesis of information for *Consultations With the Poor* will be carried out in the following stages:

i) The study teams will be identified and receive an orientation and training (where needed) in the study topics, methods and reporting formats.

ii) The primary collection of information and analysis of poor people's well-being and the other study topics will be carried out by the participating communities and groups themselves, with the members of the study team serving as facilitators.

iii) The information generated by a group or community will be synthesized in a site report to be prepared by the study team. A site report will be disseminated back to the community to verify the findings and to support local development processes. A site report, which follows the reporting format in the process guide, will be typed by the study team and made available to the study secretariat at the World Bank.

iv) The information from the different sites and groups in a country will be synthesized during country-level synthesis workshops and presented in country. The country reports will also be available to local public, private and civil society leaders.

v) The country reports will be presented at an international synthesis workshop. The country reports and the proceedings from the synthesis workshop will be the basis for preparing a synthesis report that will be used as input for the *WDR 2000/01*. The global synthesis report, which will also draw on the secondary literature review, will be presented to the *WDR* 2000/01 team.

vi) A book will be prepared for more in-depth examination of the study topics, and may be organized along a geographic and/or thematic basis.

4. Timetable

The following table gives the timetable for the *Consultations With the Poor* Study.

Timetable
Consultations With the Poor

1998		
	August - December	Research Methodology Development and Study Launch
1999		
	January - February	Country identification Identify and Orient/Train Study Teams
	February – April	Fieldwork
	March – May	Prepare country synthesis reports
	April - June	National and Global Synthesis Workshops and Dissemination
	June - July	Preparation of Global Synthesis Report
	September	Workshop for *WDR* Team & Others
	December	Finalize Book and Related Publications

5. Thematic focus: Overview of issues to be covered

There are four main themes for analysis in this study:

5.1 Exploring Well-being

The concept of well-being is broader than poverty which is usually considered as linked only to economic criteria. The challenge in this issue is to understand people's definition of well-being, what kinds of factors do they include in their definitions of well-being and some discussion around pre-determined categories of critical importance to the study. There are three broad questions that need to be explored:

A) How do people define well-being or a good quality of life and ill-being or a bad quality of life?

B) How do people perceive security, risk, vulnerability, opportunities, social exclusion and crime and conflict? How have these conditions changed over time?

C) How do households and individuals cope with decline in well-being and how do these coping strategies in turn affect their lives?

5.2 Priorities of the poor

This study aims to bring out people's perception of their problems and concerns along with their prioritization. Specific issues to be covered include:

A) Listing of problems faced by the different groups (i.e. according to age, gender, social hierarchy and economic well-being) within the community, and identifying the problems faced by the poor

B) Prioritization of problems, in terms of the most pressing needs of the different groups

C) Have these problems changed over the years or have they remained the same? What are people's hopes and fears for the future?

5.3 Institutional analysis

This section aims to understand the role that different institutions play in different aspects of people's lives. Specific issues to explore include:

A) Which institutions are important in people's lives?

B) How do people rate/assess these institutions?

C) Do people feel that have any control or influence over these institutions?

D) Which institutions support people in coping with crisis?

5.4 Gender relations

This thematic focus attempts to understand whether there have been any changes in the gender relations within the household and the community. Specific issues include:

A) What are the existing gender relations within the household? Are women better or worse-off today: 1) as compared to the past and, 2) as compared to men?

B) What are the existing gender relations within the community? Are women better or worse-off today: 1) as compared to the past and, 2) as compared to men?

C) Are there differences in gender relations among different groups within the community?

6. Checklist of Issues and Methods

The following check-list gives the detailed list of issues to be covered under the thematic focus mentioned in the previous section along with a menu of methods that can be used to analyze them. These methods are discussed in the next section.

NOTE: Many terms and concepts used in this checklist are meant for our (e.g., the researchers) understanding of the issues being explored. Since most of these terms do not translate easily into local languages, care needs to be taken while introducing them. Terms like vulnerability, risk, social cohesion, security, social exclusion, etc. are meant for our understanding of the issues, and should not be introduced in the field as such. The set of questions or issues listed under each of these sub-topics are meant to help in exploring these concepts without having to use the difficult terminology.

Themes and Issues	Methods
1. Exploring well-being	
1.1 *How do people define well-being or a good quality of life and ill-being or a bad quality of life?* **A)** Local definitions of well-being, deprivation, ill-being, vulnerability and poverty. Since these terms do not translate easily in local languages, it is better to start by asking the local people for their own terminology and definitions that explain quality of life. <u>Local terminology and definitions must be included in the analysis.</u> Different groups within the same community could be using different terms or phrases for the same subject. All of these need to be recorded. **B)** A listing of criteria, on the basis of which households or individuals are differentiated and placed in different well-being groups/categories. **C)** Different well-being groups/categories of households/individuals, as identified by the local people. Allow the community to come up with their own categories. Do not impose ideas. There is no fixed number of categories that a community can come up with. Usually these vary between three-to-six categories, but could be more. Characteristics (or criteria) of individuals/households in each of these categories should be clearly recorded. **D)** Proportion of households/individuals in each of	Focus Group Discussions (FGD) Well-Being Ranking Scoring

these categories. This could be exact numbers or indicative scores (out of 100, or any predetermined fixed maximum score). This will give an idea about the proportion of poor or deprived people in a community.	
1.2 How do people perceive security, risk, vulnerability, opportunities, social exclusion and crime and conflict? How have these changed over time? Having discussed people's definition of well-being and poverty/ill-being, we need to introduce some discussion around four pre-determined categories of critical importance to the study. These include: • Risk, security, and vulnerability • Opportunities and social and economic mobility • Social exclusion • Social cohesion, crime, conflict, and tension The following themes and issues need to be explored in depth to understand the different aspects of well-being: **A) Risk, security and vulnerability** -Does (in)security figure in people's definition of well-being? -How do people define security? -Are some households secure and others insecure? How do they differentiate between the two? -What makes households insecure or at greater risk? -Has insecurity increased or decreased? Why? -What are the main kinds of shocks that people have faced? -Are some individuals/households more insecure than others in the same community? -Are some people better able to cope with sudden shocks to sources of livelihoods? Why and how? **B) Opportunities, social and economic mobility** -Do people feel that opportunities for economic and social	Follow-on discussions from the above visual analysis FGD FGD following the Analysis of Trends in Well-Being Causal-Impact analysis

mobility have increased? Decreased? Why and for whom? -What are the consequences of these changes? -Who or which group(s) has benefited the most? Which groups have been unable to take advantage of opportunities or have been negatively affected? Why? -Is it possible for people to move out of poverty? -What is needed to enable people to move out of poverty? -What needs to change for the poor to have greater economic and social opportunities? Is this likely? **C) Social exclusion** -Are some people/groups **left out** of society, or looked down upon or excluded from active participation in community life or decision making? -Who gets left out, and on what basis? Why? -What is the impact of such exclusion or being left out? -Is it possible for those excluded to ever become included? -What determines the likelihood of this change? -Are there differences in power between those included and excluded? -What makes some people powerful and others not? **D) Social cohesion, crime, conflict** -How do people define social cohesion? -Is there more or less social unity and sense of belonging than before? Why? -Is there more or less crime and conflict than in the past, or has it stayed the same? Why? -Are there tensions or conflicts between groups in the community? Which groups? Why? -Have inter-group conflicts increased or decreased? Why? How?	

-Does anyone benefit from the increased violence? Can the situation be changed? How?	
1.3 How do households and individuals cope with decline in well-being and how do these coping strategies in turn affect their lives? **A)** Whether there have been any changes in the number and types of well-being categories, and/or whether the proportion of people/households in each of them has increased/decreased over the last ten years. **B)** Whether the criteria for determining the categories has changed over the years. **C)** What has changed? What caused the changes? How has it impacted the lives of the people? Have people become better or worse-off? Is there a "typology of deprivation" – sudden, seasonal, structural, cyclic, chronic? **D)** How have people coped with these changes? **E)** Are there any foreseeable changes in future? What and how?	FGD Well-Being Ranking Trend analysis Scoring
1.4 Individual case-studies In-depth discussions/interviews with: -one poor woman -one poor man (Or one poor man or woman who has fallen into poverty) -one poor young man/woman -one woman who used to be poor and has moved out of poverty -one man who used to be poor and has moved out of poverty	In-depth interviews with individuals or households

2. Problems and priorities	
2.1 Listing of problems faced by the different groups within the community, and their prioritization.	FGD Listing Ranking Scoring
2.2 Are there differences in problems and priorities being experienced by different groups of people within the community (i.e. according to age, gender, social hierarchy and economic well-being)? Identify the problems faced by the poor.	FGD Listing Ranking Scoring
2.3 Have these problems changed over the years or have they remained the same? What are people's hopes and fears (visions) for the future?	FGD Listing Ranking Scoring Trend analysis
2.4 Which of these problems do the people think they can solve themselves and which do they require external support?	FGD
3. Institutional analysis	
3.1 Which institutions are important in people's lives? **A)** What are the most important formal, informal, government, non-government, market institutions within or outside the community that influence people's lives positively or negatively? Why are these judged to be important? Are there any gender differences? **B)** Which government and non-government institutions have the most positive or negative impact on men and women? Why? Give examples of people's experiences. Are there any gender differences?	FGD Listing Scoring
3.2 How do people rate these institutions? **A)** How do people rate these institutions in terms of trust and confidence that they place on them? Why? Give examples of why people rate	FGD Listing Scoring

particular institutions high or low? Are there any gender differences? **B)** How do the people rate the effectiveness of these institutions? What factors do they consider to judge effectiveness? Give examples. Are there any gender differences? Explain.	
3.3 Do people feel that have any control or influence over these institutions? **A)** Which institutions do the people think they have some influence over? **B)** Which institutions would they like to have more control and influence over? **C)** Do some people/groups have some influence over these institutions and others are left out? Who gets left out? **D)** Profile two institutions in some depth.	Scoring Ranking FGD 2 Mini Institutional Profiles
3.4 Coping with crisis This issue deals with understanding safety nets, informal or formal insurance or availability and outreach of government programs. **A)** During times of financial/economic crisis, because of loss of property, jobs, or livelihood, poor crops, disease, environmental crisis, or poor health or death, how do people cope? What do they do? How do these affect their lives? **B)** What institutions, formal or informal, do people turn to during times of financial crisis? **C)** Do they mention any government programs? Give details. **D)** Are these programs reaching them? **E)** What are their recommendations for change or improvement or new programs if none exist? **F)** What features should this program have?	FGD

