

Moving out of Poverty: Understanding Freedom, Democracy and Growth from the Bottom- Up

Methodology Guide

**Deepa Narayan
Patti Petesch**



**Poverty Reduction and Economic Management
The World Bank
July 2005**

Contents

EXECUTIVE SUMMARY	4
PART I. INTRODUCTION.....	10
A. STUDY PURPOSE	10
<i>Objectives and Scope.....</i>	<i>11</i>
<i>Study Timeline</i>	<i>13</i>
B. GUIDING PRINCIPLES FOR STUDY.....	14
C. OVERVIEW OF RESEARCH DESIGN	16
<i>Conceptual Framework.....</i>	<i>16</i>
<i>Defining Sharply the Country-Specific Focus or Key Policy Relevant Questions.....</i>	<i>19</i>
<i>Maximizing Value of Existing Data.....</i>	<i>20</i>
<i>Poverty Measures.....</i>	<i>20</i>
<i>Sampling.....</i>	<i>21</i>
<i>Data Collection Instruments.....</i>	<i>23</i>
<i>Analysis and Syntheses.....</i>	<i>26</i>
<i>General Reporting Requirements.....</i>	<i>27</i>
PART II. COORDINATION OF FIELD WORK.....	28
A. PREPARATION FOR DATA COLLECTION.....	28
<i>Identifying Field Team Members.....</i>	<i>28</i>
<i>Training.....</i>	<i>28</i>
<i>Setting up the Visit.....</i>	<i>28</i>
B. CONDUCTING INTERVIEWS AND FOCUS GROUP DISCUSSIONS	29
<i>Introducing the study.....</i>	<i>29</i>
<i>Principles for Data Collection.....</i>	<i>30</i>
<i>Principles for Note Taking.....</i>	<i>32</i>
PART III. DATA COLLECTION METHODS	35
A. NATIONAL LEVEL: SETTING THE CONTEXT AND DEFINING THE FOCUS OF THE STUDY	35
ACTIVITY 1. SELECTIVE LITERATURE REVIEW	35
<i>Purpose.....</i>	<i>35</i>
<i>Description of Method.....</i>	<i>35</i>
<i>Output.....</i>	<i>35</i>
ACTIVITY 2. KEY INFORMANT INTERVIEW OR A WORKSHOP: NATIONAL TIMELINE	36
<i>Purpose.....</i>	<i>36</i>
<i>Informants.....</i>	<i>36</i>
<i>Data Collection Methods.....</i>	<i>36</i>
<i>Analysis/Outputs.....</i>	<i>42</i>
B. COMMUNITY LEVEL DATA COLLECTION METHODS	43
ACTIVITY 3. COMMUNITY PROFILE	43
<i>Selection of Informants.....</i>	<i>43</i>
<i>Community Profile.....</i>	<i>44</i>
ACTIVITY 4. KEY INFORMANT INTERVIEW: COMMUNITY TIMELINE.....	45
ACTIVITY 5. FOCUS GROUP DISCUSSION: LADDER OF LIFE	51
ACTIVITY 6. FOCUS GROUP DISCUSSION: LIVELIHOODS, FREEDOM, POWER, DEMOCRACY AND LOCAL GOVERNANCE.....	71
ACTIVITY 7. FOCUS GROUP DISCUSSION: ASPIRATIONS OF YOUTH.....	82
ACTIVITY 8. TWO MINI CASE STUDIES: COMMUNITY-WIDE EVENTS AND FACTORS AFFECTING MOBILITY.....	90
FOCUS GROUP DISCUSSION: CONFLICT TIMELINE AND INSTITUTIONAL MAPPING	93
INTERVIEW GUIDE	97
<i>Section 1. Public Safety and Dispute Resolution.....</i>	<i>97</i>
<i>Section 2. The Trajectory of Conflicts.....</i>	<i>99</i>

C. INDIVIDUAL LEVEL DATA COLLECTION METHODS	104
ACTIVITY 9. HOUSEHOLD QUESTIONNAIRE	104
ACTIVITY 10. OPEN-ENDED INTERVIEW: INDIVIDUAL LIFE STORIES	113
PART IV: SYNTHESIS REPORTS	129
METHODOLOGY GUIDE ANNEXES	142
ANNEX I. FORMATS FOR QUALITATIVE DATA COLLECTION	143
<i>Activity 4. Key Informant Interview: Community Timeline</i>	<i>143</i>
<i>Activity 5. Focus Group Discussion: Ladder of Life</i>	<i>148</i>
<i>Activity 6. Focus Group Discussion: Livelihoods, Freedom, Power, Democracy and Local Governance</i>	<i>164</i>
<i>Activity 7. Focus Group Discussion: Aspirations of Youth.....</i>	<i>178</i>
<i>Activity 8. Focus Group Discussion: Conflict Timeline and Institutional Mapping.....</i>	<i>187</i>
Section 2. The Trajectory of Conflicts	190
<i>Activity 10. Open-Ended Interview: Individual Life Stories</i>	<i>203</i>
ANNEX II. COMMUNITY PROFILE.....	205
ANNEX III. HOUSEHOLD QUESTIONNAIRE	206
WORLD BANK STUDY TEAM.....	207

Executive Summary

Purpose: To conduct a large scale global study in 10 to 15 countries to learn retrospectively from those who were once poor but have moved out of poverty and stayed out of poverty in different political, governance and economic environments.

Moving out of Poverty: Understanding Freedom, Democracy and Growth from the Bottom Up builds directly on the *Voices of the Poor* study. To learn systematically about how to reduce poverty, we can learn a great deal from people who have actually moved out of poverty and stayed out of poverty. Fundamentally, the study seeks to enhance understanding of the interactions and sequencings that unleash poor people's economic potential and support broad-based transitions out of poverty. The global breadth of the study will enable examination of these factors across different political, social, and economic environments. The study also endeavors to contribute new methodological approaches to building on available poverty data and integrating quantitative and qualitative methods.

It is clear that growth is critical for poverty reduction, but is not enough. Large numbers of people must participate in the growth process for there to be poverty reduction on a large scale. There remains, however, relatively little agreement on how to achieve such pro-poor growth in countries with very different conditions. Most of our knowledge is based on household surveys that focus primarily on household economic and demographic characteristics. In addition, while formal democracy is important, what matters for poverty reduction is how democracy at the local level links to economic opportunity. Yet there is little comparative research on the nature of these linkages.

Moving Out of Poverty inquires into social, political and institutional factors and how these help and hinder access to economic opportunities. Moreover, most poverty studies examine poverty at one point in time. This study is about mobility rather than static poverty. It probes into the processes and the how's and why's that enable people to maintain and accumulate wealth at different levels of wellbeing.

Key questions that the study will examine are:

- How and why do some men and women move out of poverty and stay out of poverty while others are able to maintain their wealth, some fall, and some remain trapped? What wealth maintenance strategies do people use?
- Do people experience mobility differently under contexts of fast and slow economic growth? Does the extent of global integration affect people's mobility?
- Are there gender differences?
- Do networks and social identity matter in men's and women's upward climbs?
- Do the quality of local governance, "depth" of democracy and freedom make a difference?

This Methodology Guide was developed for the country research teams participating in the study. The tools were piloted in five countries, discussed extensively at five international methodology workshops, and went through additional revisions following regional trainings for country teams in East Asia (November 2004), Africa (January 2005) and South Asia (March

2005). Part I of the Guide introduces the purpose of the study and provides guidance on research design. Part II offers tips for managing the field work. A presentation of each data collection tool can be found in Part III. Part IV discusses the community and national synthesis reports.

Research Design

While this is a global comparative study on how people move out of poverty, the research design will need to be refined in each of the study countries to ensure that the critical policy issues for growth and poverty reduction are addressed. Leading development experts in the public, private and civic sectors should be consulted in formulating the policy focus. And to ensure that the study results will be meaningful and useful to national policy dialogues, the policy focus of the country work then needs to inform the sampling design, refinements of the methodology to the country context, and the data analysis and presentation of findings.

The analytic framework for the Moving Out of Poverty study assesses inequality embedded in institutional relations. It examines the relationship between the existing opportunity structure, people's agency and their mobility patterns. The framework looks at the relationship between the agency of disadvantaged groups and the broader opportunity structure within which they operate. The framework is designed to be helpful in understanding the key factors and processes that facilitate or constrain poor people's efforts to improve their own wellbeing.

As far as possible the study will be linked to existing longitudinal data sets; and in countries with panel data, the sampling areas and households in the panel will be revisited. In countries without panel data, the study is linked to available cross sectional data sets and Poverty Maps.

Coordination of Field Work and Data Collection Methods

Preparation for the field will vary greatly depending on the experiences of the field team and local circumstances. Leading concerns will be mobilizing a skilled team; providing extensive field-based training on methods, note taking, and report preparation; and ensuring a common understanding among team members of the purpose and process for using each of the data collection tools. A particular concern for this study is to ensure that teams are consistent in their references to the period of time, geographic area, and local government bodies under study as well as the terms to be used for introducing key study topics.

The study combines in new ways quantitative, qualitative and participatory research approaches to understanding the dynamics of the movement out of poverty and the dynamics of wealth maintenance, chronic poverty and downward falls into poverty. Four primary data collection tools will be used: a household questionnaire, focus groups discussions, semi-structured household interviews, and key informant interviews with policymakers and community leaders. An overview of the methods can be found at the end of the executive summary, and formats are provided in Annex I to assist teams with data collection and analysis of the qualitative methods.

Synthesis Reports

Each country team will be responsible for preparing community synthesis reports and a national synthesis report. These reports should feature as much as possible people's own voices and perceptions of what matters most for moving out of poverty. In addition, teams will need to make available all original data and analysis from the community electronically and in English, and household questionnaires. Together this data and analysis provide the basis for conducting the global synthesis.

Moving Out of Poverty: Data Collection Methods		
<i>Data Collection Method</i>	<i>Purpose</i>	<i>Informants</i>
Activity 1. Selective Literature Review	<ul style="list-style-type: none"> To provide background to the key growth and poverty puzzles in the country; and To help design the study. 	Secondary sources
Activity 2. Key Informant Interview or a Workshop: National Timeline	<ul style="list-style-type: none"> To identify key policy questions to be addressed by the study, and To develop a national timeline of key events and policies that have helped or hindered people's movements out of poverty. 	Various policy experts from government, civil society, & private sector
Activity 3. Community Profile	<ul style="list-style-type: none"> To identify community level factors that have helped or hindered movement out of poverty and the overall prosperity of the community over the past 10 years; and To quantify and code data emerging from focus discussions based on their ratings of issues ranging from community prosperity to freedom and inequality. 	<ul style="list-style-type: none"> Key informants
Activity 4. Key Informant Interview: Community Timeline	<ul style="list-style-type: none"> To understand <i>community</i> level events or factors that have helped or hindered movement out of poverty and the overall prosperity of the community; and To gain an understanding of the local context. 	2-4 local key informants in a group or separately
Activity 5. Focus Group Discussion: Ladder of Life	<ul style="list-style-type: none"> To identify the range of factors that helps or hinders movement out of poverty or prosperity over time at the <i>community</i> level; To identify the range of factors that helps or hinders movement out of poverty or prosperity over time at the <i>household</i> level; and the reasons for movement at the different levels; To identify the sequencing and interaction among the factors at the household level that enable movement at different steps of the Ladder of Life; and To identify the movement status of specific households in the community. 	<ul style="list-style-type: none"> 1 Focus Group Discussion (FGD) of adult men 1 FGD of adult women
Activity 6. Focus Group Discussion: Livelihoods, Freedom, Power, Democracy and Local Governance	<ul style="list-style-type: none"> To understand trends in economic opportunities for the community; To understand the impact of government rules and regulations and other factors on access to economic opportunities; To explore people's understanding of the concepts of freedom, power, and inequality; and how these concepts relate to economic mobility and wellbeing; and To explore people's understanding of democracy and how democracy is working at the local level. 	<ul style="list-style-type: none"> 1 FGD of adult men 1 FGD of adult women <p>(Depending on the local context, this FGD can be conducted as one discussion; or can be divided into two sections:</p> <ol style="list-style-type: none"> One group undertaking discussion on Section 1: Sources of Economic Opportunities and the Role of Governance; Another group exploring Section 2: Exploration of Freedom, Power, Inequality and Democracy. <p>If divided into 2 sections, a total of 4 FGDs per community will be needed for this activity.</p>

(continues on the following page)

Moving Out of Poverty: Data Collection Methods (cont.)

<i>Data Collection Method</i>	<i>Purpose</i>	<i>Informants</i>
Activity 7. Focus Group Discussion: <u>Aspirations of Youth</u>	<ul style="list-style-type: none"> To explore youth aspirations for earning a living; and steps they are taking to prepare for their future. To explore youth understandings of the concepts of freedom, power, inequality and democracy; and how these concepts relate to economic mobility and wellbeing. 	<ul style="list-style-type: none"> 1 FGD of male youth 1 FGD of female youth
Activity 8. Two Mini Case Studies: <u>Community-Wide Events and Factors Affecting Mobility</u> Focus Group Discussion: <u>Conflict Timeline and Institutional Mapping</u> <i>(For countries affected by conflict)</i>	<ul style="list-style-type: none"> To provide in-depth analysis from a range of perspectives on two important events or factors affecting the overall economic prosperity of the community over the past ten years. To understand public safety conditions and trends over the last ten years, and local mechanisms for ensuring safety and resolving disputes in the community; To understand the major conflicts or disputes in the community over the last ten years; To assess how conflict affects livelihoods in the community; and To examine the functioning of and changes in community institutions in areas affected by conflict. 	<ul style="list-style-type: none"> Key informants and FGDs
Activity 9. <u>Household Questionnaire</u>	<ul style="list-style-type: none"> To identify the range of factors that help or hinder mobility of individuals within the larger context of their households 	<p><u>For countries with panel data:</u> Depending on panel sample size and sampling strategy chosen, the team should revisit panel households and interview an adult member of the household (30-60 years of age). If unable to identify a large enough sample from the panel, individuals may be randomly selected from households identified through the Focus Group Discussion: <u>Ladder of Life</u> that belong to a particular category of movement.</p> <p><u>For countries without panel data:</u> Select informants based on the household sorting exercise undertaken during the Focus Group Discussion: <u>Ladder of Life</u>.</p>

Moving Out of Poverty: Data Collection Methods (cont.)

<i>Data Collection Method</i>	<i>Purpose</i>	<i>Informants</i>
<p>Activity 10. Open-Ended Interview: <u>Individual Life Stories</u></p>	<ul style="list-style-type: none"> • To understand the life stories of how and why some individuals escape from poverty, and the factors and processes that led to their escape; • To understand the life stories of how and why some individuals manage to maintain their wealth, and the factors and processes that helped in maintenance of their status; • To understand the life stories of how and why some individuals remain trapped in chronic poverty, and the factors and processes that kept them in poverty; • To understand the life stories of how and why some individuals fall into poverty, and the factors and processes that led to their decline into poverty; and • To understand the factors and processes that come together for accumulation or depletion of assets and savings. 	<p>Adults (men or women) who are 30 to 60 years of age. It is important that a Household Questionnaire be completed with each informant with whom the <u>Individual Life Stories</u> tool is conducted.</p> <p>Identification of informants follows a similar process as selection of informants for the questionnaire.</p>

PART I. INTRODUCTION

A. Study Purpose

Why and how do some poor people move out of poverty and stay out of poverty while others are able to maintain their wealth, some fall, and some remain trapped in chronic poverty? *Moving out of Poverty: Understanding Freedom, Democracy and Growth from the Bottom Up* is a global 10-15 country study to explore the dynamics of 5-to-10 year transitions out of poverty and chronic poverty from the perspectives of the men, women and youth who have lived through these experiences. The study seeks to understand from the bottom-up the factors that unleash poor people's economic potential and support their transitions out of poverty. The global breadth of the study will enable examination of economic, social, political and institutional factors across different environments.

There is broad agreement that growth that benefits the poor is critical for poverty reduction. But there is little agreement on how to achieve it in countries with very different initial economic, political and social conditions. Most of our knowledge is partial, based on household surveys that focus primarily on household economic and demographic characteristics, rather than on the social, political and institutional conditions that operate at the community and national levels and also shape access to opportunities.

A review of the economic literature based on household surveys, cross-country regressions, and panel studies confirms that the cluster of factors most often associated with growth that benefits the poor are: household endowments; geography; economy-wide factors including macroeconomic volatility and trade policies; and initial levels of inequality in assets, land, and education and literacy. Recent studies using panel data and poverty maps over time contribute further to understanding sources of growth and the role of inequality in initial conditions. However, researchers state over and over again that measurement error is likely to be high in these studies. Further, these studies do not examine interaction among variables, nor do they usually include social, institutional or political factors.

The number of democratically governed countries around the world has doubled over the last couple of decades. Overall, the new democracies have been slow and steady but not spectacular in reducing poverty. Hence, despite normative assumptions about democracy, it is unclear whether mobility strategies out of poverty and the experience of economic freedom and choice vary significantly across political and governance systems. How do democracy and governance systems impact poor people's experiences of economic freedom and choice at the local level?

Starting from the bottom up, this study seeks to address these questions and provide policy insights based on the experiences of those who have actually moved out of poverty and stayed out of poverty over time, those who have maintained their wealth over time, and those who have fallen down and/or stayed trapped in chronic poverty. Putting our assumptions aside, the study will explore a wide range of social, political, institutional and economic mechanisms that hinder

or facilitate poor people's access to economic opportunity and movement out of poverty. It will *complement* and make use of ongoing work at the macro level.

The study has strong relevance for the design and monitoring of poverty reduction strategies and policies in developing countries. Policymakers' and local people's perspectives of key events and policies that have impacted poverty reduction over the last decade will be compared. The study will also provide insights on people's own definitions and understandings of mobility, freedom, power and aspirations, and how these concepts link to building assets or wealth creation.

The study will maximize use of existing data sets on poverty, governance and service provision. These may be panel studies at the household or community level, cross sectional studies, or poverty maps. Both questionnaires and open-ended methods will be used and integrated through the analytic and sampling frameworks. The research program will be undertaken in close collaboration with governments to inform poverty reduction policy processes and enhance local learning and action.

Objectives and Scope

The study is primarily concerned with examining the *dynamics* of 5 to 10 year transitions out of poverty and the dynamics of wealth maintenance from the perspectives of those who have lived through these experiences. In addition, the study will explore the life stories of individuals who remained trapped in chronic poverty and fallen into poverty. The global breadth of the study will enable examination of mobility and poverty over time across different political, social, and economic environments. The study will take place in countries with and without rapidly growing economies and with strong and weak democracy and governance systems.

The key questions that the study will examine are:

- How and why do some men and women move out of poverty and stay out of poverty while others are able to maintain their wealth, some fall and some remain trapped? What wealth maintenance strategies do people use?
- Do people experience mobility differently under contexts of fast and slow economic growth? Does the extent of global integration affect people's mobility?
- Are there gender differences?
- Do networks and social identity matter in men's and women's upward climbs?
- Do the quality of local governance, "depth" of democracy and freedom make a difference?

In answering these questions, the study will examine perceptions of mobility, freedom, power and aspirations, including people's definitions of these concepts and their ratings of their importance in their lives.

The study particularly probes into factors and process that underpin wealth creation and maintenance at different levels wellbeing. The data collection tools are designed to learn from the experiences of the middle class as well as from those who have moved out of poverty over

time. For comparative purposes, life stories of the chronic poor and those who have slid into poverty will also be collected.

Given that poverty and wellbeing are multidimensional, the study seeks to uncover **whether the movement out of poverty is also multidimensional**. Interactions among the various dimensions, patterns in the sequencing of factors, and thresholds at which there is strong resilience to falling back into poverty will be examined. The individual life stories and patterns of movements will be examined to see the links to key events and policy shifts at the community and national level. The study will also explore gender differences in the triggers for escaping poverty and maintaining wealth.

It is already well established that over short periods of 1-3 years, there is a lot of movement in and out of poverty, or what is commonly referred to as “churning around the poverty line.” This study is interested in longer term movements out of poverty. Depending on key events at the country level and availability of data sets, the study will explore movements for the period of five to ten years ago, rather than shorter-term fluctuations in income and wellbeing. The focus will be principally on the upwardly mobile and never poor. Given that much is already known about the triggers that push households down into and that keep them trapped in poverty, a smaller sample may be included of these groups. The sampling decisions regarding comparison groups, however, will be made at the country level.

Household surveys generally use the household head as the unit of analysis. While this will be retained for comparability of quantitative data sets over time, focus group discussions and life stories will be conducted with women, men and youth to gain their different perspectives on similar issues. In addition, interviews will be conducted with local and national government officials to gain their perspectives on triggers for growth and poverty reduction over the last decade.

To explore the dynamics of mobility and chronic poverty, the study will probe five broad topics:

- *Mobility*: What are the processes and events that trigger a permanent move out of poverty? What is different about people who move ahead at different levels of wellbeing? What are the different types of assets and how do these dimensions interact to support movement out of poverty? Are there thresholds of consolidation? What helps people to accumulate assets and make their assets more productive? What helps to strengthen resilience to shocks? Are there gender differences?
- *Freedom*: What does freedom mean? What are the different dimensions of freedom? What is most important to people? In the household? At work? In the community? Do some people have more freedom than others? Why?
- *Power*: What does power mean? Does power play a role in transitions out of poverty? How do men and women gain or lose power? Are only individuals powerful? Can groups or communities have power?
- *Democracy and Local Government Functioning*: What is the relationship between people and their local representatives and local government? Do people have access to information about local politics? Do they have influence or access? How? What are the forms and extent of community organizing for political purposes? Do people view issues like participation, accountability, community organizing—and democracy more

generally— as important in their lives or for the development of their communities? How do these issues affect the functioning and performance of local government?

- *Aspirations*: What are people’s aspirations for themselves, for their communities and for their children? What are young people’s aspirations?

Data collection tools have been designed to elicit local people’s definitions of these concepts, and their perceptions of the relative importance of various factors and interactions between factors that constrain or facilitate the movement out of poverty.

Study Timeline

It is expected that country-level research will begin in early 2005, and take approximately 6-7 months to collect, analyze, and report on the data.

After the research and national reports are completed, a global synthesis workshop will be held in January 2006. The global data analysis will begin as soon as national data becomes available, and be completed by December 2006.

	<i>Jan 03 – July '04</i>	<i>July '04 – March '05</i>	<i>Jan '05 – Sept '05</i>	<i>Jan '06</i>	<i>Dec '05 – Dec '06</i>	<i>Jan – Dec '07</i>
Study Preparations: lit. review; workshops; method. dvpt. & pilots	X					
Launch study and identify and train country teams		x				
National fieldwork and data analysis; synthesis workshops			x			
International workshop on country studies				x		
Dissemination of country reports; global data analysis					x	
Global Synthesis Reports: publication and dissemination						X

B. Guiding Principles for Study

1. ***Sharpening the country focus of study.*** While this is a global comparative study on how people move out of poverty, the research design will need to be refined in each of the study countries to ensure that the critical policy issues for growth and poverty reduction are addressed. Sampling decisions will need to be informed by the policy focus, and data collection tools will need to be adapted to local contexts.
2. ***Building ownership at the country level.*** A study that produces new and robust findings is important but insufficient for ensuring that research contributes to helping people move out of poverty. Ownership of the study process by key stakeholders within the country also will be vital for follow-up action—and this will hinge on whether leading actors buy into the research agenda and find the study results salient to the principal policy concerns facing the country. To support the policy relevance of the study, it will be important to understand the views of key development policymakers, NGOs, experts and private sector representatives, and ensure that these views are reflected as far as possible in the research questions. Keeping these stakeholders informed and engaged during key periods of the research process can foster further ownership. This might involve individual consultations, study workshops, briefings, and periodic communications; forming learning or advisory groups; and inviting key actors to join in the field work, review initial findings, or participate in dissemination activities.
3. ***Linking to policies.*** Additional steps should be taken to ensure that the study informs policies to accelerate growth and reduce poverty in the country. In some countries, it may be appropriate to form new learning or advisory groups that include policy officials, or to link to ongoing policy processes such as PRSPs where relevant.
4. ***Maximizing use of existing data.*** The study is designed to build as much as possible on existing data sets. Panel data will be especially valuable, where available. These may be nationally representative, or smaller longitudinal studies that focus on particular regions or communities. There may also be studies over time of municipal performance. In countries without such data, cross sectional studies and poverty maps can also be used to inform the study context, sampling and data analysis.
5. ***Building capacity for mixed methods research.*** Research teams will need to be multidisciplinary to carry out the qualitative and quantitative data collection and analysis. The country teams will be drawn from national research institutes and include economists and sociologists or anthropologists. Teams will receive in-depth training and technical support on the research design, data collection methods, field work management, data analysis and synthesis, and report preparation. A network will be created and opportunities provided at the regional and international levels for the country teams to exchange ideas and experiences during the research process.
6. ***Giving back to communities.*** It is important that the information flow with the communities and households participating in the study not be one way. Research teams are encouraged to prepare information packets about services and resources available to communities.

Synthesis reports must be shared directly with the communities. Community members may also appreciate receiving the visuals from the focus groups and photos of the research there.

7. ***Dissemination.*** National level dissemination should be planned early, and may include local, regional and national workshops, media outreach and special measures to engage senior policymakers. Again, synthesis reports should be provided to the communities in the study. At the international level, global study findings will be disseminated through policy workshops at the World Bank, short pieces in the press, and various policy forums in developing countries. Published studies will be made widely available in the participating countries and worldwide, and on the web.

C. Overview of Research Design

The challenge of the research design is to conduct the study in a way that has credibility across disciplines and is seen as valuable by policy makers. In addition, it should reflect the principles highlighted earlier. This section provides broad guidance on how to take these principles into account to the maximum extent possible while keeping the study to manageable proportions.

Conceptual Framework

The analytic framework for the *Moving Out of Poverty* study is broad and looks at the relationship between the agency of different actors and the opportunity structure within which they operate. It assumes that most societies are stratified and hence assumes inequality in power relations that are reflected in a society's institutions. The framework focuses on the relationship or the interaction between the agency of different actors and the opportunity structure leading to different outcomes in mobility. This section presents the principal domains of the framework. Please refer to the first two chapters in *Measuring Empowerment: Cross-Disciplinary Perspectives* for further discussion and the large literature upon which the framework is based.¹

Figure 1.1 below presents the four domains of the framework – or the key forces that interact to facilitate or constrain poor people's efforts to improve their own wellbeing and also affect broader development outcomes. The figure highlights that the empowerment and movement out of poverty of individuals or groups is influenced by (a) a change in the capacity of these actors to take purposeful actions, that is, to exercise *agency*, and (b) a change in the social, political, and institutional context that defines the broader *opportunity structure* in which these actors pursue their interests. There are multiple interactions between agency and opportunity structure, indicated by the arrow in the center of the figure. Figure 1.2 highlights the key areas of inquiry within each of the four domains.

The Opportunity Structure

The opportunity structure of a society is defined by the broader institutional, social, and political context of a society, and encompasses both the formal and informal rules and norms within which actors pursue their interests. These are the contextual conditions and opportunities that shape the ability of individuals and organizations to participate, negotiate, influence, and hold institutions accountable. The two building blocks that shape the opportunity structure are highlighted below:

- *Institutional climate.* Key formal institutions include the laws, rules, regulations, routines, and implementation processes upheld by states, markets, civil society and international agencies. Informal institutions include norms of social solidarity, superiority, social exclusion, helplessness and corruption that can reinforce or subvert formal rules. Because the rules, regulations, processes, and actions of states are so important in creating the conditions in which poor people and other actors make decisions, analysis of the institutional climate often focuses on the state. The same analysis, however, can be

¹ This section is adapted from Patti Petesch, Catalina Smulovitz and Michael Walton, "Evaluating Empowerment: A framework with cases from Latin America," and Deepa Narayan, "Conceptual Framework and Methodological Challenges," in Narayan, Deepa, ed. 2005. *Measuring Empowerment: Cross-Disciplinary Perspectives*. Washington, DC: World Bank.

applied to private businesses or civic organizations, which are also indispensable to understanding movements out of poverty. Key factors that can foster or constrain institutional change include access to information, rules shaping inclusion and participation, mechanisms for accountability and the enabling environment for collective action.

- *Social and political structures.* Since societies are always stratified to a greater or lesser degree, the opportunity structure is shaped heavily by the nature of social and political structures—and the extent to which they are open or closed, inclusive or exclusionary, cooperative or conflictual. When dominant groups are very cohesive and powerful, and social cleavages are deep and systemic, opportunities and access to services are determined less by individual characteristics than by a culture of inequality that discriminates against and excludes entire social groups, often along ethnic lines. In contexts affected by conflict, it will be especially important to understand shifts in authority structures and in access to resources over time.

Inquiry into the opportunity structure requires exploring how the institutional climate and social structures interact with each other to support or hinder the agency of weak actors. Poor and disadvantaged groups are likely to have the least influence where the institutional climate is closed and there is a strong and unified political and social elite. In this case, formal and informal institutions work in ways that prevent poor people’s claims from being heard, and this is reinforced by a powerful and cohesive elite that has strong means to effectively enforce its interests.

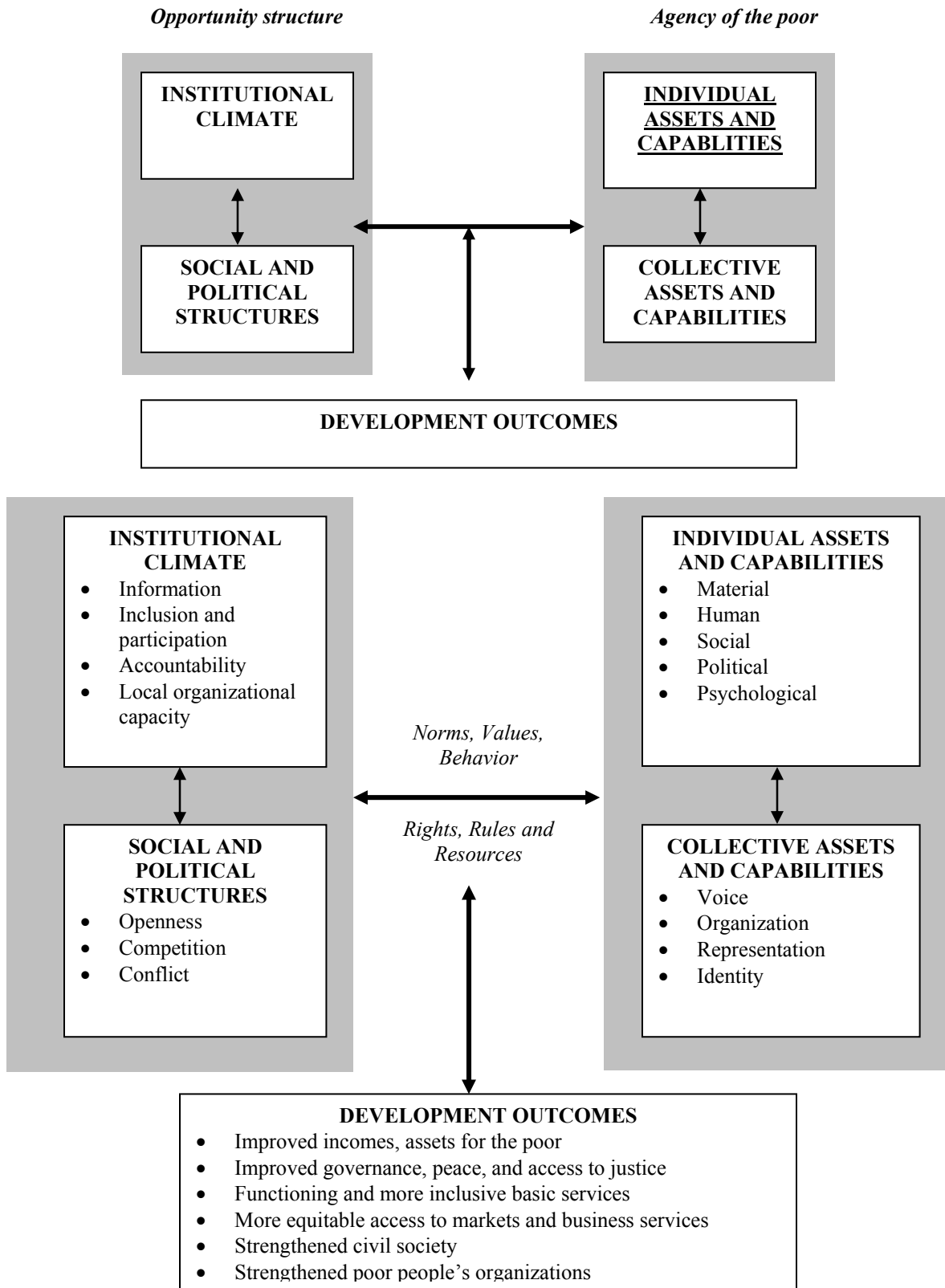
Poor People’s Agency

Poor women and men have limited ability to act to further their own interests. This “inequality of agency” plays a central role in perpetuating inequality and poverty. Embedded in a culture of inequality, poor people need a range of assets and capabilities to influence, negotiate, control, and hold accountable other actors in order to increase their own wellbeing. These assets and capabilities can be *individual* or *collective*. Because poverty is multidimensional, so are these assets and capabilities.

- *Individual assets and capabilities.* “Assets” refers to material assets, both physical and financial. Such assets—including land, housing, livestock, savings, and jewelry—enable people to withstand shocks and expand their horizon of choices. The extreme limitation of poor people’s physical and financial assets severely constrains their capacity to negotiate fair deals for themselves and increases their vulnerability.

Capabilities are inherent in individuals and enable them to use their assets in different ways to increase their wellbeing. Human capabilities include good health, education, and productive or other life-enhancing skills. Social capabilities include social belonging, leadership, relations of trust, a sense of identity, values that give meaning to life, and the capacity to organize. Psychological capabilities include self-esteem, self-confidence, and an ability to imagine and aspire to a better future. The psychological aspect has been generally overlooked and is discussed in the next section. Political capabilities include the capacity to represent oneself or others, access information, form associations, and participate in the political life of a community or country.

Figure 1.1 Overview of the Conceptual Framework



- *Collective assets and capabilities.* The importance of poor people's collective organizations in poverty reduction is only gradually being recognized. Given their lack of voice and power, and given the deeply entrenched social barriers that exist even in many formal democracies, poor people are often unable to take advantage of opportunities to effectively utilize or expand their assets or exercise their individual rights. To overcome problems of marginalization in society, poor people critically depend on their *collective* capability to organize and mobilize so as to be recognized on their own terms, to be represented, and to make their voices heard. These aspects of voice, representation, collective identity, solidarity, and terms of recognition help overcome the deep external social and psychological barriers that are usually internalized by poor people.

There is a reciprocal relationship between individual assets and capabilities and the capability to act collectively. Poor people who are healthy, educated, and secure can contribute more effectively to collective action; at the same time, collective action can improve poor people's access to quality schools or health clinics. However, possession of economic and human capital is not always a necessary condition. Poor, unskilled actors can be active agents where aspirations are high and the organizational basis for collective action exists.

Defining Sharply the Country-Specific Focus or Key Policy Relevant Questions

The study is a comparative study across 10 to 15 countries. This means that the questions the study is addressing and the methodology should be comparable across countries. Within this broad framework, however, and given resource and data constraints, it is important that the study address specific policy questions that are of current concern in each study country.

The primary question is to understand how, why and when do some people move out of poverty at different levels of wellbeing. For comparative purposes, the study is also probing into experiences of individuals who manage to maintain their wealth, stay stuck in poverty, and depending on policy focus, fall downwards into poverty. It is important, however, to define the parameters around this broad exploration. What is feasible is also constrained by existing data sets.

The ability to move out of poverty will vary in different conditions. It will be important to study adequately variations linked to different factors. Study teams, in consultation with others, will have to decide which sets of factors to focus on to provide the most important policy lessons. These might include:

- low growth and high growth areas
- rates of growth associated with different rates of poverty reduction
- poverty, growth and inequality relationships across areas
- quality of governance, conflict and service delivery
- sources of growth, livelihood and openness to global trade
- gender, or differences associated with particular social groups, including youth.

There are usually marked differences within a country on these dimensions, and some will be more important than others. In addition, a lot may already be known about some of these questions. And there could be many other potential questions. The challenge then is to address one or two of these broad questions to deepen our understanding and influence policy and action

on the ground. In general, it is better to address one or two broad questions rather than try to address several without achieving great depth of understanding. As the number of questions increase, so does the sample size for household questionnaires, life stories and focus group discussions.

In reality, reaching a final decision on the specific focus of the study is an iterative process based on data availability, size of country, resources and interest of policy makers. The narrowing or specification of the research question is best achieved through discussion with different actors familiar with the poverty and growth debate or through a half-day workshop with people knowledgeable about the country. This group should include national or state level policy actors for larger countries, and poverty and growth experts within government, research institutes, civil society and representatives from the private sector and donor agencies. Simple questions like the following can help focus the discussion: *what would you like to know at the end of this study? Or, what questions do you want this study to answer? Or, what do you not know that you would like to know?*

Maximizing Value of Existing Data

As far as possible, the study should be linked to existing longitudinal data sets. Based on explorations across countries, what is clear is that there are many panel data sets available although they may not be on households, or be nationally representative. These panel data sets are valuable if household lists are available or if data can be aggregated at the community or ward level. Sometimes valuable data are available over time about municipal performance. These can be used to examine the relationship of mobility to local governance over time, particularly if household data are available for at least one point in time.

For example, in Cambodia, use will be made of a 9 village panel data set conducted between 1997-98 and 2000-2001, and the new wave for 2004 as part of this study. It is representative of different ecological zones and livelihoods. The study will look at factors affecting movements out of poverty in poor villages with little infrastructure and distant from markets, and at villages that are more prosperous and with better services and market access. In Thailand, teams are likely to make use of *community level panel data*² based on a basic minimum needs or socio economic survey data. The study will explore sources of growth, and teams will revisit provinces that have experienced high growth and medium growth.

Poverty Measures

There are a range of wellbeing measures that can be used to measure mobility. Given that this is critical to the credibility of the study, several measures will be used: income- consumption-expenditure data; assets index, which is specific for each country; food security or hunger measures; occupation; and a measure of subjective wellbeing called Ladder of Life. This redundancy is important because no study is likely to have all the measures for two points in time. When the study is based entirely on retrospective recall, it is clear that expenditures cannot

² A term first suggested by Alison Scott at a workshop supported by DFID, ODI and the World Bank in June 2003 in London.

be recalled. But people do remember their assets, occupation, and hunger status, and can provide subjective assessments of wellbeing.

Sampling

In countries with panel data, the sampling areas and households in the panel will be revisited to the fullest extent possible given limitations due to attrition and budgets.

In other countries, teams will visit a small number of communities selected through a carefully designed, systematic sampling framework. The sampling framework will be linked to existing cross sectional studies and poverty maps and will be informed by a three-stage comparative case study approach as discussed below. The first stage is for sampling at the regional, provincial or district level; the second stage is for sampling at the community level (e.g. village or part of a village); and the final stage is for selecting individuals for household questionnaires and individual life stories.

Stage 1. Development literature finds that economic growth is the single most powerful explanatory variable for understanding changes in poverty. Variations in rates of economic growth should therefore be introduced as the first explanatory variable to inform the sampling design. Regions/provinces/districts within a country should be classified into high and low growth areas depending on the unit level at which data is available. In poorer countries, communities can be stratified by high/medium and low growth areas.

The specific units and time period for this level of stratification will depend on the available data sets:

- Where *panel* data is available, economic growth rates can be determined at the community level (or enumeration area level) by aggregating income/expenditure modules for the different waves of the panel
- In countries where only *cross sectional* data is used, growth rates should be determined at the lowest level for which data is available from representative household surveys, national accounts, or other provincial/district level proxy indicators. The level may be at the provincial/state or, preferably, at the district or subdistrict levels.
- Finally, this stage of the sampling design may also be informed by impressions and ratings of informed observers including policymakers, representatives from the government, private sector, and civil society.

Once the provinces/districts/sub-districts within a country have been classified into high/medium versus low growth areas, the research team may purposively select provinces/districts/sub-districts for the study. The purposive selection at this stage should be based on the principle of maximizing variance. For example, if a country has 20 provinces split into 5 high and 15 low growth provinces, and the team wants to select 1 province each from both the subsets, then the 2 provinces selected should be as different from each other as possible – in terms of their demographic and ethnic composition; quality of infrastructure; human development indicators etc. This selection of widely diverging contexts is designed to help sharpen patterns and ensure that the results of the research will be meaningful for a wide range of contexts. However, if for a country context, it makes sense to minimize variance on key factors such as modes or primary means of livelihood, the teams are free to do so.

For conflict countries, the first level should be to select areas with variations in major and prolonged conflict and stages of recovery from major conflict as marked by key events such as civil war, genocide, riots, and other forms of major violence.

Stage 2. At the second stage of sampling design, stratification of communities should be introduced based on one or at the most two critical explanatory variables of interest as indicated by the policy focus. For example, if the policy focus of a country study is to explore the importance of road networks to people's movements out of poverty, then within high and low growth areas in the country, communities should be stratified into those with high and low access to roads. Below is an illustrative sampling scheme for a country study with a policy focus on the importance of access to roads to people's movements out of poverty.

Stage 1

	<i>High Growth, 1995-2005</i>	<i>Low Growth, 1995-2005</i>
Provinces	A (5 percent growth)	B (1 percent growth)

Stage 2

	<i>High Growth (Province A)</i>	<i>Low Growth (Province B)</i>
<i>High Access to Roads in 1995</i>		
<i>Low Access to Roads in 1995</i>		

Four basic principles should be adopted while stratifying and selecting communities in stage 2:

1. As in stage 1, this stage of the sampling should be informed by available data sets (panel; cross-sectional); proxy indicators; and interviews with informed observers.
2. Communities should be chosen by maximizing variance on the variable of policy interest. For example, if the policy focus of a country study is to understand the importance of road networks for movements out of poverty, both communities with high and low access to roads should be selected.
3. Since the global study focuses on *permanent* transitions out of poverty over a 10-15 year timeframe, it is important to know the status of the explanatory variable 10 years ago. This is essential to trace links, if any, between different initial conditions and mobility outcomes. In the above example therefore, stage 2 of the sampling design will need to be informed by data sets on access to roads dating at least 10 years back in time.
4. Once communities within provinces have been stratified by those with high and low access to roads 10 years ago, final community selection should be based on the principle of randomization i.e. communities should be selected randomly from each of the cells in the above table.

Some country teams may want to understand the impact of more than one explanatory variable in people's efforts to move out of poverty. For instance, in the above example, in addition to roads, the country team would also like to analyze the role of HIV/AIDS and how it impacts

movements out of poverty. In such a case, a 2x2 comparison matrix for each Province may be developed as shown below:

High Growth Province (Province A)		
	<i>High incidence of HIV/AIDS in 1995</i>	<i>Low incidence of HIV/AIDS in 1995</i>
<i>High Access to Roads in 1995</i>		
<i>Low Access to Roads in 1995</i>		

Stage 3. Most poverty research to date focuses on a static picture of understanding the characteristics of the poor and what keeps them trapped in chronic poverty. This study is looking at changes in wellbeing over time and will focus especially on the upwardly mobile or “movers” at all levels of wellbeing and those who have maintained their wealth. In all countries, it will be important to find out how the middle class has maintained its wealth as compared to those who remained chronic poor or slid into poverty.

Finally, a small sample of downward movers will be important to cover particularly in countries with rising poverty because their experiences are also central to understanding what helps and hinders poverty reduction. If poverty is falling, however, and a great deal is already known in the country about what causes households to fall into poverty, then this category can be very small or dropped from the sample so that more can be learned from the other categories.

The matrix below identifies the four transitions groups of interest to the study. In parenthesis are suggestions for the distribution of the sample for the Life Histories and Household Questionnaires, but again, this should be tailored to poverty trends and what is already known about poverty in a country.

10 years ago	Now	
	<i>Poor or Worse Off</i>	<i>Rich or Better Off</i>
<i>Poor or Worse Off</i>	Chronic Poor (20%)	Movers (40%)
<i>Rich or Better Off</i>	Fallers (10%)	Always rich or better off (30%)

Data Collection Instruments

A key purpose of the study is *to understand if the movement out of poverty is multidimensional* and *why and how* people move out and stay out of poverty. To explore these questions, an integrated package of quantitative and qualitative data collection instruments has been developed. The table below summarizes each of the qualitative and quantitative data collection methods, and Part III of the Guide presents each tool in detail. The methods are sequenced according to data that is collected at the national (or subnational), community and household levels.

Moving Out of Poverty: Data Collection Methods		
<i>Data Collection Method</i>	<i>Purpose</i>	<i>Informants</i>
Activity 1. Selective Literature Review	<ul style="list-style-type: none"> To provide background to the key growth and poverty puzzles in the country; and To help design the study. 	Secondary sources
Activity 2. Key Informant Interview or a Workshop: National Timeline	<ul style="list-style-type: none"> To identify key policy questions to be addressed by the study, and To develop a national timeline of key events and policies that have helped or hindered people's movements out of poverty. 	Various policy experts from government, civil society, & private sector
Activity 3. Community Profile	<ul style="list-style-type: none"> To identify community level factors that have helped or hindered movement out of poverty and the overall prosperity of the community over the past 10 years; and To quantify and code data emerging from focus discussions based on their ratings of issues ranging from community prosperity to freedom and inequality. 	<ul style="list-style-type: none"> Key informants
Activity 4. Key Informant Interview: Community Timeline	<ul style="list-style-type: none"> To understand <i>community</i> level events or factors that have helped or hindered movement out of poverty and the overall prosperity of the community; and To gain an understanding of the local context. 	2-4 local key informants in a group or separately
Activity 5. Focus Group Discussion: Ladder of Life	<ul style="list-style-type: none"> To identify the range of factors that helps or hinders movement out of poverty or prosperity over time at the <i>community</i> level; To identify the range of factors that helps or hinders movement out of poverty or prosperity over time at the <i>household</i> level; and the reasons for movement at the different levels; To identify the sequencing and interaction among the factors at the household level that enable movement at different steps of the Ladder of Life; and To identify the movement status of specific households in the community. 	<ul style="list-style-type: none"> 1 Focus Group Discussion (FGD) of adult men 1 FGD of adult women
Activity 6. Focus Group Discussion: Livelihoods, Freedom, Power, Democracy and Local Governance	<ul style="list-style-type: none"> To understand trends in economic opportunities for the community; To understand the impact of government rules and regulations and other factors on access to economic opportunities; To explore people's understanding of the concepts of freedom, power, and inequality; and how these concepts relate to economic mobility and wellbeing; and To explore people's understanding of democracy and how democracy is working at the local level. 	<ul style="list-style-type: none"> 1 FGD of adult men 1 FGD of adult women <p>(Depending on the local context, this FGD can be conducted as one discussion; or can be divided into two sections:</p> <ol style="list-style-type: none"> One group undertaking discussion on Section 1: Sources of Economic Opportunities and the Role of Governance; Another group exploring Section 2: Exploration of Freedom, Power, Inequality and Democracy. <p>If divided into 2 sections, a total of 4 FGDs per community will be needed for this activity.</p>

(continues on the following page)

Moving Out of Poverty: Data Collection Methods (cont.)		
<i>Data Collection Method</i>	<i>Purpose</i>	<i>Informants</i>
Activity 7. Focus Group Discussion: <u>Aspirations of Youth</u>	<ul style="list-style-type: none"> To explore youth aspirations for earning a living; and steps they are taking to prepare for their future. To explore youth understandings of the concepts of freedom, power, inequality and democracy; and how these concepts relate to economic mobility and wellbeing. 	<ul style="list-style-type: none"> 1 FGD of male youth 1 FGD of female youth
Activity 8. Two Mini Case Studies: <u>Community-Wide Events and Factors Affecting Mobility</u> Focus Group Discussion: <u>Conflict Timeline and Institutional Mapping</u> <i>(For countries affected by conflict)</i>	<ul style="list-style-type: none"> To provide in-depth analysis from a range of perspectives on two important events or factors affecting the overall economic prosperity of the community over the past ten years. To understand public safety conditions and trends over the last ten years, and local mechanisms for ensuring safety and resolving disputes in the community; To understand the major conflicts or disputes in the community over the last ten years; To assess how conflict affects livelihoods in the community; and To examine the functioning of and changes in community institutions in areas affected by conflict. 	<ul style="list-style-type: none"> Key informants and FGDs
Activity 9. <u>Household Questionnaire</u>	<ul style="list-style-type: none"> To identify the range of factors that help or hinder mobility of individuals within the larger context of their households 	<p><u>For countries with panel data:</u> Depending on panel sample size and sampling strategy chosen, the team should revisit panel households and interview an adult member of the household (30-60 years of age). If unable to identify a large enough sample from the panel, individuals may be randomly selected from households identified through the Focus Group Discussion: <u>Ladder of Life</u> that belong to a particular category of movement.</p> <p><u>For countries without panel data:</u> Select informants based on the household sorting exercise undertaken during the Focus Group Discussion: <u>Ladder of Life</u>.</p>

Moving Out of Poverty: Data Collection Methods (cont.)		
<i>Data Collection Method</i>	<i>Purpose</i>	<i>Informants</i>
Activity 10. Open-Ended Interview: <u>Individual Life Stories</u>	<ul style="list-style-type: none"> • To understand the life stories of how and why some individuals escape from poverty, and the factors and processes that led to their escape; • To understand the life stories of how and why some individuals manage to maintain their wealth, and the factors and processes that helped in maintenance of their status; • To understand the life stories of how and why some individuals remain trapped in chronic poverty, and the factors and processes that kept them in poverty; • To understand the life stories of how and why some individuals fall into poverty, and the factors and processes that led to their decline into poverty; and • To understand the factors and processes that come together for accumulation or depletion of assets and savings. 	<p>Adults (men or women) who are 30 to 60 years of age. It is important that a Household Questionnaire be completed with each informant with whom the <u>Individual Life Stories</u> tool is conducted.</p> <p>Identification of informants follows a similar process as selection of informants for the questionnaire.</p>

Analysis and Syntheses

The qualitative methods are designed to enable discovery of the unknown and the how's and why's behind the movements or lack of movements out of poverty. The tools also elicit people's own understandings and interpretations of the factors and processes that have led to or prevented their escapes from poverty.

Both at the community level (in focus groups) and for individuals, these methods explore whether the factors are multidimensional and combine or are sequenced in certain ways. For instance, as people make the transition out of poverty, do some things happen first? Do other things follow? Are there some combinations of factors (material and non-material) – or thresholds in the transition process– that help to protect households so they are no longer vulnerable to falling back into poverty when shocks strike? Are there other patterns that emerge, such as differences between genders, rural and urban, or social groups? How do economic, social, political and institutional conditions at the community level make difference?

In addition, the study calls for gathering diverse perspectives on key national events that have affected growth and poverty reduction. For the national synthesis report, these national views will be compared with the factors, events and processes that emerge from the community and household data.

To support the field teams in data collection, analysis and synthesis of this large study, guidance is provided in each tool on the topics under study and the analysis and outputs which are expected. In addition, formats have been prepared to assist with systematic data collection in the

field, as well as with the analysis and presentation of findings. These formats can be found in Annex I.

The quantitative methods are presented in Part V of the Guide and the actual field instruments are attached as appendices. The first goal of the quantitative analysis of the household and Community Profiles will be to produce a rich descriptive picture of the evolution of poverty status. The quantitative data will tell us which factors have the strongest correlations with movements out of poverty. Examples of questions that will be explored include: is there an association between emergence from poverty and a household's social capital? Are more educated households more likely to emerge from poverty? Are changes in the level of crime or insecurity associated with changes in poverty status? Is there a correlation between a household's perception of freedom and changes in its economic status? This will be the first study to report such findings for a substantial number of countries.

A more ambitious, and considerably more difficult, task will be to try to establish causality: which we may not be able to do. However, comparisons will be drawn. For example, the data collection will enable comparisons among the poverty transitions of households with different initial levels of social capital. Relationships among explanatory variables measured at the community level will also be explored, such as the importance and quality of governance at the local level.

For the national synthesis report, teams will need to integrate the qualitative and quantitative data to produce robust and enlightening findings on the leading factors and processes that contribute to and hinder people's movements out of poverty.

General Reporting Requirements

Each country team will be responsible for preparing a national synthesis report. To support the development of the national report, teams will also be responsible for i) preparing community synthesis reports of the qualitative findings for each community visited; and ii) making available all original data and analysis from the community profiles and household questionnaires. All reports need to be delivered electronically to the global study team typed and in English. Together this data and analysis will provide the basis for conducting the global synthesis.

PART II. COORDINATION OF FIELD WORK

A. Preparation for Data Collection

Careful and thoughtful field work will enable each country team to systematically collect data that will be informative for the National Synthesis Report and for the cross-country analyses that will be conducted by the World Bank study team.

Preparation for the field will vary greatly depending on the experience of field staff and local circumstances. Leading concerns that national teams should pay attention to are discussed below.

Identifying Field Team Members

The key criterion is that each study team should include staff able to:

- comfortably conduct interviews and focus group discussions using open-ended methods with community members,
- systematically and thoroughly document interviews and focus group discussions,
- analyze and synthesize field data into a comprehensive and relevant Community Synthesis Report.

Training

Each study team should undergo a training program of 7 to 10 days before they leave for the field to ensure all members have a shared understanding of the scope of the research, the specific topics under study, methods to be used, and the outputs expected. The training should also include practice field work and write ups. In addition, the teams should be clear on the schedule for the field work, who will be responsible for which parts of the field work, and who will have overall responsibility for completing the Community Synthesis Reports, the Regional Synthesis Reports and the National Synthesis Reports.

Setting up the Visit

Teams should obtain government permissions for conducting the field work as needed. Once the study communities have been selected and an overall fieldwork schedule completed, a member of the field team should introduce the study to a local official or community leader, and establish contact with a locally knowledgeable person to determine when and how best to complete the research tasks. Depending on circumstances, prior to the field teams arrival in the community, the local contact person may also make arrangements for:

- identifying and meeting with key informants for the Community Profile and the Community Timeline

- obtaining the household list for the Focus Group Discussion: Ladder of Life
- identifying quiet places to conduct focus group discussions
- contacting potential focus group participants
- securing lodging and meals for the team

B. Conducting Interviews and Focus Group Discussions

Introducing the study

Prior to working with any individual or group, the study team members should very briefly explain:

- the objectives of the study;
- the type of information which will be solicited during the interview or focus group and how it will be recorded;
- that participation is entirely voluntary and that no adverse consequences will come to those refusing to participate; and
- provisions being taken to ensure the confidentiality of the data and the anonymity of the informants.

Field team members should also be prepared to address any questions or concerns that study participants might have.

Please keep in mind that research of this kind can often generate expectations of some sort of benefits among the people participating in the study. It is therefore important to explain clearly that this is only a study to understand what helps and hinders people from escaping poverty. The study may influence policies at different levels of government and internationally— and in turn have a positive impact on people's lives indirectly. But whether or when this may happen is not possible to predict.

The teams should also decide whether to mention the World Bank, as this may add to expectations.

Although each of the qualitative interviews and focus group discussions has a particular focus, the common element that is true of all them is that they are attempts to document how community members conceptualize, understand and interpret their own lives and that of their community. To gather such information, it will be vital to gain the trust and confidence of the local people. It will be useful for field team members to consider and agree on a common code of conduct that they can follow before they go out to the field, which will help to generate trust with the community. Be respectful and establish a comfortable rapport with participants so they feel they can convey what they honestly think and believe – without fear of ridicule, criticism, aspersion, or reprisal.

Principles for Data Collection

The following principles are proposed for data collection:

1. Build trust. A key objective of every fieldworker should be to reduce the distance between him/her and the study participants. There are many ways to do this. A few include dressing simply, using the same everyday language that is used locally (rather than technical jargon), and demonstrating careful listening of what is being shared. Each research team should discuss among themselves other measures that can be taken to build trust between outsiders and local people during data collection.

2. Be consistent in use of terminology and reference points. It is important for fieldworkers to present topics for discussion with consistent reference points and terminology across the data collection tools and communities visited. For instance, the Focus Group Discussion: Ladder of Life asks the respondents to imagine a ladder with households who are the poorest and *worst off* at the bottom of the ladder and those who are the richest and *very best-off* at the top. If the Ladder is introduced by simply referring to the richest and poorest, the responses generated may not focus as much on the non-economic dimensions of wellbeing. Teams will also need to agree on the geographic area represented by the Ladder of Life, such as the immediate neighborhood or village or perhaps the sub-district (see Activity 5 for further discussion).

Teams should also discuss key concepts and areas of inquiry in the study, determining for instance how best to translate and open the discussion on “power” or which specific body should be referenced for the local government. To support this shared understanding among all of the team members, it will be valuable to develop a glossary of key terms in the study as well as to thoroughly discuss and practice the terms with the entire team.

3. Anchor the recall period: To explore mobility, there are many questions throughout the qualitative instruments that ask people to reflect back 10 years ago. To assist with the recall, it will be useful to substitute a fixed reference year for the term “10 years ago” or similar terms in the questions that require going back in time. The year selected should be one that will stand out in most people’s minds because of a particularly important event. This might be a natural disaster, a change of government, the end of a conflict, an epidemic, or some other happening that will help people place themselves back in time. Also important, allow time during the focus groups and interviews for people’s memories to come alive as events are recalled. Encourage people to think about what was happening in their life at that point in time. For example, if 10 years ago a man just got married, each time a question refers to 10 years ago, introduce the question by referring to “10 years ago when you just got married.”

4. Facilitate an inclusive discussion: It happens often that in a focus group exercise, only 2-3 people dominate the discussion while the rest are passive. These 2-3 active members tend to be the most influential in the community. One means to foster a more open discussion is to disengage the powerful. They might be taken aside to conduct a Community Profile or Timeline. The team leader in the field can do this activity, while the rest of group carries on with the focus group. Another way of overcoming this problem is to meet with community leaders on the first day to gain their trust and on later days they will likely lose interest in the study and allow the team to carry on independently.

5. Probe into contradictory data: It is entirely possible that the research team comes across contradictions in statements made by different focus group members and other informants. This may occur because some questions in the methodology are asked in different ways. In such cases, one needs to crosscheck and find out specifically how the data was collected and the particular questions asked. But sometimes perspectives are genuinely different: between men's and women's focus groups or between a group and an individual; between different ethnic groups etc. So one needs to probe into whether the difference of views is genuine or may be due to lack of information, different reference points and so forth.

6. No leading questions: When you don't get answers for a question, please don't make suggestions. Ask the question in a different way without suggesting an answer. If the members of the focus group are still having difficulties, leave the question and come back to it later.

7. Focus on how's and why's: It is very important when people give reasons, say for the occurrence of a particular event or for increased or decreased prosperity, to ask follow-up questions to increase understanding of the reasons for the changes. For example, if people mention access to cheaper credit as being key to increased prosperity in the community, please ask how and why. Was it because of more banks? More money lenders? More government or NGO programs?

The interest of this study lies in understanding the how's and why's behind movements in and out of poverty. Thus, for instance, if a road has been built that stimulated the economy at the local level, the study is interested in exploring how this process of change has come about and the specifics about the factors and events behind the changes.