G) Do they mention any NGO programs? **H)** Do they mention any informal social networks? **I)** Are there any gender differences? **J)** If almost everyone in the community is affected by some event (e.g. floods, droughts, or earthquake), how does the community cope?	
4 Gender relations	
4.1 Are women better or worse–off today as compared to the past? Are there any changes in: **A)** Women's and men's responsibilities within the household? Why? **B)** Women's and men's responsibilities in the community? Why? **C)** Women's and men's role in the decision-making process within the household? Why? **D)** Women's and men's role in the decision-making process in the community? Why? **E)** Violence against women within the household? Why? **F)** Violence against women within the community? Why? **G)** Do women feel they have more/less power today (with their definition of power)? Why?	FGD Scoring Trend analysis
4.2 Are there differences in gender relations among different groups within the community? **A)** Are some women better-off than other women in the same community (with their definition of better-off)? **B)** Have the changes in gender relations been different for different groups of women in the community?	FGD

7. Methodology outline

This section details the methodology for analyzing the issues detailed in the check-list given in Section 6. The methodology is outlined separately for each of the four main topics. However, as experienced practitioners of participatory research methodology know, it will not be appropriate to analyze each topic in isolation at the field level. Since these four topics are very much inter-linked, discussions can go back and forth between topics. Therefore, it is advised that the methodology suggested here should not be understood as the "sequence" to be adopted during fieldwork.

Some examples, using the methods discussed in this section, have been selected from earlier PPAs and are given in Annex 2.

7.1 Exploring well-being

Key themes

1. How do people define well-being or a good quality of life and ill-being or a bad quality of life? How have these changed over time?

2. How do people perceive security, risk, vulnerability, opportunities, social exclusion and crime and conflict? How have these conditions changed over time?

3. How do households and individuals cope with decline in well-being and how do these coping strategies in turn affect their lives?

Issues being explored

1.1 How do people define well-being or a good quality of life and ill-being or a bad quality of life?

A) Local definitions of well-being, deprivation, ill-being, vulnerability and poverty. Since these terms do not translate easily in local languages, it is better to start by asking the local people for their own terminology and definitions that explain quality of life. Local terminology and definitions must be included in the analysis. Different groups within the same community could be using different terms or phrases for the same subject. All of these need to be recorded.

B) A listing of criteria, on the basis of which households or individuals are differentiated and placed in different well-being groups/categories.

C) Different well-being groups/categories of households/individuals, as identified by the local people. Allow the community to come up with their own categories. Do not impose ideas. There is no fixed number of categories that a community can come up with. Usually these vary between three-to-six categories, but could be more. Characteristics (or criteria) of individuals/households in each of these categories should be clearly recorded.

D) Proportion of households/individuals in each of these categories. This could be exact numbers or indicative scores (out of 100, or any predetermined fixed maximum score). This will give an idea about the proportion of poor or deprived people in a community.

A) Starting the discussion

There are different ways in which this analysis can be initiated with a group in the community. One or a mix of the following can be tried:

1) Start with a transect walk[1] in the community. This can provide a starting point to discuss differences among individuals, households and groups in a community.

2) Start with asking questions like: "Are there any differences among the individuals/households in this community?" or "In what ways do households differ from each other in this community?" or "What is good/bad life?" Then go on to discuss the criteria on the basis of which individuals/households are differentiated.

3) Start by asking the group to reflect whether there have been any changes noticed in the community over the last ten years (or any other time frame that suits the context). What has changed? Has the change impacted all the households the same way or are there differences? Why is it that some households experience the change in a different way as compared to others? This should lead into discussion of differences amongst households and should generate the criteria on the basis of which these comparisons are made.

4) The discussion can also be initiated by asking the group to draw pictures (sketches) of well-being and ill-being, leading to discussion on the criteria for differentiation.

[1] Transect is a structured walk through an area. The facilitators walk with, and are led by, some local residents. The objective of the transect is to walk through different parts of the settlement in order to observe the diversity that exists in the area. Usually the route is decided before starting on the walk. This walk provides an excellent opportunity to meet with different groups of people and to introduce the facilitators and the purpose of their visit.

B) Methods

Six methods are suggested for analyzing issues related to well-being. Some of these can be used as a sequence, e.g. focus group discussion - well-being ranking – scoring – focus group discussion – trend analysis – cause-impact analysis – individual case studies. However, these will vary from site-to-site and group-to-group, depending on how the process evolves in each context.

Group Composition. It is very important to record for each group discussion who participated, the gender and age and some socioeconomic background, such as rich, poor, etc. (Please also refer to section 10.1, p. 40.)

Visual Outputs. Please note that all visual outputs developed from the small group discussions must be appropriately labeled. The visual should have a title, name of the site, names of participants from the community, group composition (men, women, youth, and which category), and an explanatory note at the end about the method used. If numbers are used (as in scoring or ranking), explain what these represent. Similarly retain all the symbols that the participants may have used, but explain what each of them means. Retain local terminology and give translations in English alongside. (Please also refer to section 10.1, p. 40.)

1) Well-being ranking

It is not necessary for this study to carry out a complete well-being ranking exercise in the communities. The whole process of ranking all of the individuals or households in a community is a lengthy one and requires sensitive facilitation[2]. For our purpose it will suffice to:

- identify different well-being groups/categories within a community

- elicit people's criteria for differentiating between the categories

- obtain proportions of people or households in each category

The ranking can be done in different ways.

a) Start with a discussion on the differences among the people in the community and discuss the criteria on the basis of which individuals or households are categorized in different well-being categories/groups. Once the criteria are established, ask the group to identify how many categories they could divide the community into. Having identified the categories, the group can be asked to use scoring to indicate proportions of households (or individuals) in each of them (see section on Scoring below).

b) You could also start by asking the group to first identify the different well-being categories/groups they can divide the community into. Once the categories

[2] If the community is small, e.g. it comprises of about 25-35 households, it is possible to carry out the complete well-being ranking analysis. Also, if the site happens to be within a project area, where the project can use the results from such a detailed exercise in their work, the complete analysis can be attempted.

have been worked out, the group can be asked the basis on which they evaluate the differences (the criteria). Scoring, or working out the proportions in each category, can be undertaken subsequently.

With either approach, you should have the categories, the criteria, and the proportions of people in each category at the end of the analysis. The results from this analysis should be presented in a table like the following hypothetical example:

Well-being categories and criteria for differentiating among them
Village xyz
Analysis carried out by a group of middle-aged poorer women

Category**	**Criteria++**
1 - Happy	1. Have surplus food 2. Have savings 3. Not affected by shocks 4. Have power
2 – Doing well	1. Have surplus food 2. Can withstand shocks
3 – Pulling along	1. Enough food 2. Can send some children to school 3. Have to borrow at times
4 – Facing difficult times	1. Lack of resources 2. Children don't go to school 3. Not able to borrow from anyone 4. Have to go without food sometimes 5. Drunken husbands beat up wives
5 - Miserable	1. Female headed household 2. Children don't go to school 3. Handicapped 4. Lack of proper shelter 5. Have to go without food for days 6. Depend on charity

**List all the categories, and give local terms and definitions used for each one of them

++List all the criteria mentioned for each of the categories

Remember we want to understand people's own categories and criteria. Don't impose your own ideas!

NOTE: With sensitive and open-ended facilitation people usually come up with a well-being analysis rather than a wealth ranking analysis. Well-being can include criteria related to wealth, but it is a much broader description of the quality of life. People often add criteria like – "happy", "unhappy", "ability to provide a good upbringing for children", "trustworthy", "respect", etc., when they carry out a well-being analysis. In some languages, the word for "poor", and the word for "unhappy" are different (e.g. Hindi – "gareeb" for poor, but "dukhi" for unhappy; Swahili - "maskini" for poor, but "kuwa na maisha mambaya ama maovu" for having a bad quality of life). The word "unhappy" is closer to illbeing and more general and inclusive than “poor”. The decision of how to introduce the subject and the terminology to be used is best left to the country teams, as each language has its own expressions, and what may be appropriate in one language is totally inappropriate in another (e.g. the word “happy” in Vietnamese translates as “pleasure”, which is taboo, and should not be discussed).

In several countries, data on well-being or trend analysis is already available from earlier studies of this sort. Please feel free to build on this by presenting the findings to the discussion groups for their comments and reactions. Then proceed on to raise the additional dimensions of well-being (see Section 1.2 of the Checklist of Issues and Methods), if these issues do not come up on their own in the course of the discussions.

2) Scoring

This method will be useful to determine the proportion of households (or people) in each of the well-being categories. If the scoring is carried out on the ground, you will need counters like stones or seeds for the quantification. If the analysis is being done on paper, you can use pens or counters for the scoring.

Once the different categories of households are identified, list them on separate slips of paper and place them in a row. Ask the group to use the counters to show the proportion of people in each category.

The group may start by first deciding the maximum limit out of which the scores will be given (e.g. 100 or 60 or any other figure; avoid using smaller numbers like ten for the maximum as it is difficult to show the proportions when there are several categories). Otherwise, the group may simply start counting and placing the scores, without first deciding the maximum. This is fine, as we can always re-work the proportions to another common denominator.

The finished visual analysis can look something like the following hypothetical example:

Household Categorization and
proportion of households in each category
(Fixed score out of 100)
Village XYZ
Analysis carried out by a group of older men

1. Happy	2
2. Doing well	8
3. Pulling along	38
4. Facing difficult times	46
5. Miserable	6
Total	100

Note: A total of 100 counters were used to show the distribution of households among the different well-being categories.

3) Trend analysis

The use of this method should bring out the changes that have been taking place in the community and people's perception about the future. The use of scoring will be the best for our analysis, however, if that proves to be difficult for some reason the same can be tried with graphs or other diagrams.

Having completed the well-being ranking analysis the group can be asked to discuss whether there have been any changes in the well-being of community members over the last ten years. These changes could include: changes in the number of categories (more or less of them now as compared to the past), the type of categories (whether the criteria have changed), and numbers of households in each of the categories (whether some people have become better or worse-off than before).