8. Capture the details on important topics: Good research always provides specific details. For example, if the community members report that the selling price of rice harvested in the community increased after construction of a road, and this has been an important reason for rising prosperity for many local people, it is important to probe deeply into this change. Find out by how much the price changed and the specific impacts felt. Similarly, if an economic crisis comes up as a factor harming the local economy, explore in detail its impact – on local markets, on credit sources, on services, on jobs, etc.

9. Facilitate analysis of complex issues with visuals: Visuals can help respondents to explore complex relationships and processes behind a topic under study. For example, in the Individual Life Stories, the research team can draw topical timelines and let other members of the respondent's family join in by filling out the various timelines. People like to talk about their experiences and their families. The team can be creative using green dots/stars for events/years that were good; and red/black for ones which were bad.

It is important not to focus too much on creating visuals, but rather to use them to probe deeply into the information being provided, such as connections or patterns that may be present in the visual.

If a visual has been developed in the focus group or an interview, it is important to include sufficient explanatory commentary in the write up of the activity so that the visual can be fully interpreted by someone not present during its development. The visual should be saved or fully reproduced in the write up.

Visuals can also be useful for the rating questions which are woven into the qualitative discussion. For example, in the Focus Group Discussion: Freedom, Power, Democracy and Local Governance, the different options for ratings on the level of community safety can be reproduced on a cardboard/flipchart, which can be carried to different communities to help people more quickly understand the rating options. The discussion should then focus on the reasons behind the rating selected.

10. Do not prolong the discussion: It is critical to be mindful of taking people's time during the data collection. If an activity goes on for too long, respondents get irritated and want to finish. This may be even before the team has received answers to important questions in the activity. So keep an eye on your watches!

Principles for Note Taking

It is not recommended that interviews or focus groups be recorded electronically on tapes. Not only is transcription from tapes a costly exercise, but the ensuing volume of transcripts from this large study would quickly become overwhelming and impossible to analyze within the timeframe of the research.

This means that careful note taking during an interview is *critical*. During a focus group it is essential that someone in addition to the facilitator take notes (see box below).

Each interview and focus group discussion should be individually written up, and contain identifying information including the time and place of the interview or focus group, the subjects covered, the persons providing information, the field team members conducting and documenting that interview, and other relevant information. Formats are provided in Annex 1 to assist in this documentation process as well as to support data analysis and synthesis.

For some note takers, it may be easiest to take notes on plain paper and complete the formats after the activity. Others may find it preferable to take notes directly on the format. We leave this decision up to the individual note takers. Whatever is decided, note takers need to set aside time immediately after every activity to review what they have written as this will likely need to be edited, expanded or explanatory comments added. If too much time passes before the notes are reviewed and refined, it will become vastly more difficult to make sense of or follow up on any partial, confusing or contradictory information and valuable information will be lost forever.

When taking notes, focus first and foremost on documenting key points being made, using as much of the informant's own language as possible. It may be necessary to paraphrase especially long responses, but endeavor to capture in full quotes the most important statements made by the

informant. It can also be valuable to indicate in the notes the topics where there is especially heated discussion or strong agreement or disagreement among members of the focus group.

It may at times be useful to provide some explanatory comments or reflections on what is being said. Be sure to put these comments in the margin or otherwise bracketed so it is always clear what information and analysis is yours and what is directly from the study participants. It is also important to refrain from any complex analysis while taking notes, as this may distract you from carefully documenting what is being said. There will be opportunities for analysis later!

In sum, the following principles are suggested for note taking:

1. Capture people's own voices: To the fullest extent possible, document in people's own words the reasons for upward/downward movement; their hopes and aspirations; their experiences of mobility, freedom, power, inequality and democracy. These findings are what will make the *Moving out of Poverty* study unique. This is the foremost guiding principle for research under this project.

2. Keep language simple: Please use every day language. This research does not demand heavy terminology. It asks for the local people's own local terms, proverbs and sayings.

3. Separate the researcher: It is critical to self-consciously distinguish your (the researcher's) own interpretations from what is being reported by participants. Please do not impose your opinions and biases. Put aside your own world view. Endeavor to see the world view of the community member! For example, if community members tell the team that "they work together; are willing to join forces; their children are happy; their families are warm," please report this in the same words spoken. As a footnote though, a researcher should feel welcome to introduce his/her own comments or interpretations on what the quotation really means.

4. Document sources rigorously: Every single quotation used in reports for this study *must* be accompanied by a reference to the person (or gender at a *minimum*), data collection tool, and community from where the quotation comes. It is thus very important in the note taking to keep track of the names of people, data collection instrument, and location. The importance of careful attention to referencing cannot be stressed enough: quotes, visuals and other evidence without a full source will constrain analysis and have to be dropped from synthesis reports.

5. Complete the formats: Please report the open-ended activities in the formats given at the end of the methodology guide. While doing so, it is critical to give adequate details on the respondents. For instance, while reporting the Individual Life Stories, be sure to identify fully the name of the respondent; age; household survey id if available; and movement status.

6. Build in team work: After a day's work, take time for the team to share notes and give feedback on important findings that seem to be emerging and the additional questions that the team needs to ask to better understand these findings. Also discuss what has gone well and what is missing.

Tips for Facilitating Focus Groups and Using Visuals

Focus Group Discussion (FGD), or small group meetings, are a key method for the qualitative data collection in this study. They are typically conducted in a quiet and informal setting where all the participants are encouraged to present their views and opinions on a topic.

It is best to hold FGDs with relatively homogenous groups of people (e.g. a group of middle aged women). Sensitive facilitation skills— which include an ability to be attentive, listen carefully, to observe the participants, and to ask probing questions— are important. Once a topic has been introduced, or a question has been asked, it is best to allow the group to discuss it among themselves without interruption except for an occasional question to enrich and guide the discussion.

A few of the focus group activities call for introduction of a visual tool. These exercises engage people in producing timelines of key events and Ladders of Life to explore the dynamics and multidimensionality of mobility. Visual techniques can provide a powerful tool for analyzing complex issues and enhancing understanding among local people and the outside researchers. To support an inclusive process, it is often a useful approach for the visuals to be done on very large paper that is in easy reach of all of the participants. The diagrams can be drawn on the ground or a large table surrounded by the focus group members. The facilitator can make markers widely available, and actively encourage everyone to participate in creating and refining the visual. Once a visual analysis is complete, the group should be asked to explain their analysis. Open-ended questions can be asked with the help of the ‘seven helpers’: What? Why? When? Where? Who? How? How much?

PART III. DATA COLLECTION METHODS

A. National Level: Setting the Context and Defining the Focus of the Study

Activity 1. Selective Literature Review

Purpose

A selective literature review will be conducted to:

1. provide background on the key growth and poverty trends in the country; and
2. help design the study.

Description of Method

Provide a briefing note reviewing selected authoritative data and analysis on the key trends in the country's development over the last 10 years. The note should summarize trends in national growth, sources of growth, poverty reduction, the distribution of income, human development, access to basic services and social assistance, and governance. In larger countries, the study may focus on particular states or regions, and the review should be tailored accordingly.

If available, data and analysis should be disaggregated by regions, gender, and the social groups that are important for poverty in the country. In looking at these broad trends, the analysis should help to inform the research questions.

This activity is not intended to be an exhaustive literature review. Much of this information will be available in recent World Bank country assistance strategies and poverty assessments as well governmental national plans. Information on governance might be obtained from recent ratings by Transparency International or Freedom House or national or subnational studies.

Output

The output should be a briefing note of roughly five pages with full citations of the major references and data sets. The briefing note will eventually comprise an introductory section of the national synthesis report.

Activity 2. Key Informant Interview or a Workshop: National Timeline

Purpose

To sharpen the focus and provide background context for the study, by identifying:

1. key policy questions to be addressed by the study,
2. perceptions of different stakeholders on the key events and policies that have helped or hindered people's movements out of poverty; and
3. a **National Timeline** of such key events and policies based on stakeholder perspectives

Data collection on these topics might also provide an opportunity to launch the study process in the country. The team may also want to involve in the study process an advisory group that is linked to existing policy processes; or if none exists, it may be useful to establish a new advisory group.

Informants

A select group of development policy experts from the local and national government, civil society, research institutes, private sector, media, and donor agencies. The informants could be from the national, subnational or district level, depending on the focus of the study.

Due to our own biases, we focus perhaps too much on the government. In most countries these days, it's the dynamism of the private sector which determines livelihoods, economic opportunities, and the investment climate for the poor. Teams are therefore especially encouraged to seek the views of business or financial leaders in addition to senior government officials.

Data Collection Methods

Two broad themes are presented below for data collection and analysis. They are designed to sharpen the focus of the study and provide a **National Timeline** of key events and policies that are important for understanding movements out of poverty from the perspective of different stakeholders. Again, the area of inquiry could be country-wide or at the subnational or district level depending on the study.

1. Key policy questions to be addressed by the study. The study should be done in a way to address specific policy questions that are of concern for the country. The primary question for the study is to understand how, why and when some people move out of poverty while others stay trapped or fall into poverty, or remain well off. The ability to move out of poverty will vary in different conditions. It will be important to study adequately variations linked to different factors. Study teams, in consultation with others, will have to decide which sets of factors to focus on to provide the most important policy lessons. These might include:

- low growth and high growth areas;
- different relationships between growth and poverty reduction;

- sources of growth, livelihood and openness to global trade;
- poverty, growth and inequality relationships across regions, districts or communities;
- quality of governance, conflict and service delivery; or
- gender differences; or differences associated with particular social groups, including youth.

Or there may be other policy questions.

There are two possible methods for identifying the policy focus. First, is to conduct a series of interviews with policy experts, because it can be easier to meet individually with knowledgeable people rather than to try to get them together. Second, a workshop (see below) could be conducted to engage different stakeholders in discussions about these topics.

2. Stakeholder perspectives on key events and policies that have affected people's movements out of poverty. Provide a range of stakeholder perspectives on key events and policies that have had important impacts on the country's growth and poverty trends. Key questions to explore:

- What are the major events and policies that have had an important positive or negative effect on growth or overall poverty reduction in the past ten years? Describe the events in some detail.
- For each event or policy identified, discuss the nature of the impact on the country. Were some areas of the country or social groups affected more than others?
- Of all of the events and policies discussed which two are the most important? Should these be the focus of the study?

It is important to get the perspectives of the different stakeholders on these questions.

3. National timeline of key events and policies according to stakeholders. To collect and document stakeholder views, it will be useful to develop for each stakeholder group a ten-year **National Timeline** of the major policy changes or events that seem to have helped or hindered people's movements out of poverty. When developing the timeline, we are especially interested in the last ten years, but the timeline may include other significant events or changes that may have occurred before 1995, if relevant for your country. The starting year should be specific for your country, perhaps marking a change in government. Depending on the focus of the country study, the events identified might be at the local or district level, or at the subnational, national or international level. Examples may be the Asian financial crisis of 1997; a national-level policy shift or shock such as trade liberalization, fiscal crisis, or major education or health reforms; or more localized events such as a natural disaster or conflict.

Again, teams should feel free to gather this information in the manner that is most efficient for them. A one- or half-day workshop may be the fastest way to collect the different perspectives, but teams can also hold a series of key informant interviews with different stakeholders. For illustrative purposes, a one-day workshop design is provided below.

Once data collection in these two areas is complete, you may want to share the conclusions with the advisory group for the study if there is one.

One-Day Workshop Design

The workshop is designed to generate conclusions on the leading policy questions for the study, and clarify views of various stakeholders on key events and policies that help or hinder movement out of poverty. Box 1 below provides a suggested agenda for a one-day participatory research workshop for the study.

Please feel free to modify the program content and format however appropriate. The agenda, for instance, can easily be shortened to a half-day program featuring the afternoon session on the **National Timeline** of key events and policies if the policy focus of the study has already been established.

Box 1. Sample Research Workshop Agenda

Moving Out of Poverty: Understanding Freedom, Democracy and Growth from the Bottom-Up
[Insert sponsors, date and venue]

9:00 to 9:45	Session I: <u>Setting the Study Context</u> <i>Panel Presentations</i>
	Welcoming Remarks Introduction to Study What Do we Already Know about Growth and Poverty Reduction?
9:45 to 11:00	Session II: <u>What are the main policy questions for the study?</u> <i>Small Group Work I</i>
11:00 to 11:15	<i>Tea Break</i>
11:15 to 12:30	<u>Report Back to Plenary and Open Discussion</u>
12:30 to 2:00	Lunch
2:00 to 3:30	Session III: <u>National Timeline of Key Events and Policies according to Stakeholders</u> <i>Small Group Work II</i>
3:30 to 3:45	<i>Tea Break</i>
3:45 to 4:45	<u>Report Back to Plenary and Open Discussion</u>
4:45 to 5:30	Session IV: <u>How Will the Study Inform Policy?</u> <i>Plenary Discussion</i>

Description of Workshop Sessions

The format for the workshop is designed to be participatory, and draw extensively on the knowledge of the diverse participants. A facilitator with experience in participatory workshop methods can make a valuable contribution to the overall design, flow and substance of the workshop. Below are additional suggestions on the format for each of the sessions. Please refer to the opening paragraphs of this subsection on “Data Collection Methods” for further guidance on the substance if needed.

Session I: Setting the study context. The opening session provides an opportunity for:

- i) welcoming and introducing the workshop participants;
- ii) reviewing the workshop purpose and program;
- iii) providing background about the objectives and design of the global study (if useful, a briefing note and PowerPoint presentation about the global study are available upon request from the World Bank study team); and
- iv) presenting background information on growth and poverty trends in the country (this is optional, and might be delivered by the study team leader or a senior policymaker).

Session II: What are the main policy questions for the study? This session is designed to sharpen the policy focus of the study.

The facilitator should divide up the workshop participants into small groups, ensuring that each group includes diverse representatives from across the sectors (governmental, civic, private) participating in the workshop.

Each small group should be instructed to select a moderator to lead the discussion and a rapporteur to take notes and present the work of the group in plenary. Each group should then be directed to discuss and reach conclusions on the following questions:

- What do we know about how people move out of poverty in the country?
- What do we not know?
- What do we want to know that has policy relevance?

For example, the group may want to focus on one or two policy puzzles linked to understanding when and how people move out of poverty. The central policy questions will vary according to several factors and the group will have to decide which are most important. For instance, the country study could examine policy concerns related to mobility, and

- low growth and high growth areas;
- different relationships between growth and poverty reduction;
- sources of growth, livelihood and openness to global trade;

- poverty, growth and inequality relationships across regions, districts or communities;
- quality of governance and service delivery; or
- gender; or differences associated with particular social groups, including youth.

Or there may be other policy questions that the study should focus on.

These are difficult questions, and the small groups should be given adequate time to reach conclusions and prepare for reporting back to plenary. It will be helpful to have plenty of large cards or sheets of paper, markers and flipchart paper for each small group so that all of the participants can actively engage in recording answers to each of the questions. The cards or pieces of paper can then be ranked, and the leading ones pasted on flip chart paper for reporting back to plenary.

The plenary session should include reports from each of the small groups, followed by an open discussion of the areas of agreement and disagreement among the small groups.

Session III: National Timeline of key events and policies is perhaps the most important session of the day. Participants should break into constituency or sectoral groups, with for instance, all of the national government representatives meeting together, or by Ministry, to discuss the topics among themselves. Each group should again identify a moderator to guide the discussion and rapporteur to take notes and report back to plenary.

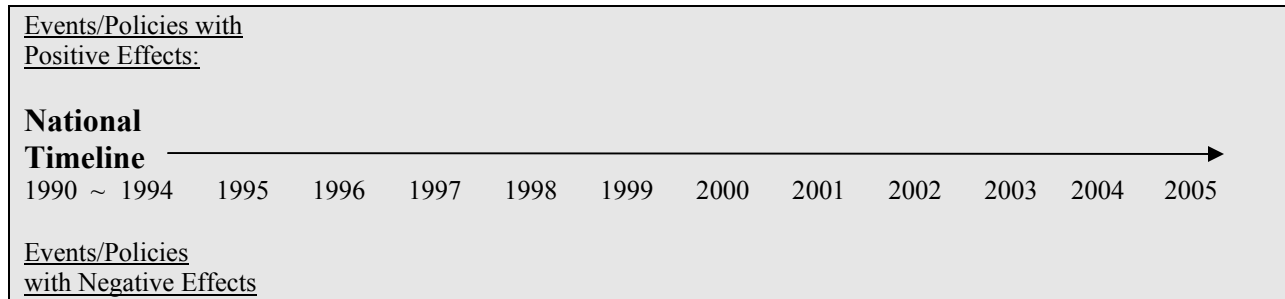
The group should receive instructions to develop a ten-year **National Timeline** on major policy changes or events (including shocks) that have had important impacts on the country's growth and poverty reduction. We are especially interested in the last ten years, but the group can indicate other significant events or changes that may have occurred before 1995, if relevant for that country. The events identified can be local, national, regional or international. Examples may be the Asian financial crisis of 1997; a national-level policy shift or shock such as trade liberalization, fiscal crisis, or major education or health reforms; or more localized events such as a natural disaster or conflict.

Questions for the Small Group:

- What are the major events and policies that have had an important positive or negative effect on growth or overall poverty reduction in the past ten years? Describe the events in some detail.
- For each event or policy identified, discuss the nature of the impact on the country. Were some areas of the country or social groups affected more than others?
- Of all of the events and policies discussed which two are the most important? Should these be the focus of the study?

Once members of the group start to recall events and policies, these can be listed in chronological order across a timeline (see graphic below). The date, event and impacts should all be carefully documented in the visual and accompanying notes, and saved by the research team.

Sample Visual and Explanatory Notes
National Timeline



<i>Events or Policies</i>	<i>Year</i>	<i>Explanatory Notes Detailing Event and Impacts</i>

During the reporting back in plenary, it will be valuable to have each group present and explain their timelines, followed by an open plenary discussion of areas of agreement and disagreement among the small groups. The research team should take notes particularly on areas of disagreement linked to the background of the participants.

Session IV: How will the study inform policies? The purpose of this session is to discuss measures for keeping interested stakeholders engaged during the study process (for instance, how might information should be circulated and how frequently might they meet?) and opportunities for the study to inform policies.

A facilitator and note taker will be needed for the concluding session. As the workshop participants are providing suggestions, the note taker might record the measures on flip chart paper for all to see.

The organizers might then close the workshop with their reflections on the key messages that they take away from the workshop, and particular points that will be important to incorporate into the research design.

Workshop Materials

Below is a checklist of materials for use during the workshop:

- An overhead projector or technology to support a PowerPoint presentation
- Flip chart paper and stands for the plenary and each small group
- Markers for every participant
- 30 large note cards or sheets of paper for each small group
- Masking tape for plenary and small groups
- Name badges

Analysis/Outputs

The outputs should contain:

- Identification of and rationale for the leading policy issues that the study should address in the country;
- Analysis of the key policies and events affecting growth and poverty reduction over the past 10 years, and the areas of agreement and differences among the stakeholder groups on the **National Timeline**;
- Reproductions in full of the **National Timeline** diagram developed by national policy officials, and one or two additional timelines to illustrate compelling/interesting or diverse perspectives of other stakeholders; and
- Reflections on whether there are any implications for the research design resulting from this work.

For the national synthesis report, this analysis of principal events and policy changes will be compared with the community level data, and hence is extremely important.

Finally, it may be helpful to share the results with the advisory group for the study, if there is one.

B. Community Level Data Collection Methods

Activity 3. Community Profile

Purpose

1. To identify community level factors that have helped or hindered movement out of poverty and the overall prosperity of the community over the past 10 years; and
2. To quantify and code data emerging from focus group discussions based on their ratings of issues ranging from community prosperity to freedom and inequality.

Selection of Informants

Identify one or two local key informants who are very knowledgeable about the community. They might be a community leader, government official, politician, an important local employer or business or financial leader, teacher, or healthcare worker. Relevant considerations are not only which informant is most likely to know the requested information, but also which informant is most likely to provide it in an unbiased manner.

Follow-up interviews with additional informants and focus groups should be conducted to complete the questionnaire. As discussed below, at the end of the Community Profile are questions that are directed specifically at focus groups.

Time Requirement

- One hour.

Materials Needed

Blank copies of Community Profile.

Description of Method

The Community Profile is intended to provide data that complements the data collected through the household questionnaire and therefore follows largely the same structure. The sections of the tool include: Demographic and Historical Information (about the community); Economic

Information; Education and Health; Social Capital; Power, Governance and Access to Information; Freedom and Violence; Environment; and Aspirations.

The instrument also features questions that are directed specifically at focus groups, and each of these questions is contained in the interview guide for the data collection tools in Activities 4, 5, and 6. These questions have been marked with a double star (☆☆) in the interview guide for these tools, as well as appended to the end of the Community Profile. The numerical responses for them need to be documented carefully and reported according to the computerized coding developed for the Community Profile.

For the countries affected by conflict in the study, a few specific questions should be introduced into the Profile to collect information on the intensity and duration of the conflict and its impacts on the community.

Community Profile

See Annex II.

Activity 4. Key Informant Interview: Community Timeline

Purpose

1. To understand community level events or factors that have helped or hindered movement out of poverty and the overall prosperity of the community; and
2. To gain an understanding of the local context.

Selection of Informants

Identify two to four local key informants who are knowledgeable about the community. They might be a community leader, government official, politician, an important local employer or business or financial leader, teacher, or healthcare worker. Special efforts should be made to include leaders in the private sector in addition to political leaders. For country studies where social group differences are perceived as important, research teams may want to do separate interviews with informants from different social and/or ethnic groups.

Materials Needed

- Markers, large piece of paper.

Time Requirement

- One and a half hours.

Description of Method

The activity can be conducted with two-to-four key informants individually or in a small group. It should be completed the first day of field work in a community because it will provide a valuable orientation for the remaining field work. Based on results of the timeline, you may want to do in-depth research and prepare a mini case study on a particularly important event that had economic consequences.

The key informants should be asked to go back in time, and recall the events or changes that have had an impact on their lives and the community. For the purpose of this study, we are especially interested in the last ten years, but they can indicate other significant events or

changes that may have occurred before 1995. To assist with the recall, it will be useful to substitute a fixed reference year for the term “10 years ago” or similar terms in the questions that require going back in time. The year selected should be one that will stand out in most people’s minds because of a particularly important event. These may be national, regional or local events. Examples include a natural disaster, a change of government, the end of a conflict, an epidemic, or some other happening that will help people place themselves back in time. Also important, allow time during the focus groups and interviews for people’s memories to come alive as events are recalled.

The date and event identified should be substituted consistently in the rest of the data collection tools where there is a generic reference to 10 years ago.

Once the key informants start to recall some of the events, they can be listed in chronological order across a timeline. Having listed all the events they can recall, ask the informant to explain the impact each event had on the community and how long the impact lasted.³

Key informants should then be asked to prioritize the most important events for the economy of the community. It is important to note that sometimes a succession of small events can interact in ways that create a big change. Thus, it is fine for the informants to identify a cluster of events over a general period of time in the portion of the exercise that calls for ranking the top two positive events, and the top two negative events that have had an impact on the prosperity of the community and movements out of poverty.

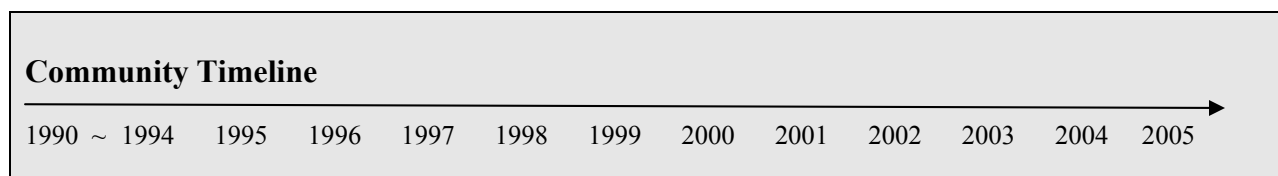
The activity concludes with questions about migration out of the community. This information is important because moving out of poverty may literally mean moving out, making it difficult to capture adequately this factor in our study. Therefore, please spend some time exploring views on how important migration has been for the community.

Interview Guide

- Please tell me the most important events or factors that have affected the life of the community in the past ten years or so. These may have had a positive or negative impact on your community or neighborhood.
- *[For each event or factor indicated,]* please describe what happened in some detail. What impact did this have on the community or neighborhood? How long did the impact last? Were some members of the community affected more than others?
- ☆☆ • Of all of the events or factors mentioned, can you please identify the top two that had a positive effect on the economy or prosperity of the community and movements out of poverty? Why?⁴

³ The facilitators might experiment with encouraging the key informants to make the timeline visual themselves because this will increase their ownership of the activity and buy-in into the discussion. However, the attention should not be on developing the visual, but on gathering rich information about the nature of the events and their impacts.

- ☆☆ • Which two events had the most negative or harmful effect on the economy or prosperity of the community? Why?⁵
- Finally, what are the most common reasons why people move out of this community permanently? Do people mostly leave because they become better off or worse off? Was there any period over the last ten years when there was a lot of movement into or out of this community? Why?



Note taking and Recording Visuals

Careful note taking during an interview is critical. A format is provided in Annex 1 to assist in this documentation process as well as to support data analysis and synthesis.

When taking notes, focus first and foremost on documenting key points being made, using as much of the informant's own language as possible. It may be necessary to paraphrase especially long responses, but endeavor to capture in full quotes the most important statements made by the informant.

During the activity, systematically document each community event indicated, and the date. Also provide rich descriptions of the impacts of each event. In addition, the visual of the timeline created during the interview should be attached to the format, or fully reproduced if necessary.

Analysis

The timelines developed by the key informants will provide valuable contextual information for understanding community-wide experiences with mobility. The outputs should identify the top two most important events or factors that have impacted community prosperity i) positively, and ii) negatively.

Provide rich details about the timing and duration of these events and why and how they affected the overall prosperity of the community. Additional events or factors can also be discussed. Finally, the analysis should also cover the views of key informants on reasons for migration out of the community.

⁴ (☆☆) Please document rating carefully and add to Community Profile

⁵ (☆☆) Please document rating carefully and add to Community Profile

The write up should include the timeline visual developed during the interview. If more than one timeline is completed, compare them for any important differences in perspectives. Further probing may be needed to understand why there are differences. Where the information is consistent, collapse the timelines into a single timeline for presentation in the Community Synthesis Report. Full citation to all of the key informants from which the information was gathered will need to accompany this information in the site report (see Box 2 below).

One event may merit more in-depth analysis and development of a mini case study for the Community Synthesis Report.

At a later stage, teams will analyze the most important events and factors across communities and how they relate to mobility. In addition, the community outputs will be compared with the timelines gathered from various national-level stakeholders.

Overview of Outputs for Community Synthesis Report

A **synthesis of discussions with two-to-four key informants on community-wide experiences with mobility**. The report should contain a timeline of key community events and an analysis of the two leading factors that have:

1. had a *positive impact* on community prosperity; and
2. had a *negative impact* on community prosperity

The report should also discuss leading reasons why people move away from the community.

Box 2. Two Pilots from India on the Community Timeline

Uloni and Dharbam hamlets, Rural Kamrup District, Assam; and Tigri Slum, New Delhi

Below are findings on the most important positive events from the community timeline activity conducted in two pilot exercises: a rural village of Assam, which is a northeast state of India, and an urban slum of New Delhi. For the village, the work of many external development NGOs is noted as most important, while in Tigri slum the construction of tube wells bringing fresh drinking water is singled out.

Please note the differences in the presentation of findings from these two reports. In the village write-up, there are fewer details and no quotes or stories to convey the findings “from the bottom-up” in local people’s own language and from the perspective of their understandings, interpretations and experiences. This write-up is also missing sources for the information provided. For many key topics in the study data is collected from more than one instrument to gather a range of views and enable triangulation of data. Without clear references to sources, the reader will be left wondering whose views are really reflected in the findings (key informants? some mix of men’s or women’s focus groups? or perhaps the researchers?) and how widely shared these views may or may not be. Rich details, people’s own words, and the systematic use of sources will all be vital for building a compelling presentation of findings.

Selections from the Uloni and Dharban pilot report

Specific events influencing the life of the community positively

The easy accessibility of the village from Dispur - the State headquarters - was believed to be responsible for the inflow of many development interventions in the years to follow, particularly during the late 1990s (the village is located right on the National Highway no. 39). Some of the organizations that started development support operations in the village include RGVN (*Rashtriya Gameen Vikas Nidhi* - a finance-support organisation seeking to aid development enterprises), NEDFi (the North East Development Finance Corporation), SIRD (State Institute for Rural Development), RWUAA (Rural Women's Upliftment Association of Assam - an NGO) and CRD (Centre for Rural Development - an NGO). Most of the interventions of these organizations started in the late 1990s and early 2000s, as evident from the Time Line.

Time line of the village

1948	The lower primary school of the village was set up
1955	A high school was set up at Dimoria (2 km away)
1957	The <i>Uloni Krushi Paam Samabyay Samiti</i> was established
1960	A high school was set up at Khetri (2 km away)
1962	Flood that inflicted heavy damage on the villagers
1970	The village was electrified
1979	Girls ME school was started by <i>Uloni Krushi Paam Samabyaya Samiti</i> (the agricultural cooperative society in the village)
1983	High school established for girls (1.2 lakhs per year provided by UKPSS)
1983-84	Assam movement, people used to remain out of houses in the night to escape from CRPF
1984	Girls ME school started by UKPSS was provincialized; college established at Dimoria
1985-86	The main road of the village was repaired; a hospital was opened at Khetri
1999	RGVN starts sponsoring an SHG in the village
1994	Setting up of Field Management Committee, instrumental in procurement of power tiller (with 30% subsidy) and tractor (with 50% subsidy) etc.; RWUAA (Rural Women's Upliftment Association of Assam) initiates sterilization programme in the community
1997	RWUAA initiates training activities relating to manufacturing of products out of jute and bamboo
1999	NEDFi (North East Development Finance Institution) started supporting a local SHG
2000	Society for Appropriate Technology starts operations in the village
2002	The village school came under the folds of <i>Sarva Shiksha Abhiyan</i> (Campaign for education for all)
2003	A watershed development project of Tata Energy Research Institute was started; Centre for Rural Development starts operations; NEDFi starts supporting a project for identification and harnessing of medicinal plants
2004	Heavy rains with early flooding

Selections from the Tigri pilot report

1. **Event and Year:** Access to fresh drinking water through community tube wells, 2001

Poor access to drinking water has been a problem in Tigri ever since its formation. "We had no water pipelines or community taps when we came to this area. I remember walking for 5 miles daily to another settlement colony to fill up water for my family. This continued even in months when I was pregnant". (Nirmala). "We tried hard those days to curb our own needs for water so our children had water to drink whenever they wanted. With little knowledge on how to approach civic service providers, we lived like this till 1990. This was the year when *Asha* – an NGO involved in community health intervention first came to the area. They held meetings with community members

every Sunday. Our gatherings were named “New Dawn” (Naya Ujala). We met every week and discussed our problems and how best to solve them. *Asha* then trained us in mechanisms to approach service providers with our complaints.” (Kalu Pradhan)

“We were formed in groups of 5-6 men and women, each armed with the responsibility of visiting different government offices to submit our complaints. Our persistence and united strength bore fruit when the government installed in 1992, hand pumps for every block in the area. All blocks consequently started receiving water. People could fill water from the hand-pump even at 11 or 12 in the night. Half our battle against life was won, as we were free at least to do other chores; spend more time earning a livelihood etc. ” (Nirmala)

Hand pumps however were not a permanent solution to the residents’ water problem. “The water table decreased in some time, and by 1996 the hand-pumps stopped giving water. That was a bad phase for the community. A few times we paid up to buy private water tankers. Even though all households contributed equally for them, people in the front blocks next to the main road where the tankers came, used to get to draw water first. There were big fights, stampedes over water”. (Nirmala). “We again followed a similar strategy to demand our rights from the government – visiting government offices consistently to rectify the problem. In the year 2001, the government finally gave in and began construction of tubewells run on electronic motors in the community.” (Kalu Pradhan)

Construction of tubewells, however, has not ensured equal access to drinking water for households in Tigri. “Firstly, unlike hand pumps, construction of a tube well that pulls water through a motorized pump requires deep boring in the earth, which can only be done through machines. Some blocks in Tigri have such narrow streets that no vehicle carrying a heavy machine could enter. Hence, there are no tubewells for residents of these blocks, who even now have to visit other blocks to fill water. Secondly, even in the blocks that have tube wells, they have been captured by private parties, which are now in the business of supplying water to households who do not want to make the effort to walk up to the community pump daily and fill water. They draw out pipes each day and supply water to such families, charging Rs. 150 per month for the service. But households who are poorer and cannot afford to pay for the service, still have to wake up early morning each day to fill buckets of water.” (Kalu Pradhan) “Still, it is better than walking miles daily.” (Nirmala)

Activity 5. Focus Group Discussion: Ladder of Life

Purpose

To identify the:

1. range of factors that helps or hinders movement out of poverty or prosperity over time at the community level;
2. range of factors that helps or hinders movement out of poverty or prosperity over time at the household level; and the reasons for movement at the different levels;
3. sequencing and interaction among the factors at the household level that enable movement at different steps of the Ladder of Life; and
4. movement status of specific households in the community.

Selection of Informants

In each community, the tool should be completed with two focus groups:

- A group of 6 to 12 men 30 to 60 years of age.
- A group of 6 to 12 women 30 to 60 years of age.

Three points should be kept in mind while selecting participants for the focus group:

- (a) Focus group members are not the same as key informants. The purpose of focus group discussions is to hear from regular people and the emphasis should be on the selection of such people rather than leaders or other important people in the community. At the other extreme, please remember this activity should not be conducted solely with poor people. To understand reasons for movement out of poverty, it will be valuable to have local people from a range of socio-economic groups.
- (b) It is very important to get the age of focus group members right. If too young, they will not have sufficient life experience to answer questions. If too old, they may not be actively engaged in current affairs inside or outside the home, which is important for this area of inquiry; or they may suffer from memory loss. Thus, respondents for the focus group should ideally be between 30 to 60 years of age; and definitely not above 60 years of age.
- (c) Once (a) and (b) are clear, the selection of participants depends really on the size of the community. A focus group can manage to give information on a maximum of 150 households in the community. However, for bigger communities, the focus group discussions can be done in smaller neighborhoods where people know one another, with participants being selected from these neighborhoods.

Step 3 of this activity requires focus group participants to identify the movement status over ten years of particular households from their locality. As this sorting exercise can be sensitive in some contexts, teams have the flexibility to conduct the sorting exercise with the entire focus group or with three to four members of the focus group. A smaller group will likely have less information about the households for carrying out the sorting, and should be considered a second-best option.

Country and community conditions for carrying out this activity will vary. In some countries, there may not be a lot of movement from below the poverty line to higher levels of prosperity. Hence, depending on the context, a movement from step two to step three may be equally as important as movement from step two to five or five to six.

Advance preparations for this activity will depend on the available data and size of the community. In each community, teams will need to obtain a current household listing. Depending on the context, pay attention to the following:

- *For countries with household panel data*, the movement status of individual households in the panel is already known, and the third step will provide a useful crosscheck. Please be sure the panel households are on the list and sorted.
- *For communities which are large*, whether urban or rural, you will need a randomly selected subsample of households which can be classified by the focus group. The research teams will need to engage statisticians in each study country to provide clear guidance on the sampling process. This is a key activity in the field work because this will provide a list for selecting the random sample of households for the household questionnaire and the Individual Life Stories.

Suggestions are provided below for working in large communities where it will be impossible for people in a particular area of the community to know households from other areas:

1. Within the large enumeration area, village or urban neighborhood, identify each of the smaller areas or “neighborhoods” where people generally know one another. Depending on the size of these smaller areas, randomly select one or more areas from this set.
2. Obtain or develop a list of households from the smaller neighborhood area or areas. If the number of households is still large, randomly select 100 households that can be used for the household classification activity in step 3 of this focus group discussion.
3. The focus group members should then be selected from or be familiar with the neighborhoods/ with the households that will be sorted.

Time Requirement

- Two to two and half hours.

Materials Needed

- Markers, large pieces of paper, list of households in the community, and matrix to mark the status of each home. Information on the official poverty line will also be needed.

Description of Method

This focus group is designed to uncover factors that underpin moving out of poverty, remaining trapped in chronic poverty or falling into poverty. The purpose is to explore whether these factors are multidimensional, how they interact with each other, and their sequencing at different steps of the Ladder of Life. The final step will identify the movement status of a list of households.

The focus group session consists of three steps:

Step 1: Identification of the range of factors at the *community* level that help or hinder the overall prosperity of the community. (20 minutes)

Step 2: Identification of the range of factors that help *households* move up, maintain their status, fall down or stay trapped in chronic poverty, and the reasons for movement at the different levels. (1 ½ hours)

Step 3: Identification of individual household's current wellbeing status and the status 10 years ago. (½ hour to 1 hour)

Step 1: Understanding community mobility

Start the discussions by introducing the study and ensuring that the focus group members know their participation is voluntary. Then explain that that the group will be exploring changes in the prosperity of the community and of individual households over time. The activity opens by inquiring about their views of whether the community has prospered, stayed the same or fallen behind. Please probe into the reasons for their responses. The final step of this activity asks focus group members to rank the top two events or factors that have most *helped* the prosperity of the community over the past 10 years, and the top two events or factors that have most *harmed* the prosperity of the community over the past 10 years.

Step 2: Building the Ladder of Life and Understanding Household Mobility

Step 2 of this activity engages focus group members in creating a Ladder of Life for their community which captures different levels of wellbeing. Although facilitating the activity may seem simple, ensuring that the field teams do this consistently and thoroughly will require advance preparation and careful attention to the points raised below.

i. Establish the geographic reference point. Country teams need to reach agreement on the geographic area which is to be represented by the Ladder of Life both for rural and urban contexts. If a team identifies a village community as the reference point for developing the Ladder of Life, then all teams in the country need to do so. However, if a village is very small and homogenous economically and socially, it may be useful to include surrounding villages or the sub-district as the reference area so that the Ladder can better capture variations in well being. Then the other teams, no matter the size of their communities, should also include this wider area as the geographic area represented by the Ladder. Similarly, the urban field teams will need to reach agreement on whether the Ladder of Life extends beyond the immediate neighborhood. Without this consistency in the presentation of the tool, the responses will be difficult to compare across the focus groups.

ii. Determine steps/categories of the Ladder of Life: i) the number of steps; and ii) the characteristics of each step. Anchor the discussions by starting at the bottom and the top of the ladder.⁶ **Please be careful to use consistent terms across the focus groups, and refer to the characteristics of the “richest and best off households” and the “poorest and worst off households.”** During fieldwork in one country, the research team introduced the top and bottom steps as the richest (using terms like millionaires) and the poorest respectively, instead of introducing them as the “very best off” and the “very worst-off”. This generated responses with mainly *economic* dimensions. For instance, the people at the top step of the ladder were those who “had their own property; had no debt obligations; and had substantial savings in their bank accounts.” Similarly, those at the bottom step “did not own their house or the land that they lived on.” This study is exploring a wider set of dimensions that influence and cause changes in *well-being*, and which go beyond income or monetary variables. Therefore, it is very important that all teams do not vary these terms and use the same reference points.

People may talk about themselves when describing the characteristics of different steps on the Ladder of Life, and that is fine. This description can be used but do not reference particular household names at this point.

Once the characteristics of the two categories at the top and bottom have been defined, the respondents should be asked to identify the category or step just above the bottom

⁶Wellbeing Ranking is a well-established and very useful qualitative tool. However, in pre-testing the study methodology, too much emphasis was placed on documenting the wellbeing categories and characteristics and too little on capturing what this study is all about: *the reasons for movement or lack of movement*. The questions in this guide have been recast with this in mind.

With sensitive and open-ended facilitation, people usually come up with a wellbeing analysis rather than a wealth ranking analysis. Wellbeing can include criteria related to wealth, but it is a much broader description of the quality of life. Be open to characteristics that go beyond material assets, including social, political, and religious characteristics. This is important, so let there be time for discussion and probing. People usually add criteria like – ‘happy’, ‘unhappy’, ‘ability to provide a good upbringing for children’, ‘trustworthy’, ‘respect’, etc., when they carry out a wellbeing analysis.

step, and the key features of households at that step. Then identify each of the additional steps or categories – and their characteristics -- until the top step is reached.

iii. Introduce new or modify existing steps as needed, especially to capture categories for 10 years ago. Inquire with the focus group whether any new steps may need to be added for categories that existed 10 years ago but perhaps no longer exist in the community today. Carefully note the characteristics of these additions to the ladder. In selected pilot tests of the Ladder in India and in Peru, it proved useful during discussions to develop subcategories within a step. For instance, if many people in a community place themselves at the second step, it may be useful to identify a 2+ step and a 2– step to better capture the heterogeneity in the community and to allow for small movements up or down the ladder.

iv. Create a Ladder of Life visual. Once the number of steps or categories have been determined, create a visual of a Ladder of Life with one step for each of the categories. Please do not impose a visual before the group has considered how many categories are needed to describe their community now and 10 years ago. In communities with low levels of literacy, it may be helpful to use symbols rather than numbers when drawing and discussing the steps. Also, it will be important to continue taking careful notes on the steps/categories and their characteristics, and not to rely on the information recorded in the visual. In addition, each of the visuals created in these focus groups should be reproduced in full in the notes and in the Community Synthesis Reports.

v. Reasons for movement and resilience. The next topics for discussion go to the heart of the study, and are extremely important. We are interested here in understanding *how* households in a community move out of poverty, remain trapped in chronic poverty, maintain wealth, or fall into poverty. The Ladder of Life is designed to anchor and facilitate this exploration. The issues being explored include:

- changes in inequality;
- factors that have caused movement up, stagnation, and movement down;
- whether the factors have multiple dimensions, and if there is any sequencing and interaction among the factors at the different steps;
- the most common step or category in the community ;
- the category or step which is considered the resilience line in the community (from where people may fall back but typically not all the way back into poverty);
- factors that save households from falling back into poverty;
- the category from which it is most difficult to move up;
- the category from which it is easiest to move up;
- what category is considered middle class, and whether it is easy or difficult to reach this step; and
- the relationship between the step where a household is no longer considered poor and the official poverty line.

The questions for this section explore factors that cause or prevent movement on the Ladder of Life. The primary focus should be on the steps at and below where a household

is no longer considered poor by the focus group. Probe deeply into factors affecting movement at the step which is most common in that community, asking the participants to draw on the experiences of people they know. Also discuss the steps from which it is hardest and easiest to climb up, and how people reach the middle class. The next questions look at factors that help households withstand downward slides back into poverty.

The Ladder of Life and some of the questions will elicit views related to inequality in the community or difficulties in movement. Please probe into inequality issues. For instance, some groups may wish to position the categories at different distances apart on the Ladder of Life, or suggest that movement beyond a certain step is very difficult.

Please probe deeply into the factors that cause movement and stagnation at the different steps, and allow time for reflection. As the discussion unfolds, facilitate the work of the focus group by filling out a “Ladder of Life” diagram on the ground or on a large sheet of paper. Using the focus group members’ categories and terms, label each of the steps identified. Please remember that we want to understand people’s own categories and criteria and reasons for movement or lack of movement. Don’t impose your own ideas or terms!

vi. Establishing the official poverty line. The section closes with the focus group placing the “official poverty line” on their Ladder of Life. Determination of the current official poverty line will require advance preparation by the research team. Compute the poverty line for the monthly/daily consumption of a family of four, or a similar variable that will be familiar to local people based on the officially determined poverty line. This may be different for urban and rural areas. In introducing this to the community, you may say something like this: “In xxx (country name), the officials of the Government of (xxx country name) define a poor family of 4 people as having an income of ** (in local currency) per month or per day. This takes into account the value of what they produce for their own consumption. Where on this ladder would you place this poverty line?”

Step 3. Individual Household Sorting Activity

The Focus Group Discussion: Ladder of Life concludes with sorting individual households in the community on the Ladder of Life according to their current status and their status ten years ago to determine the change in status over time.

As discussed in the section on selection of informants, the field team will need to obtain or develop a list of all households in the village or neighborhood area where people know one another. Teams are encouraged to conduct the sorting activity with the entire focus group; however, if this proves too difficult, the sorting can be done with a smaller group of members from the focus group. Please do not introduce any new members for this portion of the activity because they were not part of developing the Ladder of Life and will not be able to sort households meaningfully using the Ladder as a reference.

In order to minimize confusion, please start the classification in every instance with the current period and then move back in time. The interview guide offers two options for conducting the sorting, one with the facilitator managing the process and another with turning the process over to the focus group members themselves.

Sometimes people move up the Ladder of Life by moving away to bigger cities. We may not be able to get much information on them. But if it is a large number of households in the village, it is important to get some information about such migrants. The sources that may be explored for information on these households include (a) the village leader/chief; or (b) family members of these households (if left behind). Two questions need to be asked:

- (a) When did these people leave the community? i.e. Did they move away within the last 10 years or earlier? (If earlier, we do not need more information on them)
- (b) If they moved within the last 10 years, please ask whether such households are better off now compared to their situation in the community earlier.

If additional families are only on the register and don't live in the community and nobody knows them, ignore them. Alternatively, there may be families who live in the village but whose names are not on the register. These should be added to the household list.

If there are lengthy discussions by focus group members about the status of a particular household, set it aside and reopen discussion about that household at a later point. If the discussion is still unresolved the second time, do not classify it. Similarly, do not classify households that may be unfamiliar to any of the focus group members. These will need to be classified by key informants who know them.

Finally, if it is possible to conduct the men's and women's focus groups simultaneously, it would be very useful at the end of the discussions to have the two groups share with each other the results on the movement status of the households. As the groups may have different numbers of steps on their Ladders of Life, it is not important that the placement of households be consistent across groups, but the movement status should be consistent. Where there are discrepancies, the reasons for the different views can be discussed.

How do you do the Focus Group Discussion: Ladder of Life?

Step 1: Understanding Community Mobility:

- Inquire about people's views of whether the community has prospered, stayed the same or fallen behind over the past 10 years.
- Probe into the reasons for their responses.
- Ask focus group members to rank the top two events or factors that have most helped the prosperity of the community over the past 10 years, and the top two events or factors that have most harmed the prosperity of the community over the past 10 years.

Step 2: Building the Ladder of Life and Understanding Household Mobility

Building the Ladder of Life

1. Establish the geographic reference point
2. Determine steps/categories of the Ladder of Life: i) the number of steps; and ii) the characteristics of each step.
 - Anchor the discussions by starting at the bottom and the top of the ladder. Get characteristics of households at these categories
 - Ask respondents to identify the category or step just above the bottom step, and the key features of households at that step. Then identify each of the additional steps or categories – and their characteristics -- until the top step is reached.
3. Introduce new or modify existing steps as needed, especially to capture categories for 10 years ago.
4. Create a Ladder of Life visual

Understanding Household Mobility

Use the Ladder of Life to explore:

- changes in inequality in the community;
- factors that have caused movement up, stagnation, and movement down at each step;
- whether the factors have multiple dimensions, and if there is any sequencing and interaction among the factors at the different steps;
- the most common step or category in the community ;
- whether there is a category or step which typically “catches” people who are falling down the ladder but who do not slide all the way back into poverty;
- factors that save households from falling back into poverty;
- the category from which it is most difficult to move up;
- the category from which it is easiest to move up;
- what category is considered middle class, and whether it is easy or difficult to reach this step; and
- the relationship between the step where a household is no longer considered poor and the official poverty line.

Step 3: Individual Household Sorting Activity

1. Focus group members sort individual households in the community on the Ladder of Life according to the household’s current status and their status ten years ago;
2. In every instance, start with the current period and then move back in time.

Interview Guide

Step 1: Understanding community mobility

- [Introduce study and purpose of this activity.]
- Let’s start with your community and what has been happening over time. Tell me a little bit about the strengths of this community, and what is going well here.
- ☆☆ • Compared to ten years ago, do you think this community is:
 1. more prosperous?
 2. about the same? Or,

3. less prosperous?

Why? How has life in this community changed? What's different now?⁷

- ☆☆ • Is it easier or harder for people to make a living and get ahead than it used to be? To fall back down? Why?
- ☆☆ • What events or factors have most *helped* the community to prosper over the last ten years? Why? Of these factors, which two are the most important?
- ☆☆ • Have any events or factors *harmed* the prosperity of the community over the last ten years? Why? Of these factors, which two are the most important?
- ☆☆ • Ten years from now, do you think the community/neighborhood will be:
 1. more prosperous?
 2. about the same? Or,
 3. less prosperous?

Why?

- What are the most common reasons why people move out of this community permanently? Do people mostly leave because they become better off or worse off? Why?
- What are your hopes for your community/neighborhood in the future?

Step 2. Building the Ladder of Life and Understanding Household Mobility

- We know in every society that there are differences in well being among people. We are traveling around the country to learn about these differences. We especially hope to learn from you how these differences matter as people strive to get ahead and become better off. So let's first talk about these differences and then get into discussions about how people move out of poverty.
- Tell me about people at the bottom and the top of your community. How would you describe the people living at the bottom – the poorest and worst-off? How can you tell that a person is in this category? How do they live? How would you describe people living at the top – the richest and best off? How do they live?
- Lets move on. What about people who are just above the category of people who are at the bottom? How would you describe people in this category?

⁷ (☆☆) Please document rating carefully and add to Community Profile

- Now, let's move up from that category. *[Keep inquiring about additional categories until the best off is reached. For each of the categories identified:]* How would people living in this category be described?
- What happens if we consider people living in nearby villages (or neighborhoods)? Are there people in these places who are even better off or worse off than people here? Would we need to have any new categories? *[If so,]* What are the characteristics of that category?
- O.k., you've described **[X]** categories of people who live here and in the surrounding area. Now, if you think back to ten years ago, would we need to add any other steps to the Ladder of Life? *[If so,]* How would you describe people living in these categories? To make sure that I understand correctly, I'm going to draw these different categories or steps on a Ladder of Life. *[Crosscheck each step and its characteristics with the group when drawing the Ladder.]*

Changes in Inequality

- ☆☆ • There is a big gap between the poorest and worst off households and the richest and best off. Over the last 10 years, has this gap between the top and bottom:
 1. increased?
 2. stayed the same?
 3. decreased?⁸
- Why? Have the characteristics of the top or bottom steps of the Ladder of Life changed over the years? What are the differences between a poor household now and a poor household ten years ago?
- Sometimes there can be important differences among people at the same step or category. Are there any steps that have people with important differences? What are these differences? Have you seen a change in these differences between now and 10 years ago?

Factors that Cause Movement Up and Stagnation

- Now we're going to focus on what helps households move from one category to another. Let's look at the bottom category *[Please repeat/adapt these questions for **all** subsequent steps/categories in the Ladder.]*
 - What factors help a household move up to the next step? How does this happen? Do any of these factors usually have to happen first in this community, and this is then followed by another factor? Or, when households move up, is it more common for a

⁸ (☆☆) Please document rating carefully and add to Community Profile

- number of factors to happen at the same time? What factors are these? How does this happen?
- What factors often prevent a household in this community from moving up to the next step? Why?
 - What pushes a household down from this step? Is there often one important factor that happens first— or is there a combination of factors that happens at the same time? Why? How does this happen?
 - What is the category where people in this region are no longer considered poor? Tell me how people move into this category? Is this an easy or difficult step to reach? Why? *[Please indicate clearly where this category falls on the Ladder of Life.]*
 - When a household is able to move up many steps, what factors usually come together for big movements up the ladder? Has this happened here?
 - Where are most people in this community? In which category? What factors make it easier for people in this category to move up to the next one? What factors make it harder? Why?
 - From which category on the Ladder of Life do you think it's easiest— or least difficult— to move up? Why is it easier to escape from here? Think about your own experiences and those of others you know who have gotten ahead in this community. Tell us about these experiences.
 - Which category on the Ladder of Life is the hardest to escape from? Why is it so difficult?
 - Which category or categories would be considered middle class? Is it easy or hard to reach this step?

Factors that push households into poverty and that keep them down in poverty

- Sometimes people move up and then fall back. Are there particular steps from which it is easier to fall back? Is there a step after which you can fall back, but typically not all the way back into poverty? Which step is that, and what happens at that step that keeps people from moving down further?
- Let's go back to the category where people are no longer poor. What happens to households here that sends them back into poverty? Why are some households in this category better able to resist falling back down?
- What is most important in preventing people from falling back down into poverty?

Relationship between the step on the Ladder of Life where a household is no longer considered poor and official poverty line.

- In xxx (country name), the officials of the Government of (xxx country name) define a poor family of 4 people as having an income of ** (in local currency) per month or per day. This takes into account the value of what the family produces for their own consumption. Does that seem to be an accurate measure to you? Why? Where would households with this monthly/daily income fall on the Ladder of Life?
- ☆☆ • What is the relationship between the step on the Ladder of Life where households are no longer considered poor and the official poverty line? Is the former
 1. above;
 2. at the same level; or
 3. below the official poverty line?⁹

Step 3. Individual Household Sorting Activity

Note to Researchers: Two options are provided below for conducting the household sorting activity. Please indicate that the household names will remain anonymous and the information will be used purely to understand the patterns of changes in the community and to identify a few households for some additional research on moving out of poverty.

1. Call out the name of each household on the list. Ask the focus group what step or category the household is at *today* according to the Ladder of Life. Then ask what category the household was at *ten years ago*. To reduce the potential for recording errors or miscommunication, please record each response in a matrix that the entire focus group can see and verify. *Or,*
2. Give the list of households to the focus group to classify as per above. When the group is done, the facilitator will then need to crosscheck the current and previous status for each household one-by-one with the focus group and record it on a sheet.

Note Taking and Recording of Visuals

Note taking during focus group work is an intense activity. It is very important for the facilitator of the focus group to take as detailed notes as possible backed up by a note taker who is dedicated to this task.

⁹ (☆☆) Please document rating carefully and add to Community Profile

As with interviews, the challenge is to capture the key points being said, using people's own language and direct quotes to the fullest extent possible. Local sayings/metaphors should be written verbatim; summarizing and translations come later. These are invaluable to capture the essence of a phenomenon or local beliefs that explain relationships or behaviors. Capturing local terminology will be especially important as the Ladder of Life is being developed and probed.

In step3, an accurate record will be needed of the classification now and ten years ago for each household on the household list. Note takers should support the facilitator by following and documenting the classification process very closely to reduce the potential for recording errors. Also, it will be important to indicate the particular households that the group did not reach consensus on, or that were unknown.

The original Ladder of Life visual should be saved, or reproduced in full on paper if necessary. It is important not to focus too much on catchy designs and phrasing for the visual during the focus group itself, as this can inhibit the more important discussions about the nature of the categories and reasons for movement. Explanatory comments will need to accompany all visuals to capture this detailed discussion. The Ladders of Life will be used in later analysis and reproduced in reports for this study.

Analysis

Step 1. Understanding Community Mobility

The analysis of factors that contribute to community mobility should answer the following questions, with particular attention to whether the factors are multidimensional and occurred in a particular combination or sequencing in time. Please enter the Focus Group's responses to the relevant questions.

1. What do people view as the strengths of their community.
2. Compared to ten years ago, is this community:
 1. more prosperous?
 2. about the same? Or,
 3. less prosperous?
3. What two events or factors have most affected the prosperity of the community:
 - A. positively? Why?
 - B. negatively? Why?

Were some groups in the community affected more than others by any of these events or factors? Why?

4. Is it easier or harder for people to make a living and get ahead than it used to be?
5. Is it easier or harder for people in this community to fall back down?

6. What are the most common reasons why people move out of the community permanently? Do people mostly leave because they become better off or worse off? Why?

7. Ten years from now, people think their community/neighborhood will be:
- more prosperous?
 - about the same? Or,
 - less prosperous?

Why?

8. What are the hopes people have for their community in the future.

Please compare the responses by the men’s and women’s focus group. You may want to prepare a matrix such as the one below. Indeed, for the key research questions in the study it will often be useful to develop a matrix that summarizes key findings thematically and also identifies the informants. This will *greatly* ease your identification of patterns and analysis for the National Synthesis Report.

Table 1. Top Two Positive Factors Affecting Community Prosperity

<i>Focus groups</i>	<i>1. Male</i>	<i>2. Female</i>
<i>Positive factors</i>	New road	Clean water
	Better school	New Road

Based on this matrix, the Community Synthesis Report should conclude that a new road was the most important factor that has helped this community in the past 10 years. The report should then provide rich explanations and analysis about the factor and its impact on the lives of local people. The other factors should also be discussed with rich details about the reasons the groups selected them. If there is disagreement, and patterns are not discernable, the report should note that.

Throughout data analysis for this study, please look for and note differences and similarities in findings that can be disaggregated by gender, and indicate any factors that local people may identify as causing these differences. The factors may have economic, social, cultural or regional dimensions.

Step 2. Building the Ladder of Life and Understanding Household Mobility.

For the Community Synthesis Report, reproduce in full the two Ladders of Life, with summaries of the characteristics and reasons for movement and stagnation at each step on the two Ladders of Life. Then answer the questions below by drawing directly on evidence from the two Ladders of Life, and include analysis of important commonalities and differences between them (see box 3). In comparing the ladders, are there common patterns in the factors at certain steps? Or in causing movement between certain steps? Do the factors combine, interact or occur in a common sequence?

The analysis of household mobility should open by describing the steps and characteristics of the two Ladders of Life, and pay particular attention to the reasons for movement at the different levels. Then share findings on the following topics:

1. Were there any changes in inequality? Why?
2. For each of the questions below, identify the factors that affect movement at specific steps/categories of the Ladder of Life. Do the factors at that step have multiple dimensions? Are there certain combinations, interactions or sequencings of these factors?
 - a. What factors caused movement *up* for each of the categories at and below the poverty line? For other categories that are important for the community?
 - b. What factors cause households to *stagnate* at each of the categories at and below the poverty line? For other categories that are important for that community?
 - c. What factors push households *down* into poverty?
3. What is the category where people in the community are no longer considered poor? Is it an easy or difficult step to reach? Why?
4. What category is the most common in the community? In the last ten years, have the numbers of households in this category grown, stayed the same, or declined?
5. From which category is it most difficult to move up? Why?
6. From which category is it easiest to move up? Why?
7. What category is considered middle class? Is it easy or difficult to reach this step?
8. What factors keep households from falling into poverty?
9. Are there particular steps from which it is easier to fall back into poverty?
10. Is there a step after which a household can fall back, but typically not all the way back into poverty? Which step is that, and what happens at that step that keeps people from moving down further?

11. What is the relationship between the step on the Ladder of Life where households are no longer considered poor and the official poverty line? Is the former above; at the same level; or below the official poverty line?

In answering the questions above, please refer to specific findings in the Ladder of Life and draw as much as possible on actual quotes from the focus group. Again, to uncover patterns in the data, it may be useful to construct simple matrices of key findings for each step and type of movement.

Box 3. Characteristics of and Reasons for Moving up from the Bottom Rungs on the Ladder of Life

Pilot Field Notes from India and Peru

Below are selections from two pilot reports on reasons for *movement up* from the first and second rungs of the ladder. Please note the multidimensional factors and rich use of quotes.