Also ask the group whether they perceive any changes in the situation in future and what these changes could be.

The scoring analysis used for the well-being classification can be used to continue this analysis. The following table can be used for this purpose:

Changes in the well-being categories and the proportion of households in each category over the last ten years

Village XYZ

Analyzed by a group of older men

Well-being category	Proportion of households (Scores out of a total of 100) Today	Ten years ago	Remarks**
1	3		
2	5		
3	8	6	
4	36	53	
5	40	41	
6	8		
Total	100	100	

**The remarks should include the details of the change, and an explanation if the number or type of categories is different from the past. Also indicate whether the criteria for categorization have changed.

The above example shows that there are three new well-being categories in the community as compared to ten years ago. While two of them are higher, or better, than the previous best-off category, an additional category has been added to show that there are some people in the community who are worse off than the lowest well-being category ten years ago.

This analysis is very helpful to start discussions about why some people have become worse off than before? How come some people have moved up to new highs of well-being? Etc.. and these should lead to discussions on vulnerability, risk, security, etc.

4) Cause-impact analysis

Causal-impact analysis, or flow diagrams, help in understanding an issue in a more complete form. Since we are interested in understanding the people's perception of causes and impact of poverty/ill-being, we can use this method to open discussions on the subject.

This method can be used to show the links between different causes and impact of poverty/ill-being, as well as to show the flow of events. The same visual analysis can also be used to discuss possible solutions and the effects of the proposed solutions.

Although this is a fairly straightforward method, it does require some amount of facilitation to start and maintain the discussion. Start by informing the group that we will be discussing the causes and impacts of poverty/ill-being. Write (or use symbols) "poverty" on one card, and place it at the center.

Before moving on to the visual, ask the group to describe some of the causes of poverty/ill-being. Once the discussion gets started, prepare separate cards for each of the causes (this can also be prepared on the ground using colored chalk).

Start placing the cards for the causes on one side of the “poverty” card.

Keep asking the group to think what else causes poverty/ill-being, and keep adding the cards.

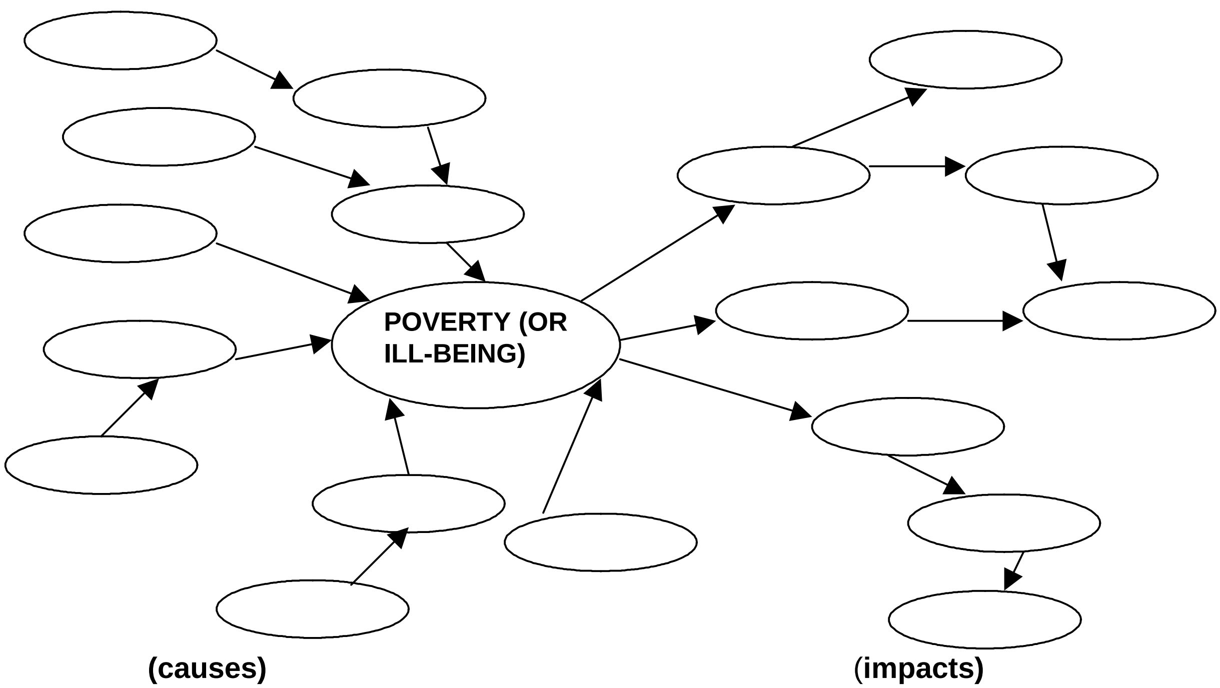
Similarly ask about the impact of poverty and place cards with one impact mentioned on each card on the other side of “poverty”.

Next ask the group whether there are any links between the different causes and impacts. These links should be shown by arrows.

Also ask the group if there are causes of the causes of poverty/ill-being, and the impacts of the impact. The diagram, when completed, looks like a web.

In order to add depth to the analysis the group can be asked to show, using scoring or ranking, the most important cause, the next most important cause and so on, and the same on the impact side. The scores or ranks for these should be placed on the respective cards.

The completed cause-impact diagram will look something like the following:



Note: The direction of the arrows differentiates between the causes and the impacts of poverty. Arrows on the left hand side of the diagram, and pointing towards the “poverty” circle, indicate the causes. Arrows moving away from the “poverty” circle, and on the right hand side of the diagram indicate the impacts or the results.

Once the diagram is ready ask the group to discuss possible solutions for the problems.

NOTE:
This method can also be used to analyze "well-being" (what leads to well-being, and the result of an individual/household's well-being), in addition to analyzing "poverty". This analysis can then be used to discuss people's perceptions about the necessary conditions, which when met, can enable an individual/household to attain a higher level of well-being.

E. Focus group discussions (FGD)

This is a key method for this study. It is very useful for a FGD to precede and follow a visual method. A FGD involves discussions with a group on a specific topic. It is best to hold discussions with relatively homogenous groups of people (e.g. a group of poor women). Once the discussion warms up introduce the visual tool for analysis. Once the visual analysis is complete, guide the discussion around the completed output, i.e. have the group explain their visual analysis. Open-ended questions can be asked with the help of the "seven helpers":

What?
Why?
When?
Where?
Who?
How?
How much?

Other than a discussion/analysis of the visual output, FGD should also be used to analyze and discuss questions related to **risk, security, vulnerability, opportunity, social and economic mobility, social exclusion, social cohesion, crime and conflict**. Some of these issues may be mentioned by the people themselves while carrying out other visual analysis. However, if they are not mentioned by the people, the facilitators should introduce the same during FGD. While recording field notes, a clear distinction must be maintained between issues and terminology used by the people and that introduced by the facilitators. The detailed set of questions for exploring these issues is given in sub-section 1.2 of the Checklist of Issues and Methods in Section 6. During the FGD we should seek answers to the following:

- Do these criteria show up in their definitions of well-being?
- How have security, risk, vulnerability, opportunities, social exclusion, and crime and conflict changed over time, and why?
- Have security and opportunities increased or decreased?
- How are people coping with these changes?
- Are there differences according to gender and well-being categories?

Issues Being Explored (continued)

1.2 How do people perceive security, risk, vulnerability, opportunities, social exclusion and crime and conflict? How have these changed over time?

Having discussed people's definition of well-being and poverty/ill-being, we need to introduce some discussion around four pre-determined categories of critical importance to the study. These include:

- Risk, security, and vulnerability
- Opportunities and social and economic mobility
- Social exclusion
- Social cohesion, crime, conflict, and tension

The following themes and issues need to be explored in depth to understand the different aspects of well-being:

A) Risk, security and vulnerability

-Does (in)security figure in people's definition of well-being?

-How do people define security?

-Are some households secure and others insecure? How do they differentiate between the two?

-What makes households insecure or at greater risk?

-Has insecurity increased or decreased? Why?

-What are the main kinds of shocks that people have faced?

-Are some individuals/households more insecure than others in the same community?

-Are some people better able to cope with sudden shocks to sources of livelihoods? Why and how?

B) Opportunities, social and economic mobility

-Do people feel that opportunities for economic and social mobility have increased? Decreased? Why and for whom?

-What are the consequences of these changes?

-Who or which group(s) has benefited the most? Which groups have been unable to take advantage of opportunities or have been negatively affected? Why?

-Is it possible for people to move out of poverty?

-What is needed to enable people to move out of poverty?

-What needs to change for the poor to have greater economic and social opportunities? Is this likely?

C)   Social exclusion

-Are some people/groups **left out** of society, or looked down upon or excluded from active participation in community life or decision making?

-Who gets left out, and on what basis? Why?

-What is the impact of such exclusion or being left out?

-Is it possible for those excluded to ever become included?

-What determines the likelihood of this change?

-Are there differences in power between those included and excluded?

-What makes some people powerful and others not?

D)   Social cohesion, crime, conflict

-How do people define social cohesion?

-Is there more or less social unity and sense of belonging than before? Why?

-Is there more or less crime and conflict than in the past, or has it stayed the same? Why?

-Are there tensions or conflicts between groups in the community? Which groups? Why?

-Have inter-group conflicts increased or decreased? Why? How?

-Does anyone benefit from the increased violence? Can the situation be changed? How?

1.3 How do households and individuals cope with decline in well-being and how do these coping strategies in turn affect their lives?

A) Whether there have been any changes in the number and types of well-being categories, and/or whether the proportion of people/households in each of them has increased/decreased over the last ten years.

B) Whether the criteria for determining the categories has changed over the years.

C) What has changed? What caused the changes? How has it impacted the lives of the people? Have people become better or worse-off? Is there a "typology of deprivation" – sudden, seasonal, structural, cyclic, chronic?

D) How have people coped with these changes?

E) Are there any foreseeable changes in future? What and how?

1.4 Individual case-studies

In-depth discussions/interviews with:
-one poor woman
-one poor man
(or one poor man or woman who has fallen into poverty)
-one poor young man/woman
-one woman who used to be poor and has moved out of poverty
-one man who used to be poor and has moved out of poverty

5) Individual case studies

Individual case studies are generated by having a one-to-one discussion with an individual or members of a household. This can be in the form of an open-ended discussion, a semi-structured interview, or carrying out their livelihood analysis. Document as much detail as possible from the discussion. These case studies should be used to provide specific illustrations to highlight and support the results obtained from the general analysis carried out in groups.