A Focus Group of 6 Women, Tigri Slum, New Delhi

Term for category or step: Poorest; at life's lowest ebb

Position on ten step Ladder of Life: Step 1 or Bottom

Summary of characteristics of households at this step:

People at this level are:

- Usually daily-wage laborers; masons
- Are not able to find employment all days in a month
- Employment is seasonal. During monsoons for instance, work available usually decreases
- Earn roughly Rs. 50-100 per day
- "Those who fight/struggle against time"
- "Those who walk miles each day in search of work, only to return home daily without it"
- "Those who crowd the main road like pigs every morning in the hope that some contractor will hire them for the day"
- "Those whose life has come to a standstill"
- Have only one earning member in the household, with several dependents
- Those who have 5-6 daughters
- Sometimes don't have a roof over their heads or at best live in a rented one room "hole"
- "Those whose roofs are made of plastic or wood and leak during the monsoons"; "wives have to wake up at nights to put buckets under places where it leaks"
- Have no major assets such as a television, bicycle etc.
- Find it difficult to eat even one square meal a day
- Have only money to eat and pay house rent; no money to spend even on their children's education
- Go mad each day seeing their children hungry
- Usually take consumption loans to tide over their daily expenses
- "Those who work hard, but eventually give up; take to alcohol, drugs"

Term for category or step: "Those who get lucky..."

Position on ten step Ladder of Life: Step 1+

Summary of characteristics of households at this step:

People at this level are:

- Daily-wage laborers
- All other features are the same as step 1, except...
- ...they are lucky to find employment all days in a month. This implies a monthly income of at least Rs. 1500-

2000

- Are able to manage two square meals a day

Reasons for movement up. As per the group, there was no major difference between steps 1 and 1+. Families living at both steps earned their living on a daily wage basis and hence were subject to “breaks” in their employment. Those who were fortunate to find employment all days in the month were classified as step 1+. Households moved on a monthly basis between steps 1 and 1+. “On months that my husband is able to earn Rs. 2000, we are at step 1+; the next month we may fall to step 1 if he is not able to find work on all days in the month (Basanti)”

Group members could not identify any particular strategy to move upwards from step 1 to 1+; except getting on the rolls of a labor contractor that ensured employment in all days of the month. Such contracts, however, are not heard of in Tigrí where most people offer themselves for work on a daily wage basis.

Setting up one’s own business was the most common mechanism for families moving up from step 1/1+ to step 2. However, lack of capital and poor access to credit for setting up a business remained a hindrance to using this strategy to moving up. “It also depends on the type of loan available. We do know of institutional sources that offer consumption loans of up to Rs. 10,000. But till date, none of us have been able to borrow from an institutional source (a bank or an NGO) for setting up a business. Those who already have a government job are able to get such loans at low rates and pay it off from their salaries. They can use it to open a business say for their son. But who will give a loan to an unemployed person? (Shanti)”

A Focus Group of 10 Women, Villa El Salvador, Lima, Peru

Term for category or step: *Asentamientos Humanos* (AAHH)

Position on ten step Ladder of Life: 2nd step

Summary of characteristics of households at this step:

People at this level:

- Invade to get their land/lots
- Build their houses out of *estera* or wood.
- Carpenters, bricklayers, bus/minibus drivers, gardeners, walking venders, sell bread door-to-door
- Lack jobs
- Do not use banks
- Schools exist in these neighborhoods (unlike the 1st level)
- “We have to march for our services” (water, sewage, electricity...)
- In their free time, they play in sports tournaments, go to dances, do aerobics
- Up to 3 families live on one lot
- Poor nutrition

Reasons for movement up: To move to the next level, the participants declared “more than anything you need money.” How one gets money is based on a series of interactions among various factors. First, they equated money with having a job. With a steady job, a person can save money, a second important factor for moving up the ladder of life. A third way to get money is by selling your land. For instance, “You invade at this level [AAHH]. Once you get your property title, you sell and move to *cooperativas*.” (Maria). A fourth way to get money is through education or by acquiring a set of skills. “You need to know skills to move up—mechanics, computers...” However, education unto itself is not sufficient; it needs to be combined with a job: “With a little bit of school and hard work you can move up.” (Validiana)

Again, the three main factors affecting mobility are jobs, owning property and education. Although the participants could identify these key factors for escaping the 2nd step, they still felt it was the most difficult level from which to escape. First, the unemployment problem is so acute now that people cannot find steady jobs or any jobs that would provide enough money to move up. Second, they are trapped in a cycle in which they cannot find a job because they do not have an education but cannot pursue an education because they do not have a job to pay for it. “The youth don’t have an education. How are they going to move up?” (Doris) They also perceive that the 3rd level has access to educational institutes that the 2nd level cannot access. Finally, they believe the youth have no way of acquiring

property anymore. “In the time of Fujimori, there were lots of invasions. They are now living at the level of *asentamientos humanos*...with this government, nobody moves up because they can’t do invasions. So everyone stagnates.” (Maria) In addition to these factors, the participants explained that the gap between the 2nd and 3rd step was the largest. “The third level is *very* different” and therefore it is the hardest to reach.

Step 3. Individual Household Sorting Activity

Compare the classifications of the household listing conducted by the focus groups. Please keep in mind that the focus groups may have different numbers of categories and different characteristics for their categories. If there are discrepancies in whether certain households have moved out of poverty, it may be helpful to compare how the different focus groups classified poor and non-poor households while building the ladder. It may be easier to reach agreement on the movement status of that household by these criteria.

If the focus groups produce extremely different ladders, and it proves too difficult to resolve the extensive discrepancies, the team may decide to conduct a third focus group discussion. The team can then discard the findings from the focus group which is the least similar to the other two. The third focus group should be conducted with both men and women.

If there is still uncertainty, consult with key informants on the movement status.

For the Community Synthesis Report, document the findings from the sorting activity in a matrix as suggested below. For instance, if a household in the community (say hhA) was at step 1 ten years ago; and now is at step 5, please put the household number in the cell at the intersection of the first row, fifth column. If a household in the community stayed at step 2 over ten years (say hhB), please put its household number in the cell at the intersection of the second row, second column. Also, please be sure to draw the community poverty lines for now and 10 years ago into the matrix according to the focus groups’ responses. For illustration, the community poverty line was drawn below with a thick line between step 4 and 5. The matrix should also be appended at the end of the Community Profile as an output from the focus group discussion.

An Excel file with this matrix will be provided to teams separately¹⁰.

☆☆

Steps	Now										Total HH	
	1	2	3	4	5	6	7	8	9	10		
10 yrs ago												
1					hhA							[Total HH on step 1 10 yrs ago]
2		hhB										
3												
4												Pov Line
5												
6												
7												
8												
9												
10												
Total HH	[Total HH on step 1 now]				Pov Line							[Total HH sorted]

¹⁰ (☆☆) Please document the Household Classification Matrix carefully and add to Community Profile

Overview of Outputs for Community Synthesis Report

The Community Synthesis Report should **synthesize the two focus group discussions** on the Ladder of Life, with supporting evidence and analysis grounded in local people’s understandings and life experiences.

- Identify leading **trends in the overall prosperity of the community** and leading events/**factors at the community level** which have helped and hindered the overall prosperity of the community, and discuss the reasons for their impacts.
- Present the **reasons for movement or lack of movement for households** at different steps of the two ladders. Leading issues to be examined include (see above for further details on issues to be covered):
 1. the range of *factors that have contributed to the upward or downward mobility or to the stagnation of local households at different steps* of the Ladder of Life.
 2. *patterns in the sequencing or interaction in factors* that help household mobility, that keep households trapped, and that cause and prevent downward slides at different steps of the Ladder of Life.
- **Provide the household classification matrix** which categorizes local households by their movement status. This matrix will inform the sampling for household questionnaires and individual life stories in countries without panel data.

Steps	Now										Total HH	
	1	2	3	4	5	6	7	8	9	10		
10 yrs ago												
1					hhA							[Total HH on step 1 10 years ago]
2		hhB										
3												
4												
5												
6												
7												
8												
9												
10												
Total HH	[Total HH on step 1 now]											[Total HH sorted]

Activity 6. Focus Group Discussion: Livelihoods, Freedom, Power, Democracy and Local Governance

Note: Some country teams found this activity took a long time to conduct while in the field. Thus, depending on the local context, the research teams have the option of conducting it as one focus group discussion, or breaking the discussion into two focus groups for each of the sections:

Section 1: Sources of Economic Opportunities and the Role of Governance

Section 2: Exploration of Freedom, Power, Inequality and Democracy

If conducting two focus groups, the two sections can be done either with the same informants (with a break in between) or with two different focus groups.

Purpose

1. To understand trends in economic opportunities for the community;
2. To understand the impact of government rules and regulations and other factors on access to economic opportunities;
3. To explore people's understanding of the concepts of freedom, power, and inequality; and how these concepts relate to economic mobility and wellbeing; and
4. To explore people's understandings of democracy and how democracy is working at the local level.

Selection of Informants

This exercise should be conducted with:

- A group of 6 to 12 men 30 to 60 years of age.
- A group of 6 to 12 women 30 to 60 years of age.

The focus groups should contain respondents with different livelihoods and occupations to reflect the diversity of the community.

Time Requirement

- Two hours.

Description of Method

Section 1. Sources of Economic Opportunities and the Role of Governance

This section explores:

- the main livelihoods and sources of income for people in the community, and trends in these sources over the past ten years;
- key production or marketing hurdles facing the principal local livelihoods, and the reasons for these hurdles;
- the role of any economic organizations; and
- the influence of governmental economic policies, rules and regulations on access to local economic opportunities.

Please provide rich documentation about local livelihoods, and people's experiences with trying to start or expand a business or find better work. Be alert to any middlemen capturing profits, to monopoly practices, or to perhaps too much competition at different points in the production chain and marketing of goods or services associated with key local livelihoods.

We do not want a shopping list of problems, but rather identification and rich discussion of a few leading obstacles— focusing especially on those that may be related to government policies, rules and regulations. It is often useful to document price or supply changes for inputs, wages or final products to show changing trends affecting a particular economic activity. About a half an hour to an hour should be spent on this section.

Section 2a. Exploration of Freedom, Power, and Inequality

We are interested in understanding how local people think about various concepts like freedom, power, and inequality. Just as with poverty, these concepts are likely to have many dimensions for people. The objective of this exercise is to elicit and understand these different meanings and perceptions, and how the concepts may relate to accessing economic opportunities.

It is important that research teams introduce these concepts in the same way for each discussion, and then foster for more in-depth discussion and probing as issues emerge. Issues to explore:

- What is freedom in its different dimensions? Is it related to economic mobility?
- What is power in its different dimensions? How is it linked to accessing economic opportunities?
- What is inequality in its different dimensions? How is it linked to accessing economic opportunities?

People sometimes give very intuitive and simple definitions that may not fit your priors. Be alert to writing these down fully, using local terms in exact quotes will be important.

Section 2b. Exploration of Democracy

The purpose of this section is to understand local people's perceptions of the concept of democracy and how well democracy has been functioning over the past 10 years at the local level. A democracy timeline will be created with the focus group participants to systematically understand how democracy and local governance have functioned over the past 10 years in the

community. It will be important for all the research teams to reach agreement on the name/ level of local government that will be explored in this section. We also want to know if people perceive a link between the quality of local level democratic functioning and the overall prosperity of the community. In addition, there are questions about the openness and fairness of the election process, the performance of local politicians, and whether and how local people influence the government.

About an hour should be spent on this section.

Interview Guide

Section 1. Sources of Economic Opportunities and the Role of Governance

- I'd like to begin our discussion by looking at economic opportunities. What are the main types of livelihoods or sources of income for people who live in this community?
[Please probe into each of the main local livelihoods, providing rich descriptions of each. These might also be home businesses, such as women doing embroidery or making food.]
- Over the last ten years, how have *[indicate the three or four leading economic activities]* changed? Are these activities more or less profitable now? What has caused these changes?
 - Have there been any changes in the availability or prices for key *inputs* for these livelihoods? Is it easy or difficult to obtain information about the availability and prices of these inputs?
 - *[For livelihoods where credit is important]* over the past ten years, have there been any changes in access to credit? Where do you get information about sources of credit?
 - Have there been any changes in the market for *final goods or services* that are produced locally? Where do you get information about market prices?
 - *[If relevant:]* What about local factories or firms that process goods? Have opportunities changed for them? How? Where do people get information about jobs with these firms?
 - What about the markets where most people shop here? Have there been any changes in these?
 - What types of people in the community have benefited most from the changes in economic opportunities in the past 10 years?
- What kinds of problems do people face if they want to improve their livelihoods? For instance, starting or expanding a business, no matter how small? Or finding a better job? What would help people earn more income here?
- Is it safe to start a new business here? Do people feel endangered or threatened?

- What are the one or two most important economic organizations in the community?
[This might be an NGO, a micro-finance group, or a cooperative, for instance. It may be helpful to begin by asking more generally about organizations that work in the community and then ask the group to select the economic ones.] For each group identified,
 - How does this group make your life better?
 - What are the organization's goals?
 - Who are its members and how do they benefit?
 - What is preventing this group from expanding? Do any rules or regulations come in the way?

- Now I'd like to explore how the local government helps or hinders economic opportunities here. Let's start with the types of businesses that are common here *[name important local livelihoods]*. Do local business owners have to come in contact with the local government for any reason?
 - What happens during these occasions?

 - What kinds of licenses or permissions are needed in these businesses? Are these easy or difficult to get? *[Particularly probe into national or local policies, rules or regulations that may be mentioned which could be contributing to too much or too little competition for an important local livelihood. Is this related to a formal policy, or to how it is or is not being implemented locally?]*

 - What actions do you think the government might take to help local businesses or producers in the community?

- ☆☆ – Compared to ten years ago, people in the community have:
 - more economic opportunities?
 - the same amount of economic opportunities?
 - fewer economic opportunities?

Why?¹¹

- When people in this community have a dispute, for instance, over not being paid fully or perhaps not at all for a job they performed, where do they turn for help?

¹¹ (☆☆) Please document rating carefully and add to Community Profile

Section 2a. Exploration of Freedom, Power and Inequality

Freedom

- I want to now move onto another topic, and learn about your ideas of freedom, power and inequality. Let's start with freedom. What is freedom? What comes to mind when you think of the word freedom? How do you define freedom?
- What are the different types or dimensions of freedom? What local terms are used in this community? Are some types of freedom more important than others? Why? What are the most important types of freedom?
- What does it mean to be free? What is the opposite of freedom?
- Who or what groups have the most freedom in the community? Why? Who has the least freedom? Why? *[To vary and enrich the discussion, it may be useful to make separate lists for the most and least free for the groups identified.]*
- Do women and men experience freedom in different ways? How? Are women more free than men or vice versa, or is there no difference? Why?
- What actions increase one's freedom? Which ones are most important?
- What is economic freedom? *[Pause, let them give their definitions before moving on to the next question.]* Can anyone set up a business? How easy or difficult is it?
- Is there a link between having freedom and being poor? Can a poor person experience freedom? Are there better off people who don't experience freedom?
- ☆☆ • In some places, freedom may be limited by fear of crime or violence. On a scale of one to five, with one being a very safe community and five a very dangerous one with frequent thefts and assaults, how would you rate the safety of this community?¹²
 1. This community is very safe with no crime and people can leave their doors open
 2. This community is safe with only minor crimes once in a while _____
 3. This community is neither dangerous nor safe with some thefts and assaults on a regular basis _____
 4. This community is dangerous with many thefts and assaults _____
 5. This community is very dangerous with frequent thefts and assaults at all times of day _____

¹² (☆☆) Please document rating carefully and add to Community Profile

- ☆☆
- Using this same scale, how would you rate the safety of the community ten years ago?
 1. This community is very safe with no crime and people can leave their doors open _____
 2. This community is safe with only minor crimes once in a while _____
 3. This community is neither dangerous nor safe with some thefts and assaults on a regular basis _____
 4. This community is dangerous with many thefts and assaults _____
 5. This community is very dangerous with frequent thefts and assaults at all times of day _____

Power

- What does power mean? What does it mean to have power? What does it mean to be powerful? What are the local definitions, terms or sayings that capture the concept of power?
- There are many types of power. What are the different types and sources of power?
- Is power a desirable and important goal? Is it good to be powerful? Why? Why do people want to acquire power or be powerful?
- What kinds of people or groups of people have the most power or are the most powerful? Why? What groups have the least power? Why? How can you tell?
- What are the most common ways that people acquire power? How do people lose power? Is there any relationship between power and the possibility of moving out of poverty? As people move out of poverty do they gain more power? Or not? Why?
- How does someone gain economic power? Are there economically powerful people in the community? *[This may be sensitive, and so decide how best to probe into this question.]*
- Is there a link between being powerful and being poor? Can a poor person be powerful? Are there better off people who don't have power?

Inequality

- What does inequality mean? What kinds of inequalities are there in this community?
- Is there more or less inequality in the community than ten years ago? Why?

- ☆☆ • Let's focus for a moment on political inequality. Do you think that decisions on important community affairs are made with the participation of many people in the community? Or are important community decisions made by a few people in the community?¹³
- ☆☆ • How has decision making on important community affairs changed in the last 10 years?
 1. More people participate now in important community decisions than 10 years ago?
 2. About the same numbers of people participate in important community decisions?
 3. Fewer people participate in important community decisions?

Why?

- ☆☆ • Now, let's discuss economic inequality. Do you think over the past ten years that:
 1. More people in the community have access to new economic opportunities?
 2. About the same number of people in the community have access to new economic opportunities; or
 3. Fewer people in the community have access to new economic opportunities?¹⁴
- Is there a link between economic and political power? Why?

- ☆☆ • Now I want to talk about social inequality. Do you think that the most important networks and association in this community are open to many people in the community or just a few? Why? Compared to 10 years ago, do people in the community have:
 1. More access to networks and associations in the community?
 2. About the same access to networks and associations in the community?
 3. Less access to networks and associations in the community?

Why?

Section2b. Exploration of Democracy

- ☆☆ • What does democracy mean to you? What are its features or dimensions? Which three features are most important to making democracy work? Why?
- Tell me about how decisions are made by *[the lowest level of government.]*

¹³ (☆☆) Please document rating carefully and add to Community Profile

¹⁴ (☆☆) Please document rating carefully and add to Community Profile

- Have people in this community influenced the decisions of [local government body]? [If so,] How?
- ☆☆ • Have you seen any changes in the way democracy and your local government has been working over the past 10 years? Do certain events, activities, policies or other important factors in the past 10 years come to mind? [Please place all important events, activities, policies or factors mentioned across a Timeline]
- What were the good years? What were the bad years?
- Now I want you to think how each of these events/activities/ policies/factors affected the people of this community and their well being. Imagine a line that has five steps going up and five more steps going down (draw this on the side of the timeline). The top most step above the timeline would represent a very positive or a very large improvement in well being; one step above the timeline would represent a very small improvement; and the bottom most step below the timeline would represent a very large decline in well being. (For every event/ activity/ policy/factor mentioned on the timeline) please place a star (or dot or pebble) somewhere above or below the timeline to show the impact the event or the policy had on the lives of the community members.
- How does someone become a politician and represent the community in [the local government]? How did your local politician rise to prominence? How has he or she helped the community? To what extent does he/she take into account concerns voiced by you and people like you when he/she makes a decision that affects you?
- Are there local elections here? How do people win elections? Are they open and fair? [If this question on electoral fairness is too sensitive, drop.] How do people get information about local candidates?
- Do you think the local candidates campaign on the most important issues facing your community?
- Compared to 10 years ago, does the local government now pay more, less, or about the same attention to what people like you think when it decides what to do? Why?
- ☆☆ • Over the past 10 years, do you think that your ability to contact your local government and influence its actions has:
 1. increased?
 2. stayed about the same? or
 3. decreased?¹⁵
- ☆☆ • How widespread do you think bribe-taking and corruption are in this community? How many government officials are engaged in it?
 1. Almost no government officials are engaged in it

¹⁵ (☆☆) Please document rating carefully and add to Community Profile

2. A few government officials are engaged in it
 3. Most government officials are engaged in it
 4. Almost all government officials are engaged in it
- How do you think democracy and your local government will change in the next ten years?

Analysis

The write ups should explore the following topics, providing as many quotes, stories, explanations, and interpretations from the focus group discussion as possible:

- the main livelihoods and sources of income for people in the community, and trends in these sources over the past ten years;
- key production or marketing hurdles facing the principal local livelihoods, and the reasons for these hurdles;
- the role of any economic organizations; and
- the influence of governmental economic policies, rules and regulations on access to local economic opportunities.
- the definitions, understandings and dimensions of freedom.
 - Who or what groups have the most and least freedom in the community? Why?
 - Do women or men have more freedom? Why?
 - Is freedom related to economic mobility? What is economic freedom?
 - Is there a link between having freedom and being poor?
- the definitions, understandings and dimensions of power.
 - Is it good to be powerful? Why?
 - Who or what groups have the most and least power in the community?
 - How do people acquire power? Lose power?
 - Is there a relationship between power and moving out of poverty?
- the definitions, understandings and dimensions of inequality.
 - How is political power distributed in the community?
 - How is economic power distributed in the community?
 - Is there a link between political and economic power?
 - How is social power distributed in the community?
- the definitions, understandings and dimensions of democracy.
 - Three features important to making democracy work
 - Changes in democracy over last 10 years including the democracy timeline and impacts on community

- Is there a link between democracy and community prosperity?
- How does someone become a politician in the community? How did their politician rise to prominence?
 - Has the local politician helped the community?
 - Are there local elections? Are they open and fair? How do people get information about the local candidates? Do they campaign on important issues?
 - Has the ability of the people to contact their local government and influence its actions increased, decreased or stayed about the same over the past 10 years?
 - How widespread is bribe taking and corruption in the community?
- People's hopes for democracy and local government in the next 10 years

See **Box 4** below for an illustration of a write-up.

Overview of Outputs for Community Synthesis Report

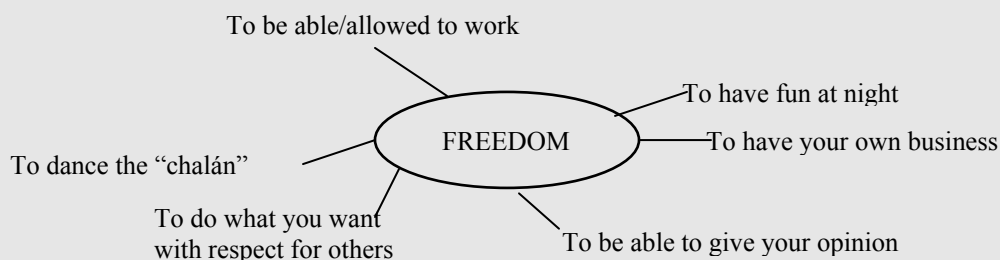
The Community Synthesis Report should **synthesize the discussions from the two sections**, drawing extensively on actual quotes, stories, definitions and explanations provided by local people during the discussions.

Leading topics to be covered include (see above for more detailed discussion of topics for analysis):

- Principal *local livelihoods and major obstacles* they face;
- Governmental *policies, rules and regulations* affecting access to economic opportunities;
- Understandings of *freedom, power, inequality, and democracy* and how these concepts relate to economic mobility and wellbeing.
- People's analysis of functioning of local government
- People's hopes for democracy and their local government in the next 10 years

Box 4. Definitions, Understandings and Dimensions of Freedom

There are many ways to explore people's concepts of freedom, power and inequality and how these concepts relate to economic mobility. To vary the style of questioning about the concepts, the Peru pilot team experimented with introducing different visuals. For one term, they simply made a list of the definitions provided; for another term (freedom), they created the web diagram illustrated below. Visuals can help groups explore complex processes. It is important, however, not to focus too much on the visual and the simple definitions of these terms, but rather to use the visual and definitions to probe deeply into the reasons for the meanings and interpretations provided, and the life experiences that relate to the definitions. Below are selections from various pilot field reports.



Selected pilot field notes on freedom

More than any other term discussed in the focus group, freedom was the most multidimensional. To them, there is social freedom, such as “enjoying yourself at night,” “not being a prisoner to your husband,” and “dancing the *chalán*.” There is economic freedom, which included “having a business” or “being able to work.” “To have a job changes everything.” (Doris) “If the wife has control of her own money, she has freedom to invite a friend to go to the hot dog stand... without it, you have to lie.” (Lilian) Without a job, for instance, if a friend invites them to go out, they lie about being busy because they do not have any money. By having a job, the women also said that they gained more respect and power with their husbands to make decisions for themselves. Finally, there is what one might call personal or intellectual freedom (category not assigned by group). “Freedom is doing what you want with your land and nobody bothering you.” (Roxana) “It is doing what you want with respect for others.” (Jennifer) By adding the clause, “with respect for others,” they were trying to distinguish their perception from someone who disregards their family or uses corruption to move ahead. Finally, “to be free is to have an opinion.” (Miriam)

— *Focus Group of Seven Women, Villa El Salvador, Lima, Peru*

Yenkatarama described the community’s understanding of the concept of “Freedom” in the following words: “We should be able to go anywhere, do what we want. That is Freedom. We now have Freedom and we are using it. Previously we belonged to our landlords like cattle or donkeys. We could never leave the farm without his permission and could never stay away long. Our women and our children belonged to the landlord and today when we look back we realize what we did NOT have those days”.

“But being free has its own problems. We now have to solve our problems and fend for ourselves. In the old days, the Village Patel (Headman) and Karnam (Village Accountant) took all decisions on our behalf and told us what to do. If we needed money, all we had to do was to go to the landlord and ask for a loan. Now we are free and have to govern ourselves and take our own decisions.”

“We use the word ‘Swanthabalam’ to express our idea of freedom. It means ‘own power.’”

—*Focus Group of Men, Sajjappalli Village, Kolar District, Karnataka, India*

For a majority of the group, freedom implied the ability to “fulfill one’s wishes” – “to eat what one wants to; to go where one wants to; to work as one wants to.” On further probing, it seems that their reasons for defining freedom in the aforementioned manner reflect primarily their present inability to do any of the aforementioned things.

“I cannot call myself free if I see my children cry for food every night,” says Razia, the sole earning member of her family (her husband is an alcoholic). “My children beg me at times for money to go and have ice-cream. But I have to consistently say no to them.” (Anuradha). Freedom is defined as the “ability to go where one wants to” because of the present state of restrictions placed on women and young girls by their families in the event of rising crime in the area. “Unless I go out, how would I support my husband? But he too is right. He’s worried lest something happens to me while coming back from work” (Basanti). Says Prem, “My daughters live in shackles today. They cannot go out to learn a skill; they cannot walk after dark in the streets; they cannot go and watch movies. Unless they are freed, how would they learn? And learn they must because they have to educate their family; the next generation.”

— *Focus Group of Nine Women, Tigri Slum, New Delhi, India*

Activity 7. Focus Group Discussion: Aspirations of Youth

Purpose

1. To explore youth aspirations for earning a living and steps they are taking to prepare for their future; and
2. To explore youth understandings of the concepts of freedom, power, inequality and democracy, and how these concepts relate to economic mobility and wellbeing.

Selection of Informants

In each community the focus group should be conducted with two groups:

- One group of 6 to 12 male youths, ages 18 to 25; and
- One group of 6 to 12 female youths, ages 18 to 25.

The focus group should include youths from a range of socio-economic groups to reflect the diversity of the community. If many youth show up to participate in this discussion, it may be useful to plan for extra facilitators and to break into smaller groups. Youth may give simple and clear definitions or proverbs, which are important to capture in the notes.

Time Requirement

- One and a half hours.

Description of Method

When working with youth, it is often helpful to keep the atmosphere very relaxed and friendly. You may want to encourage joke telling or stories to help create an environment where youth will feel comfortable sharing their ideas, and their hopes and fears. The activity should be undertaken in two steps described below.

Section 1: Youth questionnaire on aspirations for earning a living

This section is designed to explore in detail youth aspirations for earning a living and what they perceive to be important in helping and hindering them from reaching their goals. The activity begins with providing a brief questionnaire (attached at the end of this activity) to each focus group member.

If anyone has problems completing the questionnaire, the facilitator can encourage others in the group to help them. Allow plenty of time to complete the questionnaire.

Once everyone is done writing, invite the group to share and discuss what they wrote and why. In their responses, encourage the youth to explain their responses fully and to share experiences from their own lives and those of the people they know.

Please collect the individual questionnaires at the end of the focus group.

Section 2: Exploration of freedom, power, inequality and democracy

We are interested in understanding how youth think about the concepts of freedom, power, inequality and democracy. Issues to explore:

- What is freedom in its different dimensions? Is it related to economic mobility?
- What is power in its different dimensions? How is it linked to accessing economic opportunities?
- What is inequality in its different dimensions? How is it linked to accessing economic opportunities?
- What is democracy in its different dimensions? Is local democracy linked to community prosperity? How well is democracy functioning at the local level? Do youth feel they can influence the local government?
- Youth's analysis of functioning of local government
- Youth hopes for democracy and their local government in the next 10 years

As with adults, we expect youth to perceive many dimensions of these concepts. Also, very simple responses are fine, and the notes should capture the terms and explanations provided as fully as possible.

Interview Guide

Section 1. Youth aspirations for earning a living

- I want to know about your hopes for your future. What do you hope to be doing to make a living in 10 years? Why?
 - How do you plan to do it?
 - What does your father do to make a living? And your mother?
- What two or three things have most helped you to prepare for the future? [*Encourage youth to share actual experiences.*]
- What are the two or three greatest obstacles to realizing your goals for the future?