At every site try to obtain insights into the lives and life-histories of 5 individuals or households. These should include:

-one poor woman
-one poor man
(or one poor man or woman who has fallen into poverty)
-one poor youth

-one woman who was poor earlier but is better-off now
-one man who used to be poor and is better-off now

The case study should give as much life-history of the person, and the household, as is possible. Record their names, ages, household composition, major events or shocks – as recalled by them – in their lives, and their hopes and aspirations for the future.

In the case of those who were poor earlier and are better-off now, describe how they have managed to move out of poverty. The discussion with them should also focus on whether, and how, is it possible for an individual/household to move out of poverty.

7.2 Priorities of the poor

Key Themes

1. Listing of problems faced by the different groups within the community, and identifying the problems faced by the poor
2. Prioritization of problems, in terms of the most pressing needs of the different groups
3. Have these problems changed over the years or have they remained the same? What are people's hopes and fears for the future?

Issues Being Explored

2.1 Listing of problems faced by the different groups within the community, and their prioritization.

2.2 Are there differences in problems and priorities being experienced by different groups of people within the community (i.e. according to age, gender, social hierarchy and economic well-being)?

Identify the problems faced by the poor.

2.3 Have these problems changed over the years or have they remained the same? What are people's hopes and fears (visions) for the future?

2.4 Which of these problems do the people think they can solve themselves and which do they require external support?

A) Starting the discussion

It is possible that some of the problems being faced by the people will be discussed while analyzing their well-being. These could be used as a starting point. The group could then be asked to analyze whether they have any other problems. In order to probe these issues ask questions like:

-Since when have you been facing these problems?

-Is everyone in the community facing this problem or is it specific to a group?

-What have you done about it?

-Has anything changed? How? Why not?

-What kind of external help or support is required to solve the problem?

-What kind of problems are the others in the community facing?

It is possible for different groups within a community to come up with very different lists of problems and priorities. These should be recorded accordingly.

Care must be taken while facilitating this discussion so as not to generate a "wish-list" from the people. Sufficient probing and sensitive facilitation will be required to get meaningful results.

It is important to ensure that these discussions are held with groups of poor men and women (i.e. ensure that we meet poor people, and that we meet groups of both, men and women, and have separate gender disaggregated data from these groups)[3].

B) Methods

There are three methods for analyzing this topic: FGD; Listing, Ranking and Scoring; and Trend Analysis. The use of FGDs is incorporated into the discussion of the latter two methods in the subsections that follow.

1) Listing, Ranking and Scoring

Once the group starts the discussion on their problems, ask them to prepare a simple list of all their problems. This could be prepared on the ground using chalk or symbols for each of the problems. If the well-being categorization has already been carried out, the group can be asked to indicate which categories of people face the specific problems.

Once the list of problems has been generated, the group can be asked to prioritize the same. They should indicate which problem has the most adverse impact on their lives and needs to be resolved on an urgent basis. Ranking or scoring methods can be used to carry out this analysis.

Following are two hypothetical examples using the two methods.

[3] See section 8.1 in this guide on sampling, and Section 10.4 for how the gender dissaggregated data is to be presented in the site reports.

Prioritized list of problems faced by the community using the ranking method

Urban site ABC

Analyzed by a group of young women

Problems	Rank
Transport	3
Unemployment	4
Crime and violence	2
Street lighting	1
Garbage collection	6
Public telephone	5

Note: 1=problem given the highest priority, 2=next most important, 3=next, and so on

It is important to ask several probing questions to cross-check and clarify why each item on the list is a problem.

Once the analysis has been completed, the group can be asked which problems they could solve on their own and which would require external support.

Prioritized list of problems faced by the community using the scoring method

Urban site ABC

Analyzed by a group of young women

Problems	Score
Transport	43
Unemployment	40
Crime and violence	75
Street lighting	82
Garbage collection	15
Public telephone	24

Note: Higher the score the more important the problem.

Once the group has completed the visual analysis, ask probing questions so that they can explain their analysis. Using the above example, we can ask questions like:

Why is street lighting the most important issue for you?

Have you done anything to solve the problem?

Whom does it affect the most? In what way?

What kind of crime and violence do you face?

Who is affected by it the most?

Is transport more important than the problem of unemployment? Why? (This will also help in triangulating the results).

Is garbage collection the least important issue? Why?

Etc. …

Answers to all of these questions, as well as all of the explanations given by the group, should be carefully recorded.

2) Trend analysis

Once the problem identification and prioritization has been completed, the group can be asked to analyze whether there have been any changes in their problems over the last 5-10 years (e.g. Have some problems been there for a long time? Have other problems emerged recently? Have some of the earlier problems been solved? How? Etc.).

It is easier to start by asking about the present day problems and then asking the group to consider whether these were different earlier. Follow-up by asking why have these changes taken place?

Also ask the group whether they foresee any changes in their problems and priorities in future, and what are their hopes and fears for the future.

The following format can be used to carry out the ranking/scoring of the changes in people's priorities.

Changes in priority problems and perceptions about the future
Village XYZ
Analyzed by a group of old women

Priority concerns	Now	10 years ago	Comments
Drinking water	1	4	
Low agricultural yields	2	3	
No access to credit	5	2	
Health care	4	1	
Unemployment	4	6	
Domestic violence	3		
Personal insecurity	4		

In this hypothetical example I have used ranking to indicate the priorities and the changes. Here 1=the most pressing problem, 2=the next most pressing problem, 3=next, and so on

Once the group has completed this analysis, ask which of these problems can they resolve on their own and which require external support.

7.3 Institutional analysis

Key themes

1. Which institutions are important in people's lives?

2. How do people rate these institutions?

3. Do people feel that have any control or influence over these institutions?

4. Which institutions support people in coping with crisis?

Issues being explored

3.1 Which institutions are important in people's lives?

A) What are the most important formal, informal, government, non-government, market institutions within or outside the community that influence people's lives positively or negatively? Why are these judged to be important? Are there any gender differences?

B) Which government and non-government institutions have the most positive or negative impact on men and women? Why? Give examples of people's experiences. Are there any gender differences?

3.2 How do people rate these institutions?

A) How do people rate these institutions in terms of trust and confidence that they place on them? Why? Give examples of why people rate particular institutions high or low? Are there any gender differences?

B) How do the people rate the effectiveness of these institutions? What factors do they consider to judge effectiveness? Give examples. Are there any gender differences? Explain.

3.3 Do people feel that have any control or influence over these institutions?

A) Which institutions do the people think they have some influence over?

B) Which institutions would they like to have more control and influence over?

C) Do some people/groups have some influence over these institutions and others are left out? Who gets left out?

D) Profile two institutions in some depth.

3.4 Coping with crisis

This issue deals with understanding safety nets, informal or formal insurance or availability and outreach of government programs.

A) During times of financial/economic crisis, because of loss of property, jobs, or livelihood, poor crops, disease, environmental crisis, or poor health or death, how do people cope? What do they do? How do these affect their lives?

B) What institutions, formal or informal, do people turn to during times of financial crisis?

C) Do they mention any government programs? Give details.

D) Are these programs reaching them?

E) What are their recommendations for change or improvement or new programs if none exist?

F) What features should this program have?

G) Do they mention any NGO programs?

H) Do they mention any informal social networks?

I) Are there any gender differences?

J) If almost everyone in the community is affected by some event (e.g. floods, droughts, or earthquake), how does the community cope?

A) Starting the discussion

It is important that before institutional analysis is initiated with a group in the community there is some discussion on the concept of institution. This term is not easily translated into local languages and as a result people interpret it differently. In this document we are using the term "institution" to refer to formal and informal organizations and the norms, rules and values associated with them. Institutions can include associations, groups, networks and individuals, both within and outside the community, with whom the people have some relations. Some examples are a bank, a shop, the church, school, hospital, police, government department, an NGO, farmer's groups, women's groups etc. It can also include individuals such as the village priest , the headman, a village-level worker or a doctor.

Therefore, since the definition of institution is rather complex it is important that the subject be introduced with care, using appropriate terms in the local language. Once the term institution is well understood, the group can be asked to start listing the different institutions they have some links with. This list can include institutions located within the community as well as those outside. The following questions can be asked to facilitate this discussion:

-Where do you get help from (advice, instructions, help, and support)?

-Which institutions support you when you face a crisis or have problems?

-Which institutions support your livelihood?

-Which institutions ensure your personal or community security?

-Which institutions are important to you?

-Which institutions are important to you but are not effective?
Etc.

Later, some negative questions can also be used (e.g. Which institutions should provide support to the people but don't? Which institutions do you fear? Which institutions have a negative impact on the community? etc.)

B) Methods[4]

1) Scoring

Scoring can also be used to carry out **institutional analysis**. In fact, scoring enables the institutional analysis to be carried out on the basis of multiple indicators.

In this case too the analysis first starts with the listing of different institutions in the community. Once 7-8 institutions have been listed, place them along the first column of a matrix. The matrix can be prepared on the ground using chalk or twigs, or else on paper using marker pens.

Next ask the group to discuss the basis on which they differentiate among these institutions. Questions like those listed in Section 5.2.1 can be asked to generate the criteria.

Place the criteria along the top row, one in each cell of the grid.

Allow the group to generate their own criteria. Once they have done so, check whether the following criteria have been included:

- Which of these institutions are considered important by them
- People's trust in these institutions
- Their effectiveness
- Provide help when needed
- People have a say in their decision-making process

If these have not been included, ask the group to consider them as well, and if they are willing, include them on the visual. These indicators are crucial for this study and may have to be prompted by the facilitators. Make a note of criteria decided by the group and the ones introduced by the facilitators.

Ask the group to give scores for all the institutions in the list against each of the selected criteria.

The institutions can also be ranked at the end.

NOTE: Do <u>not</u> add up the scores in the cells along the rows. This total is not a true reflection of the importance of the institutions, since the criteria do not carry equal weight.

Following is a hypothetical example of institutional analysis using the scoring method:

[4] Although the most common visual method for institutional analysis is the Venn diagram, or chappati diagram as it is commonly called, we feel it is not the best suited for this purpose. Usually facilitators find it very difficult to introduce the method with a group and at best it brings out comparisons among the institutions on two indicators. That would restrict a more broader analysis of institutions and institutional relations required in our context.

Institutions	**Criteria** **(**Scoring out of 50, the higher the score the better the performance of the institution)				**Overall importance (Ranking, 1=most important)**
	Trust	Provides help when needed	Effective	People play a role in the decision making process	
Headman	30	30	40	20	1
Credit coop	10	0	5	0	4
NGO	20	30	30	25	2
Women's saving group	50	40	25	50	3
Church	50	15	20	15	9
Moneylender	5	50	35	0	6
Bank	25	10	5	0	5
Clinic	10	25	15	0	7
School	25	5	25	25	8
Police	20	20	25	5	5
Local Government	5	5	5	0	11
Village level worker (govt.)	10	10	10	5	10

Once such an analysis is complete ask why one institution is perceived to be more important than the other. This may lead to other criteria which are not listed in the matrix.

The FGD following this institutional analysis should focus on the questions listed in sub-sections 3.1-3.4 of the issues and methods checklist given in Section 6 of this guide.

Ask for more details on some of the institutions in order to generate **"Institutional Profiles"** for some of the positive and the negative institutions, and highlight these as text boxes in the site reports.

7.4 Gender relations

Key themes

1. What are the existing gender relations within the household? Are women better-off or worse-off today: 1) as compared to the past, and 2) as compared to men?

2. What are the existing gender relations within the community? Are women better-off or worse-off today: 1) as compared to the past, and 2) as compared to men?

3. Are there differences in gender relations among different groups within the community?

Issues being explored

4.1 Are women better- or worse-off today as compared to the past?

Are there any changes in:

A) Women's and men's responsibilities within the household? Why?

B) Women's and men's responsibilities in the community? Why?

C) Women's and men's role in the decision making process within the household? Why?

D) Women's and men's role in the decision making process in the community? Why?

E) Violence against women within the household? Why?

F) Violence against women within the community? Why?

G) Do women feel they have more/less power today (with their definition of power)? Why?

4.2 Are there differences in gender relations among different groups within the community?

A) Are some women better-off than other women in the same community (with their definition of better-off)?

B) Have the changes in gender relations been different for different groups of women in the community?

A) Starting the discussion

This discussion on gender relations can be initiated during/soon after the discussions on well-being analysis. While discussing well-being, the group can be asked:

-whether there is a difference between the well-being of a man and that of a woman?

-whether a man and a woman from the same household could be at different levels of well-being?

-whether changes in levels of well-being have been different for men as compared to that of women?

-whether women from different groups in the community are at different levels of well-being?

B) Methods

1) Listing, scoring and trend analysis

Once the discussion on gender differences of well-being warms up, the following matrix can be introduced for analysis:

Changes in gender relations over the last ten years

Topic/issue	Present day		Ten years ago		Comments
	Women	Men	Women	Men	
1.Responsibilities within the household (list main responsibilities)**					
2. Responsibilities in the community					
3. List major decisions taken by men and women within the household					
4. List major decisions taken by men and women at the community level					
5. Levels of violence against women within the household (give scores out of 100, or 60 , or any other fixed maximum decided by the group, for the present and ten years ago to show the difference) (the column for men can be left blank)					
6. Levels of violence against women at the community level (give scores out of 100, or 60 , or any other fixed maximum decided by the group, for the present and ten years ago to show the difference) (the column for men can be left blank)					

**** NOTE:** The discussion on gender-responsibilities can be long and winding. It is therefore important that only the main responsibilities are listed. This discussion on responsibilities is not the primary focus of the analysis. It is only to initiate the discussion on a non-controversial note and to warm up the discussion. Don't spend too much time in seeking details on the responsibilities and use it to move on to analyze changes that may have taken place within the household or community.

The above analysis, carried out in a FGD, should be continued to analyze the reasons for changes in gender relations, if there have been any. Following questions can also be asked to further open up the discussion:

-Do women have more or less power within the household as compared to ten years ago? What constitutes this power? How does this relate to men's power?

-Do women have more or less power in the community as compared to ten years ago? How do they define this power? How does this relate to men's power?

- Are some women better-off than other women in the same community (with their definition of better-off)?

-Have the changes in gender relations been different for different groups of women in the community?

-What are your hopes for your girl children? Your boy children?

8. Preparation for fieldwork

8.1. Site selection and Sampling

A) Number of sites

It is recommended that this study be carried out at a minimum of ten sites in every country. A site refers to a community or neighborhood, i.e. a village or urban settlement.

B) Selection of sites

The selection of sites, and the distribution between rural and urban sites will be carried out at the country level. The selection of sites will be influenced by the on-going processes in a country to which this study will be linked. In case the study is being linked with an on-going project, the choice of sites will narrow down to the project area. Similarly, if this study is being linked with another on-going study in the country, the sites will be chosen from those already selected.

C) Not a representative sample

It is important to bear in mind that we are not attempting to generate a representative sample for the country with these 10-15 sites. The sample size is too small to claim any representation. We can only attempt to understand some aspects of the diversity that exists within a country. Every country has a wide range of groups of poor people. The sites should be chosen to reflect 2-3 of the most dominant poverty groups in a country.

D) Sample selection within a community

Within a site (community), separate discussions need to be held with groups of poor men, poor women, youth and with other key poverty groups identified in the community. About 8 focus group discussions should be held at each site. The results from discussions with these different focus groups in a community may vary. It is important to bring out these differences within a community.

It is not necessary to cover each of the key themes and issues for the study with every discussion group. Nevertheless, by the end of the stay in the community, the team should have a reasonable degree of confidence that the findings are representative of poor people in that community because the study team has met with a large enough number of poor people and the findings have been sufficiently cross-checked.

E) Seeking the poor

At every site it is vital to ensure adequate consultations with the poor.

Teams should use their judgment about the best sequences and with whom it is best to start. In some communities it may be sensible and tactful to start with mixed groups including the non-poor, and to meet and consult with different categories of people and households. There may also be key initial informants among the non-poor. A range of people may be involved in the process of social mapping, household listing and well-being ranking to identify the poorer households and people. Meeting a mixture of people initially can also help in triangulation. Focus groups of the poor can then be invited for consultation.

In other cases, it may be easy to work directly with groups of poor after going through the appropriate process and informing local authorities and leaders about the purpose of the study.

Within the category of the poor, please at a minimum consult with separate groups of women, men and youth. Please be alert for special categories among poor people (e.g. old women, low status social groups, disabled etc.) and use your judgment about bringing them together for consultation as appropriate. Children are a special group who often have different perceptions and priorities from adults.

F) Seeking women

Initially, difficulties are often experienced in meeting with groups of poor women. If this is so, please ask them the best time and place so that they can be consulted without distraction. Sometimes this may be after dark or in the afternoon. If the time or place are inconvenient for the team, please make a special effort. It is all too easy for women to be inadequately consulted.

8.2 Team composition and size

It is recommended that the country study team consist of at least **three sub-teams of four members** each, i.e. a total of twelve members. Each country team should also have a team leader, who will be responsible for coordinating the study and providing logistical and back-up support to the team.

The four members of a sub-team can start working at a site together the first day, but we suggest that they then divide themselves and work in pairs for the duration of the fieldwork. This will enable them to cover more groups in the community.

Team members should know the **local language** spoken in the study sites.

The team should have a **gender balance**. Depending on the context, and the convenience of the members, sub teams could form pairs of mixed or single gender. In some contexts it is easier for the women in a community to talk only with women, and similarly men in some communities may not open up freely with female facilitators.

When working in pairs, the team members must clearly **assign roles** for the fieldwork. One person should be responsible for facilitating the discussions while the other takes notes and copies the visual outputs. These roles can be rotated as per the members' preferences and abilities.

The country team leader should ensure that **all the team members are adequately trained** in the required field methodology and that the **objectives and the scope of the study are clear to all** of them. It is desirable that team members have prior experience with using PRA methodology. The team leader must be available for providing back-up support to the team members, as and when required. S/he should also visit each of the sub teams in the field, especially at the beginning of the fieldwork. The team leader should also review the site reports, and especially the first few, for quality and depth of analysis. S/he should provide feedback to the sub-teams on the quality of their site reports.

8.3 Useful material to take to the field

While it is best to try and use locally available material like stones, seeds, twigs, empty cigarette cartons, bottle caps, etc., it is handy to carry some materials to the field. Each team should have the following:

- Seeds or beans
- Masking tape
- Large sheets of paper (flip chart size)
- A-4 size paper
- Rubber bands (to secure the rolled-up sheets of paper)
- Colored chalk
- Color markers
- Colored cards (specially for Venn diagrams)
- Scissors
- Folders (to file the daily and site reports)
- Small note books (to take notes in the field)
- Pens
- Pencils
- Eraser

9. Fieldwork Process

9.1 Introductions

A) Shared understanding

How we introduce ourselves and the study to the community can have a bearing on the results. The study team should discuss how to handle the introductions before leaving for the field. There should be a common understanding on what is to be said, as all the team members may be required to handle introductions at some stage or other during the fieldwork. The study team leader should ensure that this is adequately discussed within the team.

B) Be transparent

The most important part of introductions is being transparent. Mention clearly that these discussions with the community are a part of a larger study being carried out in 20 countries in order to understand how the local people themselves define their life and conditions. The study process should also be explained. Inform the people of the duration of the team's visit with the community, and how the discussions and analysis will be handled. Mention that the results will also be shared with them.

C) Decide whether to mention the World Bank or not

Sometimes it is felt that mentioning the World Bank can generate the wrong type of reactions from the community. This decision of whether or not to mention the World Bank is left to the country teams.

D) Avoid generating expectations

Another issue to be kept in mind is that of generating any expectations. A consultative process, like the one being adopted by this study (and with a focus on understanding people's problems and priorities), can create expectations of some sort of benefits in people's minds. It is important to explain clearly at the very outset that this is only a study to understand poor people's perceptions. There are no direct benefits or follow-up to these discussions. However, it is possible that the results from the study could influence national policy, and in turn have a positive impact on the people's lives in an indirect manner. However, whether or when this will happen can not be predicted. This may have to be reiterated several times during the course of the fieldwork, as it is highly undesirable to generate any false expectations.