Section 2: Exploration of freedom, power, inequality and democracy

Freedom

- I want to now move onto another topic, and learn about your ideas of freedom, power, inequality and democracy. Let's start with freedom. What is freedom? What does freedom mean to you? What comes to mind when you think of the word freedom? How do you define freedom?
- What are the different types or dimensions of freedom? What local terms are used in this community? Are some types of freedom more important than others? Why? What are the most important types of freedom?
- What does it mean to be free? What is the opposite of freedom?
- Who or what groups have the most freedom in the community? Why? Who has the least freedom? Why? *[To vary and enrich the discussion, it may be useful to make separate lists for the most and least free of the groups identified.]*
- Do women and men experience freedom in different ways? How? Are women more free than men or vice versa, or is there no difference? Why?
- What actions increase one's freedom? Which ones are most important?
- Is there a link between having freedom and being poor? Can a poor person experience freedom? Are there better off people who don't experience freedom?

Power

- Now I'd like to move on to the topic of power. What does power mean? What does it mean to have power? What does it mean to be powerful? What are the local definitions, terms or sayings that capture the concept of power?
- There are many types of power. What are the different types and sources of power?
- Is power a desirable and important goal? Is it good to be powerful? Why? Why do people want to acquire power or be powerful?
- Are any youth powerful? Why? Or why not?

- What kinds of people or groups of people have the most power or are the most powerful? Why? What groups have the least power? Why? How can you tell?
- What are the most common ways that people acquire power? How do people lose power? Is there any relationship between power and the possibility of moving out of poverty? As people move out of poverty do they gain more power? Or not? Why?
- How does someone gain economic power? Are there economically powerful people in the community? *[This may be sensitive, and so decide how best to probe into this question.]*
- Is there a link between being powerful and being poor? Can a poor person be powerful? Are there better off people who don't have power?

Inequality

- What does inequality mean? What kinds of inequalities are there in this community?
- Let's focus for a moment on economic inequality. Does it matter if a community is very unequal – for instance, if a few people have a lot of wealth while most people have very little?
- Is it important whether a community has small or large economic differences among people who live there? How does this make a difference?
- What about political inequality? Are there local representatives of political parties? How do they function? Who has access to them? Do a few people or many people in *[name of community]* participate in decisions on important community affairs? Do youth participate in community affairs?
- Do you think there are any links between economic and political power?
- Now I'd like you to think about social inequalities. What kinds of differences are there here among people in the community? Do these differences affect access to economic opportunities? What kinds of differences are there among youth?
- Do youth come together to help one another or just to have fun like play a sport or celebrate an important holiday?
 - Do youth here have their own groups or organizations or networks? Are these open to all youths? Or, are some or most youth left out? Why?
 - What about the leading organizations in the community which are important for adults – can youth join these groups? Why or why not?

Democracy

- What does democracy mean to you? What are its features or dimensions? Which three features are most important to making democracy work? Why?
- Tell me about how decisions are made by *[the lowest level of government.]*
 - Have people in this community influenced the decisions of *[local government body]*? *[If so,] How?*
 - What about youth? Do they have any voice in this body?
 - Do you think there is any link between democracy and the overall prosperity of your community? Why or how? *[Explore the linkages. Specific examples are useful.]*
- Are there local elections here? How do people win elections? Are they open and fair? *[If this last question is too sensitive, drop.]* How do people get information about local candidates?
- Do you think the local candidates campaign on the most important issues facing your community?
- How does someone become a politician and represent the community in *[the local government]*? How did their local politician rise to prominence? How has he or she helped the community?
- How widespread do you think bribe-taking and corruption are in this community? How many government officials are engaged in it?
 1. Almost no government officials are engaged in it
 2. A few government officials are engaged in it
 3. Most government officials are engaged in it
 4. Almost all government officials are engaged in it
- How do you think democracy and your local government will change in the next ten years?

Analysis

The write ups should explore the following topics, providing as many quotes, stories, explanations, and interpretations from the viewpoint of the youth as possible:

- Youth aspirations for earning a living in 10 years
 - Steps youth are taking to prepare for their working lives
 - The two/three things that have most helped youth to prepare for their future
 - The two/three greatest obstacles they face in realizing their goals
- Definitions, understandings and dimensions of freedom as perceived by youth, including their views on:

- Who or what groups have the most and least freedom in the community? Why?
- Do women or men have more freedom? Why?
- Is there a link between having freedom and being poor?
- Youth perceptions of various dimensions of power, and their views on questions such as:
 - Is it good to be powerful? Why?
 - Who or what groups have the most and least power in the community? Are any youth powerful?
 - How do people acquire power? Lose power?
 - Is there a relationship between power and moving out of poverty?
- Definitions and understandings of inequality and youth perceptions on:
 - How is political power distributed in their community?
 - How is economic power distributed in the community?
 - Is there a link between political and economic power?
 - How is social power distributed in the community?
 - What kinds of differences exist among youth? Do the youth in the community have their own groups or organizations or networks?
- Definitions, understandings and dimensions of democracy.
 - Three features important to making democracy work
 - Whether the youth perceive a link between democracy and community prosperity
- Youth answers to how someone becomes a politician in their community
 - Has their local politician helped the community?
 - Are there local elections in their community? Are they open and fair? How do people get information about the local candidates? Do they campaign on important issues?
 - Do people in the community have a say in the decisions of the local government? Do the youth have a voice in decisions of the local government?
 - How widespread is bribe taking and corruption in the community?
- Hopes of the youth -- for democracy and for their local government in the next 10 years

Overview of Outputs for Community Synthesis Report

Synthesize findings from the two focus group discussions. Leading areas to be explored include:

1. Youth aspirations for earning a living;
2. What is freedom in its different dimensions? Is it related to economic mobility?
3. What is power in its different dimensions? How is it linked to accessing economic opportunities?
4. What is inequality in its different dimensions? How is it linked to accessing economic opportunities?
5. What is democracy in its different dimensions? Is local democracy linked to community prosperity? How well is democracy functioning at the local level? Do youth feel they can influence the local government? Youth's analysis of functioning of local government
6. Youth hopes for democracy and their local government in the next 10 years

Youth Questionnaire

First Name (optional): _____

Male: ____ Female: ____ Age: ____

Date: _____

Community: _____

A. What do you hope to be doing to make a living in 10 years? Why? What does your father do to make a living?

And your mother?

B. What two or three things have most helped you to prepare for your future? How?

1. _____

How?

2. _____

How?

3. _____

How?

C. What are the two or three greatest obstacles to realizing your goals for the future? Why?

1. _____

Why?

2. _____

Why?

3. _____

Why?

Activity 8. Two Mini Case Studies: Community-Wide Events and Factors Affecting Mobility

Purpose

- To provide in-depth analysis from a range of perspectives on two important events or factors affecting the overall economic prosperity of the community over the past ten years.

Selection of Informants

The topics for the cases should emerge early on the field work, and questions can be added to the existing data collection activities to help develop the case studies. Additional key informant interviews should also be conducted as needed with individuals who are knowledgeable about the topics under study.

Time Requirement

- One to two hours.

Description of Method

Please prepare two mini case studies during the field work in the community. The cases should be selected because they emerge clearly as important events or factors which have helped or harmed the overall economic wellbeing of the community. For the countries in the study with a policy focus on conflict, at least one of the cases will need to focus on conflict and present findings from key informants and the focus groups discussions on Conflict Timeline and Institutional Mapping (this activity is described below).

The experience during the field training in Thailand provides one illustration of a potential topic for a case study. Local people in a rural community outside Bangkok widely reported that there are now more economic opportunities and inequality has declined over the past 10 to 12 years. They mentioned strong community unity and leadership as important reasons for the growing and widely shared prosperity. A mini case study might then explore the topic of social cohesion, providing vivid information which draws together different perspectives and experiences of how

these social ties work in their daily lives and have contributed to their increased wellbeing in the period under study.

It is important for case study topics to be selected carefully, and only after there is sufficient clarity on the leading factors and events which have had important affects on the lives of *many* people in the community. Below is additional guidance to inform the selection of case study topics.

An important community-wide factor. In the history of many communities, a major event happens that heavily impacts the lives and economic well being of many if not all of the residents. In the pilot work, one such happening was a large fire that destroyed many homes; in another, it was an ethnic riot. On a more positive note, the works of a community group in one urban neighborhood and of an external NGO in another brought about good change for many people.

Once patterns start to emerge during the field work on the most important triggers behind upward and downward movements, select one that seems to have affected the economic well being of many local people for more in-depth analysis. Some triggers to explore might be a new leader, road or school, source of jobs, improved productivity (such as new seeds or technology), government/civic/private sector program; a price change for a locally made good or key production input; a factory or clinic opening or closure; a change of government or party in power, a disaster like a drought or flood, or the spread of HIV-AIDS. Some of the topics may relate to a national policy change or shock. That is fine, and additional information might be collected after the field work to further analyze the macro-micro linkages.

Please explore the mechanisms or processes by which the event had such significant impacts. If it was a trigger that ushered in positive change, were there any specific institutional arrangements which ensured that the benefits were widely distributed rather than captured by just a few community members? Or, if a negative shock, what mechanisms or processes impeded people from better protecting themselves from harm? It will be critical to provide a range of views on these processes and institutional dynamics.

Impact of a government rule or regulation or a private monopoly on a key local livelihood. During the *Voices of the Poor* data collection, local people often mentioned changes in policies or regulations that had large effects on their livelihoods. For instance, people referred to the closure of large private and public enterprises, and to the liberalization of agricultural markets (including for inputs like seed and fertilizer). In other studies, people have mentioned being disadvantaged by public agencies or officials, or by private sector middlemen or business/land owners, that monopolize markets for inputs, land, commodities, processed goods, services and so forth. Sometimes this is supported by policies. Other times, these practices may reflect effective resistance to implementation of policies by powerful elites and weak capacities for policy implementation and enforcement, including in the justice system.

As you begin the field work, be alert for a rule or regulation, or how it is being implemented, that may disadvantage people who work in an important local livelihood. In the case study, assess the impact of this rule or regulation on different people in the community, and describe in rich

detail how the impacts are channeled and felt. In some cases, the political dimensions of influential businesspeople or landowners or of middlemen may not be apparent, but their impact on local livelihoods may still be large and worth exploring in a case study.

Below are a few general questions to consider in the data collection and analysis for the two mini cases:

- What effects has this factor had on the wider community?
- When were the effects first apparent and how long did they last? How have these effects changed over the last 10 years?
- Have men and women been affected differently by the changes, such as changes in who is being hired or in earnings?
- Have any particular social groups been especially affected? How?
- Have any local organizations been affected? How?

In all cases, it will be important to present a range of perspectives on these questions.

Countries affected by conflict. For the six countries in the study focusing on conflict, the mini case studies are a good opportunity to probe further and capture diverse perspectives on the links between mobility and conflict. It may be useful for the country teams to do two mini case studies on the themes below:

1. **On Conflict Path/Trajectory**: This case study can focus on the trajectory of the most intense and prolonged conflict affecting the community in the past ten years. In discussing this key conflict, particularly examine the mechanisms, both formal and informal, which contributed to the containment, management or escalation of the conflict. As background to this conflict, it may also be useful to present highlights of the trajectories of other important conflicts affecting the community during this period.

2. **On Changes in Power and Opportunity Structures**: While there may be quite varied types and sources of conflict, what is clear is that conflicts very often have important economic effects on local people. In some contexts, conflicts can lead to changes in who has and doesn't have control over and access to land, water, minerals, forests, markets and a host of other resources which are vital to local livelihoods and well being. The second case study might also explore the different actors who have gained and lost power as a result of the key conflicts affecting the community, and the implications of the conflicts for important resources and livelihoods and for governance in the community.

For conflict work, it will be important to conduct key informant interviews to gain background about potentially sensitive details of the conflicts before conducting focus groups on the wider issues raised above.

Analysis/Output

The two mini cases could be presented separately as text boxes, annexes or stand alone sections of the Community Synthesis Report. Each case should be about 2 to 3 pages long, and provide evidence from multiple perspectives on the topic and the reasons for its impacts.

Focus Group Discussion: Conflict Timeline and Institutional Mapping

Purpose

1. To understand public safety conditions and trends over the last ten years, and local mechanisms for ensuring safety and resolving disputes in the community;
2. To understand the major conflicts or disputes in the community over the last ten years;
3. To assess how conflict affects livelihoods in the community; and
4. To examine the functioning of and changes in community institutions in areas affected by conflict.

Selection of Informants

In each community affected by conflict, the tool should be completed with at least two focus groups:

- A group of 6 to 12 men 30 to 60 years of age.
- A group of 6 to 12 women 30 to 60 years of age.

For villages or neighborhoods where social group differences (e.g. due to ethnicity, race, religion, caste) are important for understanding the major conflicts, and these social groups reside together in the study community selected, research teams may want to conduct separate discussions if possible with local people from the different social groups.¹⁶

Research teams are also free to incorporate sections of this module into the other data collection tools with focus groups and key informants.

Materials Needed

- Markers and large pieces of paper

Time Requirement

Two hours.

¹⁶ In many cases where conflict is present, different ethnic or religious groups do not reside together in the same neighborhoods or villages. If this is the case, then efforts to capture both minority and majority ethnic or religious views will have to be made when designing the sampling framework at the community level.

Description of Method

This activity is designed for the selected countries in the global study which are focusing on the links between mobility and conflict.

Fieldwork in a conflict context requires extensive preparation to ensure the safety of the field team and the study participants, and to create an environment of trust and openness for the data collection. In contexts facing open or recent conflict, it is often good practice to consult closely with government authorities and also representatives from opposition groups on the purpose and timing of the research and measures that can be taken to ensure the safety of all engaged in the study. Under most circumstances, field teams should use local guides to facilitate these contacts and safe entry into and out of the study communities for the field team.

It is also recommended that this focus group activity be conducted at the end of the fieldwork in a community, and after a key informant interview has been conducted to get background on the nature of the conflicts experienced in the community. The background interview will save valuable time and reduce suspicions that may arise from asking detailed questions about the conflict during the focus group activity, which is principally concerned with the impacts of conflict on access to economic opportunities and on community institutions. In addition, postponing the activity to the end of the data collection will provide more time to establish trust with local people.

For communities where conflict is prevalent, many of the topics presented below will emerge during the other data collection. For instance, information on the timing and duration of conflicts will likely be presented in the Community Timeline, and data on important local institutions, and changes in governance and in livelihoods may well come out in the Focus Group Discussion on Livelihoods, Freedom, Power, Democracy and Local Governance. These other tools, however, take a broader perspective and do not focus on conflict as this activity is designed to do. Also important, the purpose of the conflict tool is to gather and present a *range* of perspectives. Such triangulation is especially vital to understanding conflicts and capturing the diverse and potentially competing points of views and interests which may surface in the data collection.

This tool is also intended to be used in communities which are peaceful or experienced conflict a long time ago. Facilitators should feel free to move quickly through questions that are not relevant, such as those specifically addressing major conflict. This will allow more time to focus on mechanisms available to the community for resolving everyday disputes, how these function, and their importance to local livelihoods and accessing economic opportunities.

It is important to conduct the focus group in a private area. To minimize sensitivities that can surround discussion of conflict issues, facilitators are free to change the sequence of the four sections presented below, and to adapt the particular questions as needed. In some contexts, local people may welcome an opportunity to reflect on issues of conflict and attention to sensitivities may be less important.

Section 1. Public safety and dispute resolution

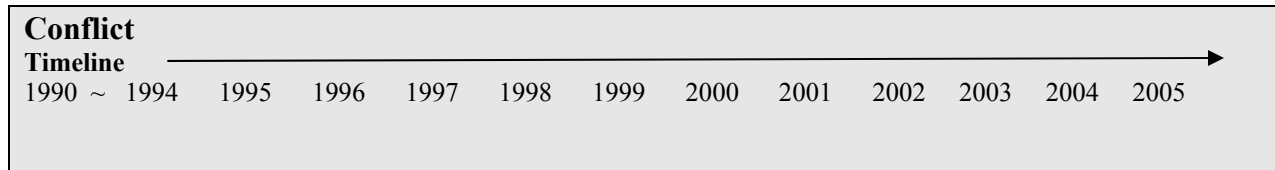
The opening section focuses on mechanisms used in the community for resolving disputes and on public safety conditions and trends. After reflecting on general safety concerns and trends, the questions endeavor to start out on a positive note with a discussion of conflict resolution mechanisms including community involvement in public safety. Other topic areas could be used to open the discussions in a way that builds on the strengths of a community.

Step 2. The trajectory of conflicts

The focus group members should be asked to go back in time, and recall the most important conflicts in the past ten years which affected the community. Again, we are especially interested in the last ten years, but they can indicate other significant conflicts that may have occurred before 1995. By conflict, we do not only mean major violent events, but also conflicts that resulted in a small number of deaths or injuries or limited property damage. This would not include everyday petty theft and crime.

As the focus group members start to recall the conflicts or disputes, they can be listed on the timeline and then detailed underneath (see sample timeline and matrix below). Having listed all of the major conflicts that they can recall, ask them to identify the most important 2-3 conflicts and explain a little bit about the nature and impact of each and how long the impact lasted.

For communities that are peaceful or experienced conflict in the distant past, the focus can shift to identifying the timing and duration of important disputes. If there were very few, the facilitator can move to the next section.



<i>Conflict</i>	<i>Year</i>	<i>Explanatory notes detailing nature, duration and impacts</i>

Section 3. Impacts on key livelihoods

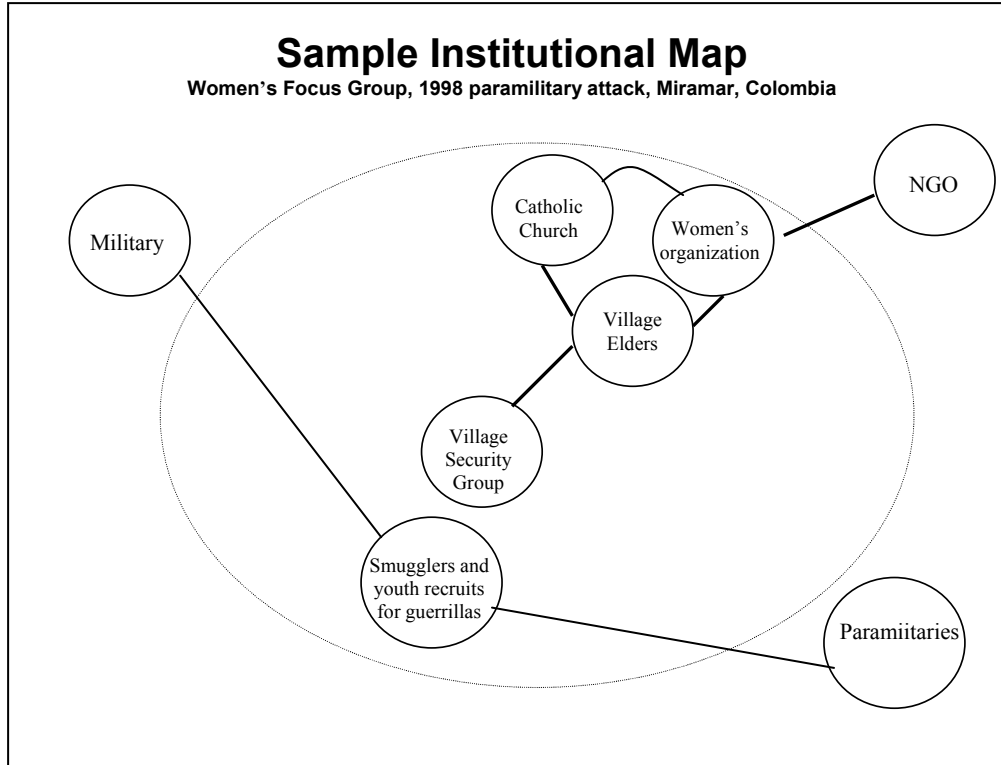
The section opens with questions about the impact of conflict on key livelihoods in the community. If there have been multiple conflicts in the community, then focus on the most important conflict in the community in the past ten years and its impacts on livelihoods.

Section 4. Institutions and conflict

This section is designed to examine the functioning of and changes in community institutions in areas affected by conflict. To focus this discussion, these institutional dynamics are explored within the context of an important conflict or dispute which occurred in the community within the past ten years. At the end of the section, it will be important to have a clear understanding of the leading local institutions, and how a context of conflict affected these local institutions, governance, and economic opportunities over time.

Teams may find creating an institutional map to be a useful tool for enriching the discussions; however, teams are free to experiment with other visuals or to drop the visual if the approach is too sensitive and to simply hold discussions on these issues. The data collection should contain information on how the leading institutions and local governance were affected by the conflict, and the impact of these institutional changes on local livelihoods.

The mapping can begin by listing on large paper the most important public, private and civic institutions in the community and briefly discussing the role and membership of each. The next step is to draw a large circle on a piece of paper to depict the village or neighborhood, and then to identify on the list which actors or groups were involved in some way in leading conflict. Any actors or groups placed inside the circle represent actors or institutions from the community involved in the conflict. Any actors or groups placed outside the circle represents those that are not from the community or work from outside. By groups, we mean public, private and civic organizations including, for instance, religious institutions or NGOs.



Interview Guide

Section 1. Public Safety and Dispute Resolution

In this discussion, we will explore how security and public safety affect efforts by local people to become better and move out of poverty. In this first section, we are trying to understand the efforts people take here to keep the community safe and to resolve disputes, if any.

1. How safe is the community? Is it more, about the same, or less safe than 10 years ago? Why?
2. What efforts have been taken by local people in the community to ensure their security and public safety over the past ten years?
3. Which of these efforts have been the most effective? Why?
4. Which actors or groups are the most trusted in the community for resolving disputes? Why?
5. How were disputes resolved 10 years ago? Were the same mechanisms available? What has changed?

6. Often there are various means for resolving the different types of disputes which can take place in a community. In this community, how are disputes resolved when:
 - a. A local youth gets into trouble? What actors or groups work most closely with youth in the community to keep youth on a good path and away from involvement in crime and violence? Are they successful? Why or why not?
 - b. Someone is made to leave their land? *[Drop if this is too sensitive]*
 - c. When an individual has been treated unfairly by the police or a government official. *[Drop if this is too sensitive]*
 - d. When an individual (*from an important minority ethnic or religious group in that area*) has been treated unfairly by a merchant or employer.

7. What types of criminal activities took place in this village 10 years ago? Now? Are these criminal activities increasing, staying the same or decreasing in frequency compared to ten years ago? Of these activities, which two are the most common now? Why? What is happening? *[Please record these on a large sheet of paper, and then i) indicate whether these activities were present in the community 10 years ago and now, and rate the trend for this type of crime over the last ten years. If the types of crimes in the matrix below are not mentioned, please probe into whether or not they existed; and if any did exist, indicate their presence for now and ten years ago and the trend as well.]*

Presence of and Trends in Criminal Activities

	<i>Present 10 years ago</i>	<i>Present now</i>	<i>Compared to ten years ago, is this activity increasing, the same or decreasing in frequency?</i>
	<i>[√ if present]</i>	<i>[√ if present]</i>	
i. Stealing			
ii. Robbery			
iii. Plundering			
iv. Land capture			
v. Torture/physical harm			
vi. Arson			
vii. Rape			
viii. Narcotics			
ix. Murder			
x. Assault			
xi. Other (specify)			

Rating Scale for Trends in Criminal Activities

- INCREASING..... 1
- THE SAME..... 2
- DECREASING..... 3

Section 2. The Trajectory of Conflicts

Again, we are trying to understand how security is related to moving out of poverty. To explore this, we would now like to understand the nature and timing of any disputes or conflicts which took place in this community over the past ten years. By dispute or conflict, we do not only mean major violent events, but also disputes or conflicts that resulted in a small number of injuries or deaths or limited property damage.

1. Over the past ten years, can you please tell me what disputes or conflicts occurred in this community?

Note: Please record each dispute or conflict on a timeline, and after discussion ask the focus group members to indicate trends in the intensity of the disputes or conflicts in the community over the past ten years using the following scale.

Rating scale:

- 1. There are tensions but they do not lead to fights or mass protests / demonstrations.
- 2. There are mass protests/ demonstrations
- 3. There are fights, mass protests or demonstration that caused material/ property damage
- 4. There are fights or mass protests or demonstrations that caused material/ property damage and injured victims (physical harm)
- 5. There are fights or mass protests or demonstration that caused material/ property damage, and injuries and deaths.

2. Of all of the disputes or conflicts mentioned, can you please identify the dispute or conflict that most affected the wellbeing of the community?

What happened? How long did the dispute/conflict last?

- a. What type of dispute/ conflict was it? [*Some possibilities: ethnic, religious, land-based, resource-based; or over local elections or use of public goods such as water*]
- b. How long did the community experience tensions before or after this dispute/conflict? [How long was the community at risk of high tension either before or after this dispute/conflict?]

- c. What impact did this dispute/conflict have on the village or neighborhood? *[If possible ask]*: Was any property damaged due to the dispute/conflict? If so, what? Were there any injuries or deaths due to the conflict? If so, how many?
 - d. How many people total were involved? Were some members of the community affected more than others by the dispute/conflict? How?
3. When conflict begins, there is often a moment when actions can be taken to prevent further escalation. Has this happened in your community? Please tell me about these experiences.

Section 3. Impacts on key livelihoods

I'd now like to discuss the effects of the conflicts/disputes you mentioned on the local economy and how people earn a living here.

1. In general, would you say that more, the same or fewer people have access to economic opportunities than 10 years ago? How did the disputes/conflicts affect these trends?
2. During the period of the most important dispute or conflict, when tensions or the risk of violence were very high or when violence actually broke out:
 - a. What steps did people here take to protect themselves and their wealth and property?
 - b. What types of households gained from conflict? Why? What proportion of households in the community gained from conflict?
 - c. What types households lost from conflict? Why? What proportion of households in the community lost from conflict?
 - d. What types of households were more at risk during or as a result of the dispute/conflict? Why?
3. Now I'd like you to reflect upon the past 10 years. Which livelihoods were the most affected during the periods when there were tensions and conflicts? Can you please describe these effects? What types of risks did the people who worked in these livelihoods face? *[Please probe into whether the effects on livelihoods were different for each major conflict identified on the timeline.]*
 - e. What livelihoods were least affected? Why?
 - f. Did any new livelihoods emerge during or after a dispute/conflict? Tell me about them.
 - g. Did any livelihoods disappear? Why?

- h. Were some local people more able to take advantage of the changes in livelihoods that resulted from a dispute/conflict?
 - i. Were some people in the community more harmed than others by these changes?
 - j. What kind of local people managed to get ahead despite or perhaps because of a dispute/conflict? How did they do it?
4. Now I'd like you to think about the richest and best off households in this community and nearby. What livelihoods are they generally involved in?
- a. *[For each of the livelihoods mentioned]* How many people would you say enjoy important influence and earnings locally from this livelihood? Have the number of people with this type of influence increased, stayed the same or fallen over the past ten years?
 - b. How have the livelihoods of the richest and best off changed over the last ten years?
 - c. How have the conflicts affected this group?

Section 4. Trends in institutional functioning

Now we would like to explore how important local institutions have evolved over the past ten years, and the impact of conflict on how well these institutions function.

1. If you think back over the past ten years, what have been the most important institutions, actors or groups in the life of this neighborhood/village? These may be government agencies or private or civic groups – or an important leader. Also, these key institutions or actors in the life of the community may operate from within or outside of this neighborhood/village. *[If useful, create an institutional map to enrich the discussion. The visual can start with a large circle to depict the community, and then actors and groups can be added as they are named by the focus group.]*

For each group or actor identified:

- a. What is the main role of this group/actor?
- b. *[If a group]* Who participates in their activities?
[Please probe into the social characteristics of the group's members – e.g. is it an open and diverse group or only allows members of certain political, gender, occupational, ethnic, religious, or other group.]
- c. Does this group or actor mainly work inside or outside the community? *[Please draw a large circle to indicate the community, and add the group outside the circle if it is mainly based outside the community.]*

- d. Do they work with any other actors/groups inside or outside of the community?
 - e. Is this group or actor associated with any of the livelihoods important for the community? If so, how?
2. Now I'd like you to reflect on the most important conflict which took place in the community in the past ten years, and how these local groups in the community were affected. *[For each group identified:]*
- a. How did the conflict affect this group?
 - b. How important was this group in the daily life or leadership of the community when the dispute/ conflict began?
 - c. Did they have any role in the conflict?
 - d. How has the importance of this actor/group in the life of the community changed in the past ten years? Has it become more powerful or less powerful because of the dispute/ conflict? What has changed?
3. I'd like you to consider all of the disputes/conflicts which have taken place in the community over the past 10 years.
- a. Compared to ten years ago, is it easier or harder for people to form organizations and work collectively? Why? Do the conflicts play a role?
 - b. Do people talk openly in this community about local problems? *[Pause, allow time for reflection.]* For instance, do people express their concerns openly at community meetings? Or are some people fearful? Why do you think that is? Compared to ten years ago, is it easier or harder for local people to raise problems at community meetings? Why? What has changed?
 - c. Did the leadership of the community change after any of the disputes/ conflicts? What changes did you see? *[Allow time for reflection.]*
 - d. Did the local government or any locally elected politicians change due to the disputes/ conflicts? What changes did you see? *[Allow time for reflection.]*
 - e. Did the local government become more or less accessible to local people? In what ways?
 - f. Which groups in the community does the local government most represent?

4. Thinking back over the past ten years, what most helped local people to recover and get on with their livelihoods when a conflict ended?

- a. What would have helped people to recover more quickly from these disputes/conflicts and even to become better off?
- b. Are there any special dispute/conflict recovery or reconstruction programs?
- c. Who benefits most from them? Why?
- d. Who benefits least from them? Why?