E) Links with on-going projects

In case this study is being linked with an ongoing project in a country, and the project sees a link between the activities it supports and the study findings, the team can decide to mention the possible link with the project. This should be cleared with the project managers before leaving for the field. In this case the introductions should be thought through carefully, so that the study results are not influenced by this link with the project[5].

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[5] For example, if the study is linked to an education project, the introduction should clarify that the team is not there on behalf of the education project, and will not be expecting the people to talk about education per se.

9.2 Duration

A) Fieldwork and writing site reports

It is recommended that each team spends five-to-six days at each site. Three-to-four days should be spent for the fieldwork. At the end of the fieldwork, the team should complete the site report over the next two days. Once the site report is ready, the team should present back the main findings to the community. **The team should leave for the next site only after the site report is ready and a report-back session has been held with the community**. The site report must be completed before the team moves on to another site. If the report is not completed then, it will be very difficult to work on it at the end, after the team visits several sites.

B) Country synthesis report

Once all the sites are covered, the teams will reconvene, as one group, to synthesize the results and to prepare the overall country report. One week has been budgeted for this synthesis process.

C) Calendar of activities

The team leader is responsible for preparing a detailed calendar for the study and ensuring that all the team members understand and accept the schedule.

9.3 Triangulation

Given the open-ended and flexible nature of participatory assessments, it is important that all the information and analysis generated is verified or "triangulated". Triangulation is an iterative process and should be continuously sought during discussions with different groups of people. This can be done in a variety of ways:

- the same issue or topic is discussed with different groups of people

- an issue is analyzed by the same group of people using different methods

- the same group analyzes the issue at different points in time

- results from analysis carried out by one group are shared for discussion with another group

- results of the study are shared with the community at the end of the process.

Regular review of the process will ensure that triangulation is not lost sight of, and is not left to the end of the fieldwork at one site. Daily reviews among the facilitators helps in sorting out the information and results, to verify whether the findings generated on a topic cut across different groups or whether there are major differences among them. It is important to remember that we are not seeking common results from all the groups in a community; however, clarity is needed on which groups come up with different results and why.

9.4 Quality Control

For a study of the size and magnitude that is being attempted here, maintaining quality is a key concern. Everyone involved in this study has to be responsible for maintaining high standards of quality, and avoiding compromises that can affect the quality of the results. While it is not possible, nor desirable, to monitor the fieldwork process at each site, we can seek to minimize the problems and avoid compromises if we ensure the following:

- study team members have previous experience and/or are trained, before starting the study fieldwork, in PRA methodology

- country team leaders are well briefed about the study, and they in turn are able to brief their team members on the content, scope, process and expected results of the study

- this process guide is understood and followed by all the team members

- a roving trainer provides back-up support in every region

- a monitoring team reviews the initial site reports from every country and provides feedback

- prompt trouble-shooting assistance is provided: by the country team leaders to their team members, by the regional trainers to the team leaders and the teams in the regions, and by the secretariat at the World Bank to the regional trainers and the team leaders.

9.5 Follow up

As mentioned earlier, this study is being linked, as far as possible, to ongoing projects and studies in the selected countries. It is hoped that this linkage will ensure that the study findings will feed into action at the country and community levels, and do not stand alone as inputs into the *WDR* –2000/01.

The study teams need to report back the results to the communities before leaving the sites. It will be the responsibility of the teams to ensure that this sharing of results takes place at every site covered by the study. The results of the study should be shared with the community after completing the site report and before leaving for the next site. This will also help in triangulating the results again. However, the teams will have to use their judgement in deciding whether some sensitive information should be left out of such a presentation (e.g. if a group of women has expressed in confidence views or facts which men would object to, the group can decide to leave that information out of the presentation).

In addition, the country synthesis report will be available to local public, private and civil society leaders after the study reports are complete, who could use it for other ongoing activities and projects or for developing new ones.

10. Documentation

Documentation and synthesis of information generated during a participatory appraisal is a very important part of the process. Often this is where the facilitators have most problems. Problems in documentation and reporting arise mainly due to:

- Fieldworkers are often more comfortable with, and are more used to, the verbal mode of communication.

- Fieldworkers often lack the necessary analytical and writing skills, especially if they have not been trained in this field. Usually their work does not require them to have such skills.

- Analyzing and documenting information generated through a participatory process is far more difficult as compared to that using a more conventional method (like questionnaire surveys).

It is, therefore, important to ensure that the team members have the required ability to document and synthesis such information.

There are four levels at which documentation during a participatory appraisal takes place:

I. Taking field notes;
II. Writing daily reports;
III. Writing the synthesis report for every community/site where the study is conducted; and
IV. Preparing an overall country synthesis report, based on the findings from all the sites in a country.

Each of these is discussed here.

10.1 Recording field notes

Proper recording of all the discussions and the visual outputs is of crucial importance in the documentation process. This is the basic data that can be used for analysis and synthesis. Given the huge quantum of information and analysis that is generated during a participatory appraisal, it is very easy to lose and forget a lot of it, if it is not recorded immediately in the field. It is for this reason that the role of the documentor is very important in the team. The following should be kept in mind while recording field notes:

-It is good to start by requesting permission from the participants to take notes.

-Use a small note-book for taking notes in the field.

-If for any reason it is not possible to take notes during a discussion, this should be done at the first opportunity available. It is impossible to recall any discussion in full and important points may be lost if the recording is left for long.

-Record all discussion, debates, disagreements during an analysis.

-Record key phrases and terminology in the local language.

-Ensure definitions of key terms used are elicited from the participants.

-Carefully copy all visual analysis on A-4 size paper.

-Don't try to "beautify" the visual. Try to retain as much of the original features as possible.

-Record of all the participants on the visual outputs. In some situations, especially while analyzing sensitive topics, the participants may not like their names to be recorded. Also, the facilitators may decide in some situations that it is too sensitive to record the names. If it is sensitive to ask for or to record the names of the participants, record the number and composition of the group.

-Record important background on who participated in the analysis – older men, younger women, children, boys not in school, better-off women, etc.

-Record the date, time and place.

-Don't make visuals of your own. If you are presenting data that was only discussed verbally – it is best to write in a narrative style. If you do make visuals in your notes (presenting discussions for which the participants did not prepare a visual), state clearly that this is your presentation and not that of the participants.

-Don't forget that the analysis is not complete until the visual is discussed and analyzed by the group. Probe and ask questions after the participants have finished preparing the visual. Record the questions asked and the responses given. If there are any arguments or disagreements among the participants, these should be recorded as well.

-Be careful to be factual while recording. Record what was said or explained, rather than what you think was implied.

-It is important that the responses are judged according to the type of information that is being shared. Information can be divided in three categories:

Fact – a commonly agreed time and place specific truth

Opinion - a person's or a group's view on a particular topic

Rumor – unsubstantiated information from an unknown source

-While recording the visual outputs make sure to have notes on the symbols or methods they have used (e.g. if using ranking, explain whether 1=best or 1=worst, etc.).

-Any stories, anecdotes, or case studies should also be recorded as these provide supporting information to the analysis carried out in groups.

-Any observation by a member of the study team should be noted as such and recorded separately.

10.2 Preparing daily reports

It is important to review the appraisal process on a daily basis. After completing the fieldwork for the day, the facilitators must meet to reflect on the day's process and to share their experiences with each other. Daily reviews are important, especially when the facilitators are divided into several teams and work in different locations with separate groups from the community. This review makes it easy to triangulate and analyze the results. This can also be used as an opportunity to give feedback to each other.

Once the outputs are shared, the team should divide and share responsibility for writing up the process notes for the day. All the analysis carried out in the community should be written and the visual outputs copied with proper explanatory notes. Having lots of visual outputs with no explanation renders them of little use.

Wherever there is any quantification, aggregate the data (e.g. total number of households, or female headed households, or the distribution of households according to the well-being categories, etc.)

These daily reports should be ready before the start of field work the next day. All reports should be collected by one person and kept together in a safe place.

The daily review also helps in reflecting on the progress made and in planning for the next day's fieldwork. Information that needs to be triangulated can be identified and issues not explored so far can be included in the next day's plan.

10.3 Synthesis reports

Synthesis reports are written at the end of a participatory appraisal with a community. Synthesis reports are more difficult to write as they have to take into account a variety of information generated in a variety of different ways. Often it is this analysis which proves to be the most difficult part of the participatory appraisal process. The necessary analytical skills have to be acquired in order to be able to use the results effectively.

Unless the field documentation is carried out properly and in a disciplined manner there is always the danger of losing a lot of the learning from the study process.

Before this report can be written it is necessary for all the facilitators to **review the process** together. All daily reports should be analyzed before conclusions are reached.

The best way to start is to **revisit the checklist** of issues used for the fieldwork. All the information available on each of the topics should be analyzed. Any new themes or topics that may have emerged during the appraisal, and not listed in the checklist, must be added.

It is important to bear in mind that the final report need not give single statements as results on a particular topic. It is quite common to get multiple responses on a topic that do not match. These will depend on the diversity within the community. The synthesis report should **reflect this diversity**. It should also clearly indicate **results which cut across the different groups** within the community.

The synthesis report should present all these major findings and only at the end should the facilitators give their views and deductions separately.

In case there are any gaps in the information, or some questions have remained unanswered, state this clearly in the report. <u>Do not give your own views on a subject that was not analyzed with the community</u>.

Site and overall country synthesis reports should be available on disk along with a hard copy. Reports should be typed in Microsoft Word. In case you do not have access to Microsoft Word, please let us know at the earliest.

Site reports must be submitted as soon as they are ready. Do not wait for all the sites to be covered before sending the reports. This is important, as feedback can be provided, if necessary, while the process is underway. Send site reports to: Patti Petesch, Study Coordinator (phone: 202-473-5487; fax: 202-522-3283; email: ppetesch@worldbank.org).

Record your impressions, interpretations and analysis separately and label it as such at the end of each site report highlighting any unique features of the community.

Highlight any government policies or actions which may have impacted the poor in positive or negative ways.