C. Individual Level Data Collection Methods

Activity 9. Household Questionnaire

Purpose

- To identify the range of factors that help or hinder mobility of individuals within the larger context of their households.

Selection of Informants

The Household Questionnaire should be conducted with adults (men or women) who are 30 to 60 years of age. The Household Questionnaire aims to understand the factors affecting the mobility of an individual within the larger context of the household in which he/she lives. Thus while many of the questions in the instrument on expenditure and assets relate to the household, the subjective questions are about the individual.

The individuals being interviewed for the questionnaire will also comprise the sample that will be interviewed for the Individual Life Stories.

Identification of Individuals

There may be two types of country studies – one linked to panel data where it is available, and others in which panel data is not available. The processes for identification of informants for the questionnaire, is slightly different for both cases and hence are discussed separately.

A. For Countries with Panel Data

For countries where panel data is available, the movement status of individual households in the panel is already known i.e. the research team has prior information on whether a particular household in the panel has moved out of poverty; remained well-off, fallen down; or stagnated in chronic poverty. Depending on the panel sample size and the sampling strategy chosen, the household questionnaires can be done with a subset of randomly chosen households from each of the four categories – movers; those who are well off, the chronic poor; and the fallers. The questionnaire should be done by revisiting the panel household and interviewing the same person as interviewed for the panel before.

We suggest below some proportions for reaching different transition groups, keeping in mind that we really want to know about movement at different levels and about those who have maintained wealth. Teams are flexible to adjust these proportions according to country contexts, the panel sample size and information available on the groups in the country, but the sampling strategy should be cleared by the World Bank study team.

10 years ago	Now	
	<i>Poor or Worse Off</i>	<i>Rich or Better Off</i>
<i>Poor or Worse Off</i>	Chronic Poor (20%)	Movers (40%)
<i>Rich or Better Off</i>	Fallers (10%)	Always rich or better off (30%)

(Please note that the above is a stylized table because even among the chronic poor, there may have been individuals that “moved” up or down by a category but remained stuck in poverty. Similarly, the always rich or better off may include those who have experienced some movement or those who were able to maintain their status over time.)

If the team is unable to identify a large enough sample of informants from the panel data set, they can expand their sample by selecting individuals from randomly chosen households identified through the Focus Group Discussion: Ladder of Life that belong to a particular category of movement.

B. For Countries without Panel Data

For countries where panel data is unavailable, the selection of informants for the household questionnaire should be based on the household sorting exercise undertaken during the Focus Group Discussion: Ladder of Life. The exercise, ranking households in the community as per their current wellbeing status on the Ladder of Life compared to their status 10 years ago, is likely to result in 4 transition groups:

- (i) those who moved out of poverty;
- (ii) those who remained chronically poor;
- (iii) those who managed to maintain their wealth and stay out of poverty;
and
- (iv) those who fell into poverty

Once households in the community have been stratified in these four groups, respondents for the questionnaire can be randomly selected in a proportion appropriate to that context. The table below suggests a distribution for reaching the different transition groups.

10 years ago	Now	
	<i>Poor or Worse Off</i>	<i>Rich or Better Off</i>
<i>Poor or Worse Off</i>	Chronic Poor (20%)	Movers (40%)
<i>Rich or Better Off</i>	Fallers (10%)	Always rich or better off (30%)

(Again, please note that the above is a stylized table because even among the chronic poor, there may have been individuals that “moved” up or down by a category but remained stuck in poverty. Similarly, the always rich or better off may include those who have experienced some movement or those who were able to maintain their status over time.)

Teams are flexible to adjust the above proportions, but the sampling strategy should be cleared by the World Bank study team. For example, the fourth transition group (i.e. the fallers) can be very small or dropped depending on poverty trends, and if much is already known about this group. If poverty is decreasing and a great deal is already known in the country about what causes individuals to fall into poverty, then this category can be dropped from the sample so that more can be learned through conducting questionnaires with other categories.

Time required

Two hours.

Description of Method

This section briefly reviews issues that need to be addressed when preparing and applying the household questionnaire of the *Moving Out of Poverty* study in a specific country.

Two issues pertain to the preparatory phase of the field work. These are:

- Adaptation of the questionnaire; and
- Translation of the questionnaire.

Four issues are pertinent to the field work itself:

- Obtaining cooperation and informed consent of the respondents;
- Applying the definition of the household;
- Dealing with non-response to specific questions; and
- Maintaining overall quality control.

Adaptation of the questionnaire

Before the field work begins, the prototype household questionnaire for Moving Out of Poverty needs to be adapted to the local situation. This adaptation process consists of a detailed review of the questions and answer codes to see if they are relevant in the local context. This process can be illustrated by means of a few examples.

The most obvious cases are those where the prototype questionnaire includes only generic codes. This is the case, for example, in section 0 for ethno-linguistic group and religion of the head of household. The generic codes need to be replaced with the names of those ethno-linguistics groups and religions that exist in the country in question. The list should be applicable to the country at large, even if certain codes are not relevant for specific areas or regions. The codes for occupation constitute another example. In principle, it is advisable to use the one-digit codes from the International Standard Classification of Occupations (ISCO). However, in some

countries, it is possible that a large proportion of the population would be concentrated in a single one of these codes (for example, farmer) in which case it would make sense to provide a more detailed breakdown of that occupation group, while aggregating certain other groups.

The prototype answer codes in many questions may also have to be changed to reflect local options or sensitivities. For example, in section 2, questions are included that inquire about the construction materials of houses. Obviously, the codes should reflect only materials that are used in the country in question. Likewise, in section 4, the list of characteristics that may stress a community's social cohesion needs to reflect characteristics for which there is local variation. In situations where there is no ethnic or religious diversity, there is no point in asking whether differences in ethnic backgrounds or religion can be the cause for social stress. The questions on credit, in section 2D, provide a further example of the need for adaptation. Questions in this section present the respondent with a list of 10 possible sources of credit. While this list should be comprehensive for the country, it should reflect only those choices that actually occur, and use local terminology for the different types of possible lenders. For example, moneylenders or government banks do not exist in every country, and "community credit groups" may be known under different names, such as credit union or *arisan*.

The questionnaire also needs to be adapted to address the policy focus of the study within countries. However, to retain comparability across countries participating in the global study, a note is provided to the research teams, separating questions that are core to the study from those that can be dropped at the discretion of the teams.

Translation of the questionnaire

The prototype questionnaire is drafted in English, and thus application in most countries will require translation into local languages. This exercise should begin with a discussion among the study team members of the preferred translation of frequently used terminology. Examples are terms such as organization, association, trust, collective action, local government, democracy, etc. Past experience has shown that translation of such terms is not always easy, and, if necessary, the team may wish to consult with local sociologists and language experts. Once agreement is reached on a dictionary of the main terms, the actual questionnaire can be translated into multiple local language(s). Even in countries where there are multiple local languages, translation of the questionnaire into these languages is critical. Experience indicates that when enumerators are forced to translate on the fly, i.e. during the interviews, many inconsistencies arise in the translation and the flow of the interview is slowed down. The end result can be a significant reduction in the quality and comparability of the collected information. This issue is all the more important for a cross-country endeavor such as the *Moving Out of Poverty* study where every effort needs to be undertaken to maintain comparability.

To ensure accuracy of the translated questionnaire, it is recommended that it be back-translated into English. The comparison of this translation with the original instrument is the most effective way to detect errors in translation.

Cooperation and informed consent

The household questionnaire is part of a series of data collection instruments which will inform the study *Moving Out of Poverty*. Some instruments are administered to focus groups of households, others will require interviews with key informants. It will be very important to undertake a number of steps to obtain the cooperation and informed consent of these different respondents. Arrangements need to be made prior to the arrival of the field teams in the communities to ensure that the teams are welcome and that they can start their activities immediately after arrival. The nature of these arrangements will have to follow local customs, but usually, and at a minimum, they include sending a letter to the village heads or community leaders to advise them of the team's arrival and to solicit their cooperation.

When the team arrives in a community, it should pay a courtesy visit to the community leader and discuss the work plan with him or her. General survey experience has indicated that the cooperation of the community leader is often a critical factor in insuring smooth implementation of the data collection process. This is especially important for a data collection exercise which makes significant claims on respondents' time and willingness to cooperate. This willingness often increases dramatically if it is known that community leadership supports the data collection effort and participates in it.

For the household questionnaire, the team will also need to secure the cooperation of each individual respondent. Depending again upon local customs, this could involve no more than a simple verbal agreement or it may require a written "informed consent" form. Where this is needed, the team should have blank forms available for completion in the presence of each household to be interviewed. In all cases, the team needs to assure respondents of the confidentiality of the information they provide.

It would be good practice for someone on the study team to contact the National Statistical Office or other government institutes with experience in collecting data, to obtain information on local practice regarding obtaining cooperation and consent from participants in surveys, and to ensure that all local laws on safeguarding privacy and confidentiality are adhered to. One may also wish to discuss the appropriateness in a given context of offering respondents small gifts or other rewards for their cooperation.

Definition of the household

The first section of the questionnaire contains the household roster, which lists all members of the household and obtains some basic demographic and socio-economic information on them. For the roster to be correctly completed, it is important that enumerators understand clearly the definition of the household and apply it consistently in the field. It is an important element of the enumerator training program to explain this definition and to review how it applies to unusual situations that may occur in the field.

The definition recommended for the *Moving Out of Poverty* study is a standard definition which has been used in many surveys throughout the world: "A household constitutes of all people usually living together in a dwelling and sharing expenses." This definition consists of three key elements.

First, "all people" implies that the nature of the relationship between people is not relevant in determining whether they are household members. In other words, households can consist of relatives and non-relatives. This concept also implies that a household can consist of a single individual.

Second, household members must "usually live together in a dwelling". A consensus needs to be achieved as to what constitutes "usual". A commonly used criterion is that a person has to be physically present in the household at least three or six months per year. A short criterion of three months per year is often used to ensure that household members who are away for long periods of time (e.g. for seasonal work) are not excluded. However, any criterion under six months per year runs the risk that a person would be counted as a member of more than one household. In addition, the following rules apply: the head of household and newborn infants are always members of the households even if they do not meet the time criterion, and persons who died are not considered members of the household.

The concept of dwelling needs to be interpreted broadly, and can refer to a house, apartment, room, compound, etc. (However, large compounds such as a residence hall in a school or a prison are typically excluded from consideration).

Third, the notion of "sharing expenses" implies that there exists a common pot used to pay expenses for the household. This common pot can be used to pay for selected expenditures such as food, or for all expenditures. This part of the definition is important to identify whether servants or boarders are part of the household or constitute a separate household. If, for example, boarders pay rent to the household but otherwise maintain their own pot of money to cover their expenditures, they are not part of the household.

While this definition can be used to sort out most situations that one encounters in the field, it is useful to develop guidelines on how to deal with specific living situations that may be common in a particular country, such as multiple families sharing a compound, polygamous households, foster arrangements, etc.

Given that several questions in the household questionnaire ask the respondent to compare the current household situation with that existing 10 years ago, it is necessary to reach agreement on the conditions under which a currently enumerated household can be considered the same as the one that occupied a dwelling 10 years ago. In panel studies, the rules for identifying households over time usually revolve around the requirement that the head of household must remain the same and/or that a certain number of household members must be the same. Considering that the study *Moving Out of Poverty* covers a long time period, it is advisable that the selected criteria not be too stringent lest it becomes very difficult to find current households that existed 10 years ago. For example, one might require that only one or two household members be the same. With respect to the head of household, one might relax the requirement that the head of household be the same now as 10 years ago. Specifically, a current household could also be considered the same as 10 years ago if the current head of household is the spouse or child of the head of households of 10 years ago.

Missing data fields

In the process of completing the questionnaire, the interviewer will come across a number of situations in which a given question cannot be answered. The most common situation is that the question is not applicable to a specific respondent, as a result of the skip patterns built into the questionnaire. For example, a respondent may be asked if he or she is a member of a certain organization. In the case of a negative answer, follow-up questions about how one participates in the organization are not applicable to this respondent. In such cases, the enumerator is instructed to skip these questions and leave the answer boxes blank.

It is also possible that a respondent refuses to answer questions or does not know the answer. It is important for the analysis of the data that this situation can be distinguished from the cases of non-applicable answers. The preferred way to achieve this is by instructing enumerators to write down a standard code anytime a respondent refuses to answer or does not know the answer. The code should be a number that does not occur anywhere in the questionnaire as a legitimate code, such as 77 or 88. Ideally, a different code should be used for refusal and for ignorance. This approach ensures that all blank fields in the questionnaire represent “not applicable” situations.

Finally, a third possibility must be considered, whereby the respondent informs the enumerator that the question is not applicable to him or her. This could occur, for example, if a question about school enrollment is asked to a household that has no children. If the questionnaire is well-designed, such situations should not occur because the line of questioning would be preceded by a suitable screen question. In the example, one would first ask whether the household has children, before proceeding with questions on education; if the household has no children, the section is skipped. In practice, it may not be possible to anticipate, and screen for, all possible situations. If cases do occur where the respondent tells the enumerator that the question is not applicable, the answer field should not be left blank, in order to distinguish this situation from the one that arises from skip patterns present in the questionnaire. Instead, the enumerators should be instructed to enter the same code that is used for a “don't know” answer.

Maintaining quality control

Many aspects of field work preparation and implementation contribute to maintaining high quality of collected data. For example, a well-designed questionnaire and thorough training of enumerators are critical factors in this regard. However, it is common practice in survey field work to build in a number of control activities that aim explicitly at checking and maintaining the quality of the collected data. Most of these activities are the responsibility of the supervisor of the field team. Specifically, it is recommended that the person(s) doing the interview and the supervisor check all completed household questionnaires on a daily basis to ensure that all answers are complete. Any anomalies (incorrectly filled out sections, missing sections, etc.) should be discussed immediately with the enumerators in the team. Similar checks can be done for the qualitative instruments, such as reviewing the reports of the focus groups and the questionnaires filled out with key informants.

In addition, a number of survey operations (for example, the LSMS) require the supervisors to revisit 5% or 10% of households. This serves to verify that the enumerator did in fact visit these households and administered the complete questionnaire. The supervisor can also repeat a limited number of questions to verify the responses. When the enumerators know that these procedures are part of the field work, it provides a powerful incentive to implement their field work diligently.

Finally, if data entry occurs during or very shortly after the field work, initial printouts of the data can be used to obtain information on various parameters that indicate quality of the data. To the extent that pocket PCs are used to administer the household questionnaire, this can be done on the day of the data collection itself. These parameters include the number of questions that were filled out incorrectly, for example, because the answers are out of range or inconsistent with other answers. Such printouts are very useful to indicate whether specific teams or specific enumerators are less careful than others in completing the questionnaires and may require remedial action.

Additional Guidance

1. Please make sure that the name of the person being interviewed for the questionnaire; the name of the community; district and country are written down in more than one place so there is no confusion. For countries with panel data, the household ID# of the person being interviewed should also be clearly mentioned.
2. It is assumed that Sections 0-3 of the questionnaire (including questions on demographic characteristics of households; economic characteristics; and health) are already covered in the panel survey questionnaire. For non panel countries, these sections are critical for background information needed for quantitative analysis. All country teams will probably need to add some “change” questions for the issues they consider more important for their countries.

3. Please add some introductory words every time you move to a new section saying that we are now moving to a new issue.
4. Since this is a retrospective study, please fix the reference period of 10 years early on in the interview. “We are now going to ask you some questions about today and 10 years ago. How old were you then? Where were you living? Were you married? Did you have any children? How old were they? So now when I ask you about a situation 10 years ago, I want you to think of the specific situation you mentioned.” This enables the respondent to think about a specific period in time when responding to recall questions.
5. Please note that coding lists throughout the questionnaire should *not* be read out. The responses can be coded right after the interview if the code is not obvious immediately.
6. If a response is given that is not one of the coding options, please introduce a new code at the end of the list rather than resort to the category “other”, which we want to keep below 5 percent of total responses.
7. In all questions about local government, please specify what you mean by local government (e.g. the district council) so the reference point is clear.
8. The survey consists of some questions that ask the respondent if they may have approached local and national politicians for public issues or private matters. Before asking such questions, please define to the respondent what you mean by a personal matter/public issue. You can say for instance, “A personal matter can be one that benefits only one person, while a public issue benefits almost everyone.”
9. Decide how you are going to present the national poverty line to the respondent and ask him/her to place it on the 10-step Ladder of Life (section 7A on perceptions of wellbeing). You could use the local currency equivalent of the national poverty line for a family of four for one day, since it is intuitive and easy to grasp.

Household Questionnaire

See Annex III.

Activity 10. Open-Ended Interview: Individual Life Stories

Purpose

1. To understand the life stories of how and why some individuals escape from poverty, and the factors and processes that led to their escape;
2. To understand the life stories of how and why some individuals manage to maintain their wealth, and the factors and processes that helped in maintenance of their status;
3. To understand the life stories of how and why some individuals remain trapped in chronic poverty, and the factors and processes that kept them in poverty;
4. To understand the life stories of how and why some individuals fall into poverty, and the factors and processes that led to their decline into poverty; and
5. To understand the factors and processes that come together for accumulation or depletion of assets and savings.

Selection of Informants

The Individual Life Stories should be conducted with adults (men or women) who are 30 to 60 years of age. **It is important that a Household Questionnaire be completed with each informant with whom the Individual Life Stories is conducted, and the household questionnaire ID# is recorded in the write up for the Individual Life Story.**

Identification of Individuals

Since the sample for the Individual Life Stories is drawn from those who have completed the household questionnaire, the process for identification of informants for the life story follows a similar pattern as selection of informants for the questionnaire.

The processes for identification of informants for the Individual Life Stories are slightly different for countries with and without panel data, and hence are discussed separately.

A. For Countries with Panel Data

For countries where panel data is available, the movement status of individual households in the panel is already known i.e. the research team has prior information on whether a particular household in the panel has moved out of poverty; remained well-off, fallen down; or stagnated in

chronic poverty. Depending on the panel sample size and the sampling strategy chosen, the life stories can be done with a subset of randomly chosen households from each of the four categories – movers; those who are well off, the chronic poor; and the fallers. The interview should be done by revisiting the panel household and interviewing the same person as interviewed for the panel before.

We suggest below some proportions for reaching different transition groups, keeping in mind that we really want to know about movement at different levels and about those who have maintained wealth. Teams are flexible to adjust these proportions according to country contexts, the panel sample size and information available on the groups in the country, but the sampling strategy should be cleared by the World Bank study team.

Again, please note that the Individual Life Stories tool should be conducted with the informant after completion of the Household Questionnaire.

10 years ago	Now	
	<i>Poor or Worse Off</i>	<i>Rich or Better Off</i>
<i>Poor or Worse Off</i>	Chronic Poor (20%)	Movers (40%)
<i>Rich or Better Off</i>	Fallers (10%)	Always rich or better off (30%)

(Please note that the above is a stylized table because even among the chronic poor, there may have been individuals that “moved” up or down by a category but remained stuck in poverty. Similarly, the always rich or better off may include those who have experienced some movement or those who were able to maintain their status over time.)

If the team is unable to identify a large enough sample from the panel data set, they may randomly select individuals from households identified through the Focus Group Discussion: Ladder of Life that belong to a particular category of movement.

B. For Countries without Panel Data

For countries where panel data is unavailable, the selection of informants for the Household Questionnaire and the Individual Life Stories should be based on the household sorting exercise undertaken during the Focus Group Discussion: Ladder of Life. The exercise, ranking households in the community as per their current wellbeing status on the Ladder of Life compared to their status 10 years ago, is likely to result in 4 transition groups:

- (i) those who moved out of poverty;
- (ii) those who remained chronically poor;
- (iii) those who managed to maintain their wealth and stay out of poverty;
and
- (iv) those who fell into poverty

Once households in the community have been stratified in these four groups, respondents for the questionnaire and the individual life stories can be randomly selected in a proportion appropriate to that context. The table below suggests a distribution for reaching the different transition groups.

10 years ago	Now	
	<i>Poor or Worse Off</i>	<i>Rich or Better Off</i>
<i>Poor or Worse Off</i>	Chronic Poor (20%)	Movers (40%)
<i>Rich or Better Off</i>	Fallers (10%)	Always rich or better off (30%)

(Again, please note that the above is a stylized table because even among the chronic poor, there may have been individuals that “moved” up or down by a category but remained stuck in poverty. Similarly, the always rich or better off may include those who have experienced some movement or those who were able to maintain their status over time.)

Teams are flexible to adjust the above proportions, but the sampling strategy should be cleared by the World Bank study team. For example, the fourth transition group (i.e. the fallers) can be very small or dropped depending on poverty trends, and if much is already known about this group. If poverty is decreasing and a great deal is already known in the country about what causes individuals to fall into poverty, then this category can be dropped from the sample so that more can be learned through conducting questionnaires and life stories with other categories.

Time Requirement

- Two hours.

Description of Method

The Individual Life Stories is an open-ended interview that complements the household questionnaire. This method is what distinguishes the study from a typical household survey or a panel data study. The purpose of the interview is to gather people’s life stories and understand the factors and processes behind movements out of poverty, or remaining trapped in poverty, or maintaining one’s wellbeing status. What were the high points, the low points or the turning points? Did factors come together to help the individual move up, fall down, stagnate or maintain his/her wealth? Such details and dynamics of how and why individuals can and cannot get out of poverty are impossible to get from a questionnaire. Again, we are trying to understand if the factors and processes that contribute to moving out of poverty are multidimensional, and if there is any combination or sequencing of the factors.

The Individual Life Stories tool draws from the conceptual framework of opportunity structure and agency, and tries to probe the framework in depth – at the level of the individual. It attempts to examine the key forces that interact to facilitate or constrain an individual’s efforts to improve

his/her own wellbeing as influenced by (a) a change in individual or collective capacity to take purposeful actions i.e. to exercise *agency*, and (b) a change in the social, political and institutional context that defines the broader *opportunity structure* in which the individual pursues his/her interests.

The Individual Life Stories tool therefore is a place to try and understand the power differentials and inequalities in political, social and economic institutions— or the opportunity structure shaping an individual’s life. Also explore the individual’s or a group’s own efforts or collective action— or agency. Sometimes psychological factors are the most important, such as aspirations, self-confidence, a sense of “I can do it.” These factors are very difficult to capture and so the Individual Life Stories (a conversational interview) is the time to capture these.

The timelines given below are an attempt to uncover different aspects of an individual’s life. However, please feel free to introduce or follow any line of questioning that will give insights on people’s motivations or the factors that come together to help them get ahead or that plunge them down and perhaps into crisis.

For background purposes, it will be important for the interviewer to review carefully the completed household questionnaire before beginning the interview. This will provide information on the composition of the household, the occupational status of its members, and trends on various dimensions of the household’s wellbeing. Having this information should save valuable time in the interview to really focus on the processes behind the leading experiences of the household that affected its economic wellbeing. However, please use the questionnaire information as background and do not ask leading questions based on that information.

Introducing the Interview

After explaining the purpose of the study, the first step in the interview is to verify the movement status of the individual from the focus group classification activity and the household questionnaire. The rest of the interview is dedicated to understanding what has helped and hindered that individual from moving out of poverty. The interview should provide:

The individual’s life story and what helped or hindered them in their movements out of poverty or in maintaining their wealth. What are the main characteristics of— and similarities and differences between— their lives now and 10 years ago? By the conclusion of the interview, we should learn the trends in the individual’s economic and overall wellbeing and the factors and processes that led to these trends, including:

- The high points, the low points or the turning points. Did several events or factors come together to help the individual move up, maintain his/her status, or slide down?
- The nature and timing of the movements, if any, experienced by the individual, particularly for the last ten-to-fifteen years. For individuals who moved up, were there periods of backsliding? If not, for how long have they remained at their improved status? For

individuals who remained trapped in poverty, were there periods of getting ahead and falling back? These movements should be mapped onto a timeline.

- The meanings and interpretations that the individual assigns to the factors and processes that caused or prevented their movement out of poverty. To explore these factors and processes, the interview will collect information on six topics:
 1. Migration history;
 2. Occupational history;
 3. Economic history, including processes and reasons behind important changes in assets, and membership in economic organizations;
 4. Social, Psychological and Cultural history, including important social relationships in their life; areas of their lives that have brought value and meaning; changes in self confidence, and identification with and belonging to groups and its importance in their lives;
 5. Education, focusing on most important formal and informal learning and educational experiences; and
 6. Consolidation and Trend line on Overall Wellbeing on the ups and downs of the individual's overall wellbeing, identifying the high points, the low points, the turning points, the point at which the individual felt more secure of having passed the danger point of falling into poverty; and the interaction and sequencing of factors and processes that came together for accumulation or depletion of assets and savings.

Constructing Thematic Timelines and Trend Lines

For each of the six topics and the final trend line on overall wellbeing, a separate visual should be created during the interview. A two-step process is suggested below for developing the visual, but teams are free to innovate with this tool.

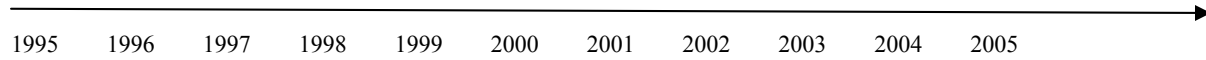
Step One: Timeline of key events or factors. For each of the topical areas under study during the interview, please create separate timelines on a large sheet of paper or several papers placed together. It will be important to recreate each timelines fully in the write ups of the interviews.

The timeline should indicate the key events, factors or processes during the past 10 years that are pertinent for that topic. Sometimes people have difficulty recalling exact years, and some amount of approximation is fine, especially with older people. It usually helps to define the time period by recalling events in relation to some major event in their lives (such as a wedding or birth of a child) or in the area (such as a drought, fire or epidemic, or elections and so forth). Again, memories may become clearer as events are recalled over the course of the interview. If an important event occurred more than 10 years ago, it should not be recorded on the timeline but should be captured in the narrative.

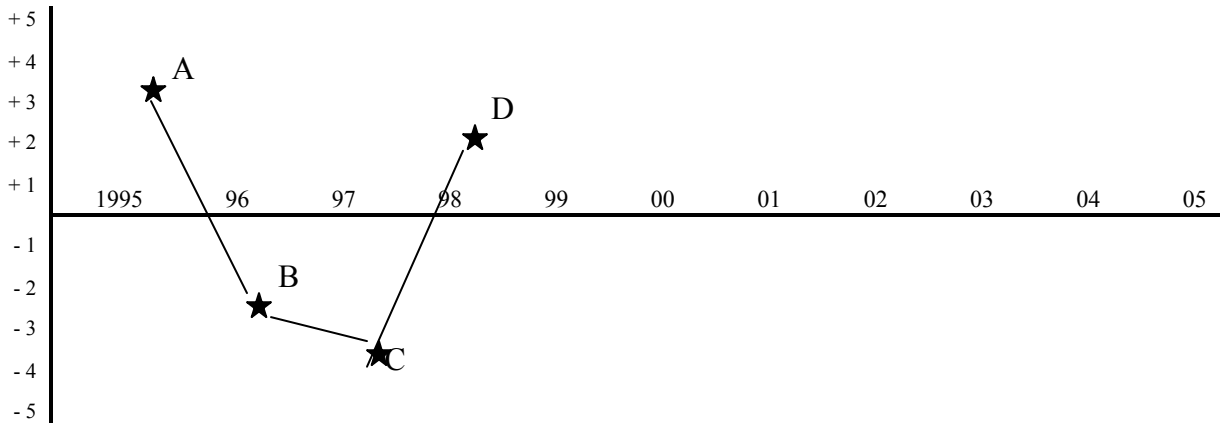
Below is an example of a timeline that might be used to start discussion on the topic of migration - where she has lived over the course of her life. The timeline should begin 10 years ago, or 1995. Discussion about changing locations prior to 1995 is encouraged, but the probing into

details about where and why they have moved should focus mainly on the last ten years. Let them set the pace, however. People may move slower or faster through different periods of their lives, depending on what they perceive to be important and the coming together of different events, factors or processes at certain moments.

Individual Migration History



Step two. Scatter Plots and Optional Trend Lines. Before going on to the next topic, please get the respondent to rate each event along a vertical scale showing its impact on his/her overall wellbeing. You have the option to connect the dots to show an overall trend in wellbeing with respect to migration. Below is an example of a trend line showing how migration impacted a 45-year old woman's wellbeing.



- A. 1995: Lived in Village Renua, Madhya Pradesh, India post marriage (+3)
- B. 1996: Migrates to Delhi, India with husband in search of better job opportunities; living conditions deteriorate (-2)
- C. 1997: Moves back with family to Renua after falling ill (-3)
- D. 1998: Comes back to Delhi after separating with husband, finds job in a school (+2)

Hand a pile of stars, dots or pebbles over to the informant and ask them to place these along the rating scale, depending on how they perceive each move impacted their wellbeing. Dots just below the timeline would represent small declines in wellbeing, and dots far below the timeline would represent large declines. The rating scale would indicate:

- +5 = very large improvement in wellbeing (e.g. caused by the migration)
- +4 = large improvement in wellbeing
- +3 = improvement in wellbeing
- +2 = small improvement in wellbeing
- +1 = very small improvement in wellbeing

- 0 = no change in wellbeing
- 1 = very small decline in wellbeing
- 2 = small decline in wellbeing
- 3 = decline in wellbeing
- 4 = large decline in wellbeing
- 5 = very large decline in wellbeing

In communities where people may not be familiar with numbers, please be creative and feel free to use other methods to develop the scale. For instance, different colored or sized pebbles could be used for each step of the scale, or different numbers of pebbles could be piled at each step of the scale. If the timeline is very full, please use your judgment and focus on rating only the key events and factors.

As an optional final step, connect the dots or stars with a trend line to indicate the changes in wellbeing over time as a result of migration.