10.4 Site synthesis report: reporting format

1. Site name

2. Background

Description of site

- Season
- Site
- Region or District
- # of households (approximately)
- Population (approximately)
- Basic Infrastructure
- Main sources of livelihood for men
- Main sources of livelihood for women
- Important social groups (e.g. caste, religion, ethnicity, race, tribal affiliation, etc.)
- Key geographic/environmental features
- Relevant history

3. Study process

-names of facilitators

-duration (fieldwork dates)

-number of groups/individuals met, as per the following tables

Site XYZ, Number and types of groups met

Poor				Other (specify)				Total
Men	women	youth	Subtotal				subtotal	

Site XYZ, Number of individual case studies

Poor				Other (specify)				Total
Men	women	youth	Total				subtotal	

Sequence of fieldwork activities

Day	**Activities**

Day 1	
Day 2	
Day 3	
Day 4	
Day 5	
Day 6	

4. Well-being

4.1 Local terminology and definitions

4.2 Categories, criteria and proportion of households according to different groups

Category	Group 1		Group 2		Group 3		Group …..		….
	Criteria	Proportion of house-holds	Criteria	Proportion of house-holds	Criteria	Proportion of house-holds	Criteria	Proportion of house-holds	Criteria
1									
2									
3									
4									
5									

Followed by narrative analysis of above information. Describe which results do and do not cut across groups.

<u>NOTE: All visual outputs from group work should be included in Annexes.</u>

4.3 Changes in well-being categories, criteria, and proportion of households (by different groups)

Category	Group 1		Group 2		Group 3		Group …..		….
	Before	Now	Before	Now	Before	Now	Before	Now	Before
1									
2									
3									
4									
5									

NOTE: each cell should contain both the criteria and the proportion of households.

Include narrative analysis of above information. Describe which results do and do not cut across groups.

4.4 Causes and impact of poverty

Using causal-impact analysis visual outputs, present the main arguments put forward by the different groups. Describe which results do and do not cut across groups.

<u>NOTE: All visual outputs from group work should be included in Annexes.</u>

4.5 Discuss results on the questions listed in section 5.1.

4.6 Five individual case-studies

5. Problems and priorities

5.1 Prioritized list of problems

Problems	**Ranks given to different problems by the different groups**								
	Group 1	**Group 2**	**Group 3**	**Group 4**	**Group 5**	**Group 6**	**Group 7**		
	4	2	1	3					
	1	1	2	2					
	3	5	3						
		3		4					
	2	4	5	1					
				6					
			4	5					
	5								
		6							
		7							

Followed by narrative analysis of above information. Describe which results do and do not cut across groups.

Highlight problems and priorities of the poor.

<u>NOTE: All visual outputs from group work should be included in Annexes.</u>

The above analysis can also be synthesized in the following table:

Problems faced by different well-being categories of households at Site XYZ

Problems (example)	**Categories of households**
Transport	2,3,4
Unemployment	4,5
Crime and violence	1,2,3,4,5
Street lighting	1,2,3,4,5
Garbage collection	1,2,3,4,5
Public telephone	3,4

In this case I have assumed category 1=well-off and 5=worst-off

5.2 Changes in problems and priorities

Prioritized problems before and now for different groups									
Group 1		Group 2		Group 3		Group 4		……	
Before	Now	Before	Now	Before	Now	Before	Now	Before	Now

Followed by narrative analysis of above information. Describe which results do and do not cut across groups.

<u>NOTE: All visual outputs from group work should be included in Annexes.</u>

5.3 Problems for which they require external support

Problems they can solve on their own	Problems for which they need external support	Comments

Include narrative analysis of above information. Describe which results do and do not cut across groups.

<u>NOTE: All visual outputs from group work should be included in Annexes.</u>

6. Institutional Analysis

6.1 Ranking of different institutions by different groups

Institutions	Group 1	Group 2	Group 3	Group 4	Group 5	Group 6	Group 7		
	2	1	3	2	2				
	4	3	4						
	3	2	2	3	1				
	1	4	1	1	3				
			5	4					
			7		4				
			6	5					
				6	5				
					6				

Include narrative analysis of above information. Describe which results do and do not cut across groups.

NOTE: All visual outputs from group work should be included in Annexes.

Institutional profiles, for some of the positive and negative institutions, should be used in the narrative as well as text boxes in this section to highlight the criteria or reasons why they are so evaluated by the people.

6.2 Ranking of criteria for evaluating institutions by different groups

Criteria	Group 1	Group 2	Group 3	Group 4	Group 5	Group 6	Group 7		
	5	1	3						
			4	3	5				
	3	2	2		1				
	1	4	1	1	3				
	2	3	5	2	2				
	4		7	4	4				
		5	6	5	6				
				6					

Include narrative analysis of above information. Describe which results do and do not cut across groups.

NOTE: All visual outputs from group work should be included in Annexes.

6.3 Narrative analysis of all the issues related to institutions listed in section 5.3

Include people's definitions of:

Effectiveness

Trust
Support
People’s involvement in the decision making process
Any other terms used by the groups

6.4 Narrative analysis of all the issues related to “coping with crisis” listed in section 5.3

Also include in this section a table that gives the different groups’ perception about the institutions that provide help during crisis –see table below:

Institutions that support people during crisis

Institutions	**Group 1**	**Group 2**	**Group 3**	**Group 4**	**Group 5**	**Group 6**	**Group 7**		

NOTE: List all the important institutions in the first column. Tick cells to show which institutions are considered helpful in crisis by the different groups.

7. Gender Relations

<u>Narrative analysis of all the issues related to gender relations listed in section 5.4.</u>

8. Conclusion and observations

NOTE: Include major issues related to the thematic focus that came up during fieldwork and have not been listed in this guide. Not all issues can be foreseen and listed. Some sites may have specific and unique problems and features. These must be recorded and reported.

9. Annexes

10.5 Country synthesis report: reporting format

A) Country Synthesis Workshop

The preparation of the country synthesis report is a crucial stage in the study process. There are many approaches to sharing experiences and findings and to analyzing the large amounts of information gathered from the different communities. It can be very useful to bring the field teams together for a workshop to review the site reports collectively. A further note on recommended methodology for the country synthesis workshop will follow. It will draw on the recent evolution of participatory methods for sharing, categorizing, and analyzing information following fieldwork.

B) Content of the Report

The aim of the country synthesis report is to present the findings and analysis from all the sites covered by the study. It will probably make sense to present the sets of findings and analysis separately for urban and rural sites. Please do all you can to include all of the themes and issues outlined in Section 5 of this guide, and bring out:

- Results that cut across groups and sites
- Variations from site to site
- Variations across groups
- Unique/ specific results at a particular site

While analyzing variations, it will help to bring out the depth of differences, and the possible reasons for the same. This is also the place to highlight the role or impact of any government policy reforms or actions – e.g., with respect to market liberalization, labor-intensive growth, etc. To provide further context for the findings, also include discussion of any social structures or features that affect the poor.

NARRATIVE REPORTS: We anticipate that the bulk of the country synthesis report will be in narrative form to capture and present detail, diversity and analysis. We suggest that it be divided in sections according to the themes and issues listed in Section 5, and illustrated with diagrams and tables. We have not elaborated on the headings and subheadings in great detail to give you maximum flexibility on the analysis of results.

We suggest you use individual case studies throughout the text to highlight the findings and to give specific examples to illustrate results brought out by group analysis. These can be presented as boxes in the relevant sections.

C) Basic Tables

It is neither easy nor desirable to standardize completely a format for analyzing and presenting information from participatory assessments carried out at several sites. **There is a danger of loss of detail and of diversity**. However, in order to be able to compare results from up to twenty countries, we do need some consistent formatting and structure. This can be achieved through basic tables. For that reason, we request that you do include the following tables both as summaries and so that comparisons can be made. Do also feel free to add other tabulated information.

However, we do not want to convey the impression that the tables are the most important part of the report. The narrative report and details that support the findings are more important.

Consultations With the Poor

National Synthesis Report
(country name)
Date

Acknowledgement

- Members of the study team
- Standard paragraph (To be supplied)

1. Executive Summary (3-4 pages)

1.1 Main findings and patterns of results on four main themes

1.2 Conclusions

2. Background

2.1 Study purpose

-- discussion should include any links to Bank, Government and/or NGO activities

2.2 Methodology and process

-- brief discussion of methods used to explore four issues, and process used for recruiting small groups and individuals for case studies

-- indicate the dates when the fieldwork was carried out

2.3 Selected Sites

-- discuss criteria for selecting sites

-- Community Characteristics do not need to be reported in detail here, but do provide a brief description of the basic geography and social characteristics of each study site.

-- Use the following tables to indicate the number of groups and individual and institutional case studies which were conducted at each site.

Table 2.1: Number of Discussion Groups at the Study Sites

Site	Poor				Other (specify)				Total
	Men	women	youth	Subtotal				subtotal	
Rural sites									
Site name									
Site name									
Urban sites									
Site name									
Site name									
TOTAL									

Table 2.2: Number of individual and institutional case studies at the study sites

Site	Poor				Other (Specify)				Total
	men	women	youth	Subtotal				subtotal	
Rural sites									
Site name									
Site name									
Urban sites									
Site name									
Site name									
TOTAL									

In the following four sections, please address each of the themes and issues in the Checklist (Section 6 of the Process Guide). To facilitate this, we have repeated the checklist in this revised version of the format.

Again, your narratives should describe:

- **Results that cut across groups and sites**
- **Variations from site to site**
- **Variations across groups, particularly gender differences**
- **Unique/ specific results at a particular site (and surprises -- or issues that came up which were not anticipated)**

It will useful to discuss urban and rural sites separately. Also, highlight the depth of the similarities and differences (e.g. the extent to which patterns are repeated), and possible reasons for this. <u>Include interpretations and conclusions at the close of each section.</u>

Please <u>include case studies as text boxes</u> in appropriate places to highlight findings that are emerging in the analysis.

3. Perceptions of Poverty: Well-being Definitions and Trends

Well-Being: Issues For Narrative

How do people define well-being or a good quality of life and ill-being or a bad quality of life? Narrative should describe and analyze the similarities and differences among discussion groups of poor male, female, youth and other poverty groups within sites and across sites in the following areas:

- local terminology and definitions of well-being;
- the different well-being groups/categories and criteria for placing households in these groups/categories; and
- proportion of households in each well-being group/category.

Also include individual and institutional profiles as appropriate, perhaps as text boxes.

Discuss the main causes and impacts of poverty/ill-being that were identified during the Cause-Impact Analysis (pages 22-24 of the Process Guide). Also highlight the: 1) links between causes and impacts, and 2) scoring or ranking of main causes that were identified by the small groups.

Well-Being: Issues For Narrative (continued)

How do people perceive security, risk, vulnerability, opportunities, social exclusion and crime and conflict? How have these changed over time? Narrative should describe and analyze the similarities and differences among discussion groups of poor male, female and other poverty groups within sites and across sites in the following areas:

Security

- Does (in)security figure in people's definition of well-being?
- How do people define security?
- Are some households secure and others insecure? How do they differentiate between the two?
- What makes households insecure or at greater risk?
- Has insecurity increased or decreased? Why?
- What are the main kinds of shocks that people have faced?
- Are some individuals/households more insecure than others in the same community?
- Are some people better able to cope with sudden shocks to sources of livelihoods? Why and how?

Opportunities, social and economic mobility

- Do people feel that opportunities for economic and social mobility have increased? Decreased? Why and for whom?
- What are the consequences of these changes?
- Who or which group(s) has benefited the most? Which groups have been unable to take advantage of opportunities or have been negatively affected? Why?
- Is it possible for people to move out of poverty?
- What is needed to enable people to move out of poverty?
- What needs to change for the poor to have greater economic and social opportunities? Is this likely?

Social exclusion

- Are some people/groups *left out* of society, or looked down upon or excluded from active participation in community life or decision making?
- Who gets left out, and on what basis? Why?
- What is the impact of such exclusion or being left out?
- Is it possible for those excluded to ever become included?
- What determines the likelihood of this change?
- Are there differences in power between those included and excluded?
- What makes some people powerful and others not?

Social cohesion, crime, conflict

- How do people define social cohesion?
- Is there more or less social unity and sense of belonging than before? Why?
- Is there more or less crime and conflict than in the past, or has it stayed the same? Why?
- Are there tensions or conflicts between groups in the community? Which groups? Why?
- Have inter-group conflicts increased or decreased? Why? How?
- Does anyone benefit from the increased violence? Can the situation be changed? How?

How do households and individuals cope with decline in well-being and how do these coping strategies in turn affect their lives?

- Have there been any changes in the number and types of well-being categories? Has the proportion of people/households in each category increased/decreased over the last ten years?
- Has the criteria for determining the categories changed over the years?
- What has changed? What caused the changes? How has it impacted the lives of the people? Have people become better or worse-off? Is there a "typology of deprivation" – sudden, seasonal, structural, cyclic, chronic?
- How have people coped with these changes?
- Are there any foreseeable changes in future? What and how?

Also include individual and institutional profiles as appropriate, perhaps as text boxes.

4. Priorities of the Poor

Priorities: Issues For Narrative

Discuss leading problems faced by the different groups within the community, and their prioritization.

- Are there differences in problems and priorities being experienced by different groups of people within the community (i.e. according to age, gender, social hierarchy and economic well-being)?
- Identify the problems faced by the poor.
- Have these problems changed over the years or have they remained the same? What are people's hopes and fears (visions) for the future?
- Which of these problems do the people think they can solve themselves and which do they require external support?

Also include individual and institutional profiles as appropriate, perhaps as text boxes.

5. Institutional Analysis

Institutions: Issues for Narrative

Which institutions are important in people's lives?

- What are the most important formal, informal, government, non-government, market institutions within or outside the community that influence people's lives positively or negatively? Why are these judged to be important? Are there any gender differences?
- Which government and non-government institutions have the most positive or negative impact on men and women? Why? Give examples of people's experiences. Are there any gender differences?

w do people rate these institutions?

- How do people rate these institutions in terms of trust and confidence that they place on them? Why? Give examples of why people rate particular institutions high or low? Are there any gender differences?
- How do the people rate the effectiveness of these institutions? What factors do they consider to judge effectiveness? Give examples. Are there any gender differences? Explain.

Do people feel that have any control or influence over these institutions?

- Which institutions do the people think they have some influence over?
- Which institutions would they like to have more control and influence over?
- Do some people/groups have some influence over these institutions and others are left out? Who gets left out?

ping with crisis: This issue deals with understanding safety nets, informal or formal insurance or availability and outreach of government programs.

- During times of financial/economic crisis, because of loss of property, jobs, or livelihood, poor crops, disease, environmental crisis, or poor health or death, how do people cope? What do they do? How do these affect their lives?
- What institutions, formal or informal, do people turn to during financial crisis?
- Do they mention any government programs? Give details.
- Are these programs reaching them?
- What are their recommendations for change or improvement or new programs if none exist?
- What features should this program have?
- Do they mention any NGO programs?
- Do they mention any informal social networks?
- Are there any gender differences?
- If almost everyone in the community is affected by some event (e.g. floods, droughts, or earthquake), how does the community cope?

A selection of institutional profiles, both positive and negative, can be used in the narrative as well as text boxes to highlight why they are thus evaluated by the people.

6. Gender Relations

Gender Relations: Issues for Narrative

Are women better- or worse-off today as compared to the past?
Are there any changes in:

- Women's and men's responsibilities within the household? Why?
- Women's and men's responsibilities in the community? Why?
- Women's and men's role in the decision making process within the household? Why?
- Women's and men's role in the decision making process in the community? Why?
- Violence against women within the household? Why?
- Violence against women within the community? Why?
- Do women feel they have more/less power today (with their definition of power)? Why?

Are there differences in gender relations among different groups within the community?

- Are some women better-off than other women in the same community (with their definition of better-off)?
- Have the changes in gender relations been different for different groups of women in the community?

7. Findings and Conclusions

Annexes

I. Summary Tables on Well-being
II. Summary Tables on Priorities
III. Summary Tables on Institutions
IV. Country map with study sites marked on it

Annex I. Summary Results on Well-Being

Table 1: Reproduce the Well-being matrices from two or three discussion groups that illustrate common patterns.   Also provide one or two matrices that show variations

Table 2: Proportion of households/population in the poorest category/ies according to different groups at each site (Rural sites)

	Poor groups			**Other groups (specify)**			**Comments**
	Men	**Women**	**Youth**				
Site 1							
Site 2							
Site 3							

Note: The definition of poor can vary from site to site and group to group. These differences should be noted in the comments column.

Table 4: Proportion of households/population in the poorest category/ies according to different groups at each site (Urban sites)

	Poor groups			**Other groups (specify)**			**Comments**
	Men	**Women**	**Youth**				
Site 1							
Site 2							
Site 3							

Note: The definition of poor can vary from site to site and group to group. These differences should be noted in the comments column.

Table 5: Major trends in poverty and well-being

Trends	Rural	Urban
Increased poverty		
Minor increase in poverty		
No change		
Increased well-being		

NOTE: Mark cell which most closely presents the trends in poverty/well-being.

Table 7: People's perceptions of main causes of poverty – Rural and Urban

Main causes of poverty	Rural	Urban

NOTE: Mark cells to show main causes mentioned in urban and rural sites.

Table 8: People's perceptions of main causes of poverty – Groups of Men and Women, and Other Poverty Groups in Sample.

Main causes of poverty	Men	Women	Other (specify)	Other (specify)

NOTE: Mark cells to show main causes mentioned in discussion groups.

Annex II. Summary Results on Priorities of the Poor

Table 1: Ranking of Major Problems by Poor Groups by Site*(rural sites)

Problems	Site 1(name)		Site 2		Site 3…				
	Men	Women	Men	Women	Men	Women	Men	Women	
Water	0	1	4						
Health	1	3	2						

Table 2: Ranking of Major Problems by Poor Groups by Site*(urban sites)

Problems	Site 1(name)		Site 2		Site 3…				
	Men	Women	Men	Women	Men	Women	Men	Women	
Water	0	1	4						
Health	1	3	2						
Roads									

Deepa: Please call me to discuss this. I think it will be difficult enough for the groups to aggregate the problems from the various discussion groups in each site report. It will be next to impossible for them to lump problems and rankings into the categories of urban/rural and men/women. I think our statistics intern could work from this data to distill/reduce for our purposes. I feel the same way about the institutions matrices that follow, and decided to keep them as is.

Annex III. Summary Results on Institutional Analysis

Table 1: Ranking of Institutions According to Importance By Groups of Poor Men and Women (rural sites)

Institutions	**Site Name**		**Site Name**		**Site Name**	
	Men	Women	Men	Women	Men	Women

The first column should list all the institutions. The remaining cells can be used to fill the ranks given by groups of poor men and women to these institutions according to their importance.

Table 2: Ranking of Institutions According to Importance By Groups of Poor Men and Women (Urban sites)

Institutions	**Site Name**		**Site Name**		**Site Name**	
	Men	Women	Men	Women	Men	Women

The first column should list all the institutions. The remaining cells can be used to fill the ranks given by groups of poor men and women to these institutions according to their importance.

11. Important points to remember

A) All the team members should be familiar with the objectives of the study and the methodology to be used in the field.

B) Assign responsibilities to the team members before leaving for the field.

C) The purpose of this study is to elicit people's perceptions. Don't impose your own. Facilitate the process, but try not to influence it.

D) Use local language.

E) Carry all the required material to the field.

F) Seek local terms and definitions for analyzing the key issues. Record all the key terms and phrases in the local language.

G) Record as much detail as possible.

H) Remember to record all the explanation for each of the visual outputs.

I) Whenever using the scoring method, give details of whether it is free or fixed scoring, and what is the maximum from which the scores are given.

J) Wherever there is some quantification, give aggregates in the report (e.g. total number of households, number of poor households, etc.)

K) All visual outputs must copied on to A-4 size paper, and must be included in the site report, either in the main text or as annexes.

L) Meet with different groups of people in the community and seek diversity of opinions and experiences.

M) Complete the daily reports before starting for fieldwork the next day.

N) Complete the site report for each site before moving on to another site.

O) Store the field notes and reports, and the site reports in a secure place.

P) Results of the study must be shared with the communities covered by the study.

Q) Submit a site report to the World Bank study secretariat as soon as it is ready. Do not wait for all the sites to be covered. Send to Patti Petesch, Study Coordinator (phone: 202-473-5487; fax: 202-522-3283; email: ppetesch@worldbank.org).

R) In case there are any doubts, get them clarified at the earliest.