Developing such a scatter plot or trend line for each topic may help the respondent as they draw the final trend line on overall wellbeing. However, to ease the identification of important sequencings or interactions of factors across the various timelines, it is critical that a constant scale be maintained for years. In other words, all timelines should start from 1995 (as in the above example) and go to 2005. Timelines that begin in different years would make it harder to compare the scatter plots or trend lines and identify if there are common periods of peaks and troughs or certain events that come together.

It is to be expected that the interviews will cut across the different themes. For instance, economic and social issues frequently emerge in discussions about migration. While the migration timeline visual should focus on migration and its impacts on wellbeing, the hows and whys behind the linkages across the different themes or dimensions should be richly presented in the narrative.

The final trend line on overall wellbeing is designed to reflect what emerges from all the thematic trend lines and to better understand the sequencing and interaction between events, factors and processes that led to the ups and downs in the individual's overall wellbeing.


Of particular importance, while constructing the timelines and trend lines, please pay attention to and document the details and explanations of any combination, interaction or sequencing among events and factors that may have helped or hindered movement or lack of movement out of poverty or wealth maintenance for the individual. The interview should probe into the individuals' own understanding of what happened to them, and the factors and processes over the last ten years that have both helped and hindered their wellbeing. Take time to allow the individual to provide rich details about the nature of the factors and processes that shaped their lives, and to explain whether and how they had positive or negative effects or perhaps mixed effects. Be careful not to assume certain effects or ask leading questions. For instance, sometimes terrible shocks in people's lives can lead to surprisingly good changes. Alternatively, good fortune can sometimes have perverse effects. Please do not consider the visuals to be substitutes for documenting such details!

Interview Guide



Verification of Individual Status

- We have been meeting with people in this community to understand what poverty means and whether there is more or less inequality here. Today, we're interested in learning your life story. We are interested in knowing the factors and events that created opportunities for you, positive and negative and the factors that enabled you to take action on your own behalf and support yourself and your family. I am now going to ask you a series of questions on various aspects of your life and you are free to talk about anything else you feel is important. As you are talking about these aspects, please keep in mind what helped you; what hindered you; what came in the way; and why you did certain things.
- We learned from a discussion with a few members of this community that your household has gotten ahead (*or remained well-off; remained stuck in poverty, fallen down*) in the past ten years. And the survey you just completed indicates that your households has gotten ahead (*or remained well-off; remained stuck in poverty, fallen down*). Do you agree with these findings? Do you think you are better off, the same or worse off than 10 years ago? Why?

Migration History


- Now we're going to focus on different areas of your life and your experiences, and when they took place. I'd like to do this by recording key happenings in your life on a couple of different timelines. The first timeline will simply deal with the different places you have lived in your life in the past 10 years. But let's start with a time before that. Where were you born?
 - Where else have you lived?
 - [*For each move,*] When did you move there? Do you recall why you moved there? Did anybody help you or did anybody make things difficult for you? Did life get better or worse for you once you got there?
 -  Have you ever moved or considered moving because of the presence of violent conflict in the places you have lived? By conflict, I do not only mean major violent events, but also conflicts that resulted in a small number of deaths or injuries or limited property damage.¹⁷

*** Only record migration events on the timeline from 1995 to present. ***
- Do you plan to stay here or do you plan to move? Why?
- Now I want you to think about the impact each of these moves had on your wellbeing. Imagine a line that has five steps going up and five more steps going down (*draw this on*

¹⁷   Question only for countries affected by conflict

the side of the timeline). The top most step above the timeline would represent that you experienced a very positive or a very large improvement in wellbeing; one step above the timeline would represent a very small improvement; and the bottom most step below the timeline would represent a very large decline in your wellbeing. *(For every move mentioned on the timeline)* please place a star *(or dot or pebble)* somewhere above or below the timeline to show the impact it had on your wellbeing.

Occupational History

- Tell me about your working life. When did you start working? *[Depending on the age of the informant, gather an occupational history for the last 10-20 years and probe more deeply into sources of income and occupations over the past 10 years. The follow-up questions below will need to be modified for individuals who may be farmers, in a family business, working from home, business owners and so forth. Again, record on the timeline only the events that occurred in the past 10 years. Prior events should be noted in the narrative.]*
 - When did you start working? What did you do? How and why did this change over time? Did anybody help you or did anybody make things difficult for you?
 - *[For every change]* What did you do? Do you recall how you got the work?
 - How did you learn the skills required for the work?
 - About how much were you earning?
 - Did you earn more as you got more experienced?
 - Did life get better or worse for you?
 - Why did you leave this work?
 - How did this experience help you? Do you think it helped you find work? How?
- Currently, what is your main occupation/main source(s) of income? What was your main occupation/main source(s) of income ten years ago?
- I understand that this community has experienced conflicts in the past. Did any of these  conflicts or the period of recovery after the conflicts affect your work? If so, can you please describe how?
- Do you belong to any economic organizations such as a union or a cooperative? If so, tell me how has this organization helped or hurt you.
- Now I want you to think about the impact each change in occupation had on your economic wellbeing. Imagine a line that has five steps going up and five more steps going down *(draw this on the side of the timeline)*. The top most step above the timeline would represent that you experienced a very large improvement in wellbeing; and the bottom most step below the timeline would represent a very large decline in your wellbeing. Please place a star *(or dot or pebble)* above or below the timeline to show what impact each change in occupation had on your economic wellbeing.

Economic History

*** Please record on the timeline only the events that occurred in the past 10 years. Other events such as important purchases prior to 10 years ago, and information on them can be recorded in the narrative. ***

- Now I'd like to explore changes in your economic wellbeing and that of your household. If you think back over your life what is the first big thing that you purchased or was perhaps given to you? How did this make a difference in your life?
- What are the other important purchases or assets that you or another member of your household have bought or invested in during your life? This might be land, a business, or a house, or it could simply be setting aside savings for your children's weddings or inheritance. *[For each major asset in recent years]*
 - Do you recall when this was acquired? Why did you purchase it? How did it make a difference in your life?
 - What/who made this possible?
- If you think back, would you say that you've been able to gradually acquire more and more wealth *[or assets]* over your life, or that there have been ups and downs? Why? What caused this to happen? Did particular individuals or events make a difference? What has been the timing of the changes?
- Do you save? Why? Why not? What is the form of your savings? Would you mind discussing a little bit about your financial savings and investments in the past 10 years? *[If relevant,]* Who do you turn to for information on managing funds? Are there any services you turn to for information and advice on managing these assets? How have these assets performed over the last 10 years? What are your expectations for your savings and investments in the future?
- When you think back on your working life and what you have accumulated, can you think of any government policies or programs that may have been helpful or gotten in the way?
- Again, would you please think back to the periods in this community when the risks of conflict were very high or conflict actually broke out. What steps did you take to protect your loved ones and your property and savings?¹⁸
- Do you feel prepared financially if something bad should happen to the family which may require substantial funds? How will you cope? What would help you cope better?


¹⁸   Question only for countries affected by conflict

- Now I want you to think about the impact that these changes – buying assets, having savings, or not saving – had on your economic wellbeing. Imagine a line that has five steps going up and five more steps going down (*draw this on the side of the timeline*). The top most step above the timeline would represent that you experienced a very large improvement in economic wellbeing; and the bottom most step below the timeline would represent a very large decline in your economic wellbeing. Please place a star (*or dot or pebble*) above or below the timeline to show what impact each of these changes in your wealth or assets had on your economic wellbeing.

Social, Psychological and Cultural History

*** Please record on the timeline only the events that occurred in the past 10 years. Other important household events/relationships prior to 10 years ago, and information on them can be recorded in the narrative. ***

- Now we're going to switch to a very different topic. If you think back over your life, what have been the most important relationships in your life that have helped you along the way? Why? How have they made a difference?
- Let's focus on your family and relatives? What relationships in your family life have been most important? Why? What kind of help have you gotten along the way? How did this make a difference in your life? What family events may have hindered you? Is there any link between these events/relationships and your economic wellbeing?
- Do you think that the respect which you receive within your family has increased or decreased over the years? What has led to this?
- Were there any important household events in the past 10 years? Any family break ups or deaths? Or perhaps weddings or illnesses? [*For each important event:*] How did this affect you?
- Now I'd like to move outside your home? What have been the most important relationships with your friends and neighbors and others in the community and beyond the community? Why? Have they helped or hindered improvement in your wellbeing? How have they made a difference?
- What have been the most important relationships with the people you work with? Have any of these relationships been very important? How?
- Are there any other relationships that have had an impact on your life?
- If you think back over your life, what experiences have brought the most meaning to your life?

- Do you feel confident in yourself? Has your confidence grown over the years? How and why?
- Do you think of yourself as belonging to a certain community or group of people? Is belonging to this group important to you? Do you think this group helps or hinders your access to economic opportunities? How? Has the importance of this group to you changed over time?
-  Has the presence of conflict in the community affected any of the important relationships in your life – either in your household, among friends and relatives, at work, in the groups that you belong to, or in the wider community? If so, how and why?¹⁹
- Finally, do you have any political connections? [Wait for response.] In the past 10 years, have you as an individual or your social group (define what the group is) ever tried to get help with a personal matter from a politician or a government official? What was their response?
- Now I want you to think about the impact on your wellbeing of each relationship, involvement in a group or other experiences noted on this timeline. Imagine a line that has five steps going up and five more steps going down (*draw this on the side of the timeline*). The top most step above the timeline would represent that you experienced a very large improvement in wellbeing; and the bottom most step below the timeline would represent a very large decline in your wellbeing. Please place a star (*or dot or pebble*) above or below the timeline to show what impact each had on your wellbeing.

Education

*** Please record on the timeline only the educational/learning experiences that occurred in the past 10 years. Other important learning and educational opportunities prior to 10 years ago, and information on them can be recorded in the narrative. ***

- The next timeline is simply about your learning and education. What have been the most important learning and educational opportunities in your life? This might include learning on the job, training that you received or something such as an informal apprenticeship or guidance from someone. Or it could be formal schooling.
- [*For every learning or educational experience*] How did this impact your wellbeing?

Consolidation and Trend Line on Overall Wellbeing

¹⁹   Question only for countries affected by conflict

- Finally, I'd like to draw a trend line on changes in your overall wellbeing over the last 10 years. Before drawing the trend line, it will be helpful to look across the different factors and the five timelines we have just drawn.
 - What are the relationships across these different lines? What linkages do you see?
 - Were there periods of upward movement in your economic and overall wellbeing?
 - If yes, for how long did you remain at your improved status?
 - What factors were the most important to your economic and overall wellbeing during these times? Why? [*For countries that are not using the Household Questionnaire, please ask:*] Which three factors were most important for moving up (or down, chronic poverty or always better off – depending on the movement status of the respondent)?
 - What were the high points, the low points, the turning points? Why?
 - Over the past 10 years, were there any periods of stagnation or decline? Why?
 - What factors were the greatest obstacles to improving your status during this time? Why?
 - Was there a particular point where you felt more secure of having passed the danger point of falling into poverty?

What would make it easier for you to get ahead?

Analysis

The write up should detail the individual's understandings and interpretations of their life experiences that have helped or hindered their escape from poverty. Please use as many direct quotes and stories as possible from the interview (see box 5). The write up should contain:

- The individual's life story and what helped or hindered them in their movement or lack of movement out of poverty or wealth maintenance; and the main characteristics of their lives now and ten years ago.
- Discussion of the type of the movements, if any, experienced by the individual in the last ten years, and when the changes occurred.
- Identification and detailed explanations of the key factors or processes that caused or prevented the movements, and the importance and interpretation that people assign to these. In answering this question, reproduce the five timelines that cover the past 10 years; their impact on the individuals' wellbeing; and the final trend line on overall wellbeing and describe what happened in the following areas:

1. Migration history;

2. Occupational history;
 3. Economic history, including processes and reasons behind important changes in assets, and membership in economic organizations;
 4. Social, Psychological and Cultural history, including important social relationships in their life; areas of their lives that have brought value and meaning; changes in self confidence, identification with and belonging to groups and its importance in their lives, and political connections;
 5. Education, focusing on most important formal and informal learning and educational experiences; and
 6. Consolidation and Trend line on Overall Wellbeing on the ups and downs of the individual's overall wellbeing, identifying the high points, the low points, the turning points, the point at which the individual felt more secure of having passed the danger point of falling into poverty; and the interaction and sequencing of factors and processes that came together for accumulation or depletion of assets and savings.
- For analysis of any combination, interaction or sequencing among the events and factors, please refer to the six visuals.

Overview of Outputs for Community Synthesis Report

The **complete write-ups from each open-ended household interview** conducted should be translated into English and attached separately as an annex to the Community Synthesis Report. The write up should cover *each of the topics discussed above and reproduce all five timelines and the final trend line on the ups and downs in the individual's overall wellbeing.*

In addition, to validate findings from other data collections tools, and to enrich our understanding of the factors and processes that help and hinder movements out of poverty, the detailed life experiences from these interviews should be woven strategically through the Community Synthesis Report. The pertinent material from the interviews might be presented as topical text boxes or integrated into the narrative as supporting evidence for findings. In all documentation and synthesis reports, the interviewee's name (family names need not be used) and the name of their community should be clearly identified with the data.

Box 5. Señora Sedano's Migration and Occupational History

Selected Field Notes from an Open-Ended Interview, Villa El Salvador, Lima, Peru

1. Migration history.

Sra. Sedano was born in 1955 and lived in Jauja (central mountain range of the Peru) until 1990, the year in which she decided to move to Lima with her husband in search of a better future. It is necessary to indicate that from age 12 to 18, Sra. Sedano dedicated herself to work as a laborer in different small farms and as a domestic employee in different houses. The small farms and houses in which she worked were not in her native town, but in nearby towns but she does not consider that she moved. The only migratory movement that she considers to have made is her arrival to the house of one of her sisters in Lima.

Sra. Sedano remembers that when she settled in the house of her sister she had problems with the daughters of her sister (her nieces) due to constant mistreatment and humiliations: "they did not like the racket of my children, they were bothered by everything." The husband of Sra. Sedano added: "We were living cornered up, they abused us verbally, morally." She remembers that in the face of this uncomfortable situation, she constantly looked for a lot,

but did not find one until one of her children told her that in a nearby hill an invasion was occurring. Sra. Sedano approached the local leader, who was the leader of the invasion, and signed up to participate in the invasion process: to sleep outdoors without water and electricity, to resist the eviction of the municipality and the police, to attend the meetings, to pay the quotas that the leaders of the invasion received, to participate in constant marches, etc...

Sra. Sedano decided to invade to be the owner of her own house and to avoid the abuse that her family underwent in her sister's house. Mrs. Sedano became the proprietor of a land in the Oasis and local leader of her block.

2. Occupational history.

From approximately age 12 to 16, Mrs. Sedano worked as a laborer in the small farms near her town. It was seasonal work (workings of sowing, workings of cleaning, workings of harvest, etc) that she enjoyed a lot due to the landscape, the good food, the jokes with the companions, etc... Mrs. Sedano remembers that one of the good things about that job was that the owners of earth looked for the laborers to offer the work to them. She remembers that she had to leave that job because her friend got married. She felt safe and protected with her friend since most of laborers were men. In her husband's words: "She was a conservative girl." (It seems that the husband wanted to make reference to the idea of virginity and decency).

Her next job was being a domestic employee in the house of an aunt. She did not like the work because of the treatment that she received on the part of the owner of the house: the lady was very stingy. "When she prepared milk, she only gave it to her children, she only gave coffee to me. There was, for example, meat, and she did not give it to me, only to her children." Mrs. Sedano remembers that she left that work very quickly due to the mistreatment.

The following year, another aunt invited her to work as a domestic employee in her house. She remembers that the owner of the house treated her well, but that the husband offered to "love her" and "offered her gifts." She told her aunt and her parents and left the job.

At 16, another aunt also offered her a job to work as a domestic employee. It was at this new job in a town nearby that she met her husband. When her first son was born, she left her aunt's house and dedicated herself to "the labors of being a wife, I no longer worked for anybody."

Mrs. Sedano returned to her town with her husband and they started to farm the land of her parents. Sometimes they rented territories of other neighbors. The relatives of Mrs. Sedano lent machines, seeds and fertilizer to them, but things did not turn out well. The worse thing happened in 1990 when they invested in growing carrots and the price fell drastically because everyone else had grown carrots. Mrs. Sedano remembers: "nobody wanted carrots, not even for the pigs."

Mrs. Sedano, after this bad experience in agriculture, talked with her sisters in Lima and moved to one of their houses: "I came thinking that life was going to be easy, but it wasn't like that." Mrs. Sedano remembers that her husband did not find a job because he did not know anybody. The first work she found in Lima was in a public dining hall—where the women work in exchange for five plates of food which they used to feed their families and sold the rest.

Mrs. Sedano remembers an anecdote in which she and her husband decided to sell eggs at the door of a market near her house for a few weeks. She remembers that on one certain occasion, after everything, she earned 0.20 soles.

Later, a sister of Mrs. Sedano introduced her to someone who made sweaters for sale abroad. This lady made the pieces of sweater with machines and then she looked for ladies interested in sewing the parts together by hand. Her sister taught her the technique. From that moment to the present time, Mrs. Sedano has dedicated herself to sewing sweaters in her home. She makes 0.50 soles per sweater.

PART IV: SYNTHESIS REPORTS

COMMUNITY SYNTHESIS REPORT

The Community Synthesis Report is a systematic synthesis of what has been learned in a community about factors that help and hinder people to move out of poverty. The first 10 to 15 pages of the Report should provide the key messages and storyline of what has been learned in the community about movements out of poverty. It should begin with a “Summary Table of Fieldwork Conducted” and a “Description of the Community” followed by key findings from the qualitative data collection tools. To support the findings presented, the Report should be rich in local people’s quotes and experiences and also include visuals from the fieldwork.

The bulk, or roughly 80 percent, of the report can then be a compilation of annexes from the field activities. Each annex should comprise the write up of field notes for a single activity such as a Ladder of Life focus group discussion with men (please don't condense two focus groups into one annex). Again, these write ups need to be bursting with quotes and local people's understandings and perceptions -- and rich details of the actual discussions.

A rough outline is suggested below for the first 10 to 15 pages of the Community Synthesis Report. This is followed by formats that can be used to guide the write up of field notes for each activity. The write ups will then need to be attached as annexes. In addition, it will be important to ensure that the results from the closed-ended questions in the qualitative tools are fully recorded in the back of the Community Profile.

Please provide full sources for each and every quote in the Report, including at a minimum the gender of the speaker and the data collection instrument if a quote is used in the synthesis section of the Report. Often it will help to bring a quote alive if the reader can know the age, occupation or some other distinguishing feature of the respondent.

COMMUNITY SYNTHESIS REPORT

Name of community: _____

City (if urban): _____

District (if rural): _____

Names of Field Team Members _____ (Leader)

Dates of Field work _____

Summary Table of Field Work Activities Conducted (*examples provided for illustrative purposes*)

<i>Data Collection Method</i>	<i>Types of Informants</i>	<i>Total Number of Informants</i>
Community Profile	<i>community leader schoolteacher</i>	2
Key Informant Interview: <u>Community Timeline</u>		
Focus Group Discussion: <u>Ladder of Life</u>	<i>Focus group with 8 men Focus group with 7 men Focus group with 9 women Focus group with 8 women</i>	32
Focus Group Discussion: <u>Livelihoods, Freedom, Power, Democracy and Local Governance</u>		
Focus Group Discussion: <u>Aspirations of Youth</u>		
Two Mini Case Studies: <u>Community-Wide Events and Factors Affecting Mobility</u>		
<i>(For countries affected by conflict)</i> Focus Group Discussion: <u>Conflict Timeline and Institutional Mapping</u>		
<u>Household Questionnaire</u>	<i>Households identified from Focus Group Discussion: <u>Ladder of Life</u></i>	25 households
Open-Ended Interview: <u>Individual Life Stories</u>	<i>4 men who escaped poverty 3 women who remained well-off 2 men who are chronic poor 1 woman who fell into poverty</i>	10

I. The Local Context

A. Community Description

Summarize the key features of this community, using information from the Community Profile, key informant interviews and other data collected during the field work. Imagine that you are describing the community to someone who has never been there, and you want to give them a vivid picture of what the community looks like as well as basic economic, social and political information.

At a minimum the summary should provide:

- A description of the community's physical and natural environment
- Population and number of households (approximately)
- Important social groups (caste, religion, ethnicity, race, etc.)
- Brief summary of main livelihood for men and women (this will be expanded below)
- Access to basic infrastructure (water and sanitation, electricity, roads/transport)
- Social development conditions (education and health status and services)
- Key local government bodies, community-based organizations, and external NGOs

B. Community Timeline and Trends

1. *Community Timeline*. Provide a rich narrative of the most important events or factors that have affected the life of the community and include the Community Timeline visual developed during the key informant interviews. If more than one timeline was completed, the research team may want to compare them for any important differences in perspectives. Where the information is consistent or complementary, the timelines can be merged into a single timeline for presentation in this section. Please also identify the key informants from whom the information was gathered (e.g. elected council representative, neighborhood leader, largest landowner, and so forth).

2. *Trends in community prosperity*. Present briefly the findings from the opening questions of step 1 on "Understanding community mobility" from the focus group discussions on the Ladder of Life. These questions seek views whether the community is more, the same or less prosperous than 10 years ago; and whether it is easier or harder for people to make a living and get ahead than ten years ago. Be sure to discuss the reasons that the focus groups gave for the trends they identified. Conclude this section with views on future trends from the focus group.

3. *Trends in and reasons for migration*. Discuss the most common reasons why people move out of the community, and whether people mostly leave because they become better off or worse off.

II. What Helps and Hinders People's Movements out of Poverty?

A. Ladder of Life

1. *Ladder of Life visuals – characteristics at each step.* Reproduce in full the two Ladder of Life visuals from the fieldwork. The report should present the characteristics of *each* of the steps or categories. Particular emphasis should be placed on the categories which are important for understanding the experiences of many people in the community. Discuss important commonalities and differences between the ladders, such as common patterns in the characteristics of certain steps. Do the factors have diverse economic, social or political dimensions? Do they combine, interact or occur in a common sequence?

2. *Factors and processes that underpin movement.* Please answer each of the questions below by referring to particular steps/categories of the Ladder of Life. The findings should be explained by drawing directly on the quotes, perceptions and experiences shared during the focus group discussions.

- a. What factors cause movement *up* for each of the categories? Please pay particular attention to the steps below and just above the community poverty line, and to other categories that are important for that community?
- b. What factors cause households to *stagnate* at each of the categories? Please pay particular attention to the steps below and just above the community poverty line, and to other categories that are important for that community?
- c. What factors push households *down* at each step of the ladder and into poverty?
- d. What category is most common in the community? In the last ten years, have the numbers of households in this category grown, stayed the same, or declined?
- e. What is the category where people in the community are no longer considered poor? Is this an easy or difficult step to reach? Why?
- f. From which category is it most difficult to move up? Why?
- g. From which category is it easiest to move up? Why? What factors help households climb up multiple steps?
- h. What factors keep households from falling into poverty?
- i. What category is considered middle class? Is it easy or difficult to reach this step?
- j. Are there particular steps from which it is easier to fall back into poverty?
- k. Is there a step after which a household can fall back, but typically not all the way back into poverty? Which step is that, and what happens at that step that keeps people from moving down further?
- l. What is the relationship between the step on the Ladder of Life where households are no longer considered poor and the official poverty line?

Please be sure to present findings from discussions on trends in inequality. It may be useful to refer to the mobility matrix below. Also discuss the placements of and relationship between the community poverty line and the official poverty line. What reasons did focus group members provide for where they placed each poverty line?

3. *Mobility matrix.* Complete the mobility matrix below and discuss the leading patterns in the types of movement experienced by the community in the past 10 years. Is it that most people in the community have experienced upward movement, or are most people stuck chronically in poverty or well-being? What are the key reasons – according to the focus group discussions, Life Story interviews and other data collected in the community – which help to explain the patterns which emerge?

Household Classification Matrix (appended from Step 3 of the FGD: Ladder of Life. Again, the bold lines in the matrix between steps 4 and 5 represent the community poverty line and are placed there only for illustrative purposes.)

Steps	Now										Total HH	
	1	2	3	4	5	6	7	8	9	10		
10 yrs ago												
1					hhA							(Total HH on Step 1 10 yrs ago)
2		hhB										
3												
4												
5												
6												
7												
8												
9												
10												
Total HH	(Total HH on Step 1 now)											(Total HH sorted)

Box. 6 Synthesis of Findings from Six Focus Groups:

The worst-off households and leading reasons for their movements up

Below are selected findings from six focus groups of men, women and youth conducted during pilot fieldwork in two urban neighborhoods of Manila, The Philippines known as Pook Ricarte and Barangay 598. This report’s thematic presentation of leading household characteristics on the lowest step of the Ladder of Life is well organized as well as authoritative due to the extensive use and careful referencing of evidence from the focus group discussions. As a stylistic technique, however, lists of quotes should be used infrequently in the synthesis reports. Narratives which have quotes strategically interwoven provide a more polished presentation of findings.

Position on ten step Ladder of Life: Step 0**Summary of characteristics of households at this step:**Economic/Material

- Those at level 0 have no money.... (Male, Barangay 598)
- They are beggars. (Female, Pook Ricarte)
- *They lack food.... They eat once or twice a day. They have nothing to eat. They beg for money so they can buy food....* (Females, Barangay 598) *They get food from the garbage (Youth, Pook Ricarte). Others steal to eat. Sometimes they can't even afford to buy instant noodle soup. Sometimes their meal consists of rice and salt. Or soy sauce with kalamansi [native lemon]. Or they pour coffee on their rice. Sometimes they take just hot water.* (Youths, Barangay 598)
- *They have no jobs.* (Female, Barangay 598) *They have no source of income.* (Youths, Barangay 598) *No one wants to hire them because of their physical make-up – they're so thin that they can't work [or appear like they can't work].* (Youth, Pook Ricarte)
- *They are homeless.* (Female, Barangay 598) *They sleep on the streets (Youth, Pook Ricarte) Some are renters, like they are six families living in one tiny room.*
- *They have a lot of debts.* (Female, Barangay 598)
- *They can't buy material possessions. They don't have appliances, like a television set.* (Male, Barangay 598)
- *They can't put their children through school.* (Youth, Barangay 598)

Physical/Bodily Ill-Being

- *They get sick often. They're prone to sickness and disease.* (Youth, Pook Ricarte)
- *They don't bathe everyday.... That's because they have no money to pay for water, for electricity.* (Youths, Pook Ricarte)

Lack of Freedom of Choice and Action

- *They lack education.* (Female participant, Barangay 598) *They weren't able to graduate.... They only reached fourth grade in elementary.* (Male participant, Barangay 598); *They have no abilities/skills/talents.* (Youth, Barangay 598)
- *They don't have opportunities to raise the quality of their lives.* (Youth, Pook Ricarte)

Social Ill-being

- *They have no one to go to in times of crisis.* (Male, Pook Ricarte)
- *They have many children.* (Female participant, Barangay 598) *Some have children at a young age, and then neglect them.* (Male, Pook Ricarte)
- *Their life's a mess.* (Male, Pook Ricarte) *Their family has many problems and is always fighting. They have broken families.* (Females, Barangay 598) *There's no love, no concern, no interaction of family members.... Children lack guidance and advice from their parents.* (Female participant, Pook Ricarte) *Children are neglected.* (Male, Pook Ricarte)

Psycho-emotional Ill-being

- *They are lazy. They don't want to strive.... They just wait for dole-outs.* (Females, Pook Ricarte) *They lack initiative.* (Youth participant, Pook Ricarte) *They just sleep all day.* (Youth, Barangay 598)
- *They don't have dreams in life.* (Female, Barangay 598) *They have lost all hope in life... They're content, just as long as they can eat.... It's like their worthless. They have no purpose in life.... They don't feel anything.... They don't care what happens in the world.* (Females, Pook Ricarte)
- *They not only don't have jobs, they also have a lot of vices. They take drugs, they drink, they gamble, they have it all.* (Female, Pook Ricarte) *Their children develop vices.* (Youth, Barangay 598)

Moving Up from Level 0 to Level 2.5/3: According to the participants, the first thing that those at level 0 should do to be able to rise to the next level, which is 2.5 or 3 (the striving poor), is to improve “their image of themselves. Like, they should have dreams” (Female participant, Barangay 598). In other words, “they need to have faith in themselves” (Youth participant, Pook Ricarte), and to recover their sense of ambition and ability to hope. They should also be “madiskarte” – or “know how to make the right moves” (Youth participant, Pook Ricarte). Difficult as all this is, those at level 0 might not be able to do this on their own; thus, they need help from other people, including from God.

The participants specifically mentioned the need for guidance and counseling – “from one’s spouse, one’s mother or father, or from others” like friends and especially professional counselors (Female participant, Pook Ricarte). Those at level 0 who make their living illegally, like the drug pushers, “should be apprehended, put into rehab

[rehabilitation], and given a second chance in life” (Female participant, Barangay 598). “They shouldn’t have vices,” says a youth participant from Barangay 598. Moreover, many of those at level 0 have unhappy and broken families. For them to move up to level 3 “their family should have unity somehow” (Female participant, Pook Ricarte); again, guidance and counseling, if not family therapy, would be needed. Participants also mentioned the need to seek guidance from God: “First of all they [those at level 0] should pray for guidance from above. Because you need God’s help to be able to improve in life. You just need to ask (Female participant, Pook Ricarte)... They should just pray first.” (Male participant, Pook Ricarte) ...

B. Open-Ended Interviews: Individual Life Stories

The complete write ups from each open-ended interview should be attached as annexes to the Community Synthesis Report. The six timeline / trend line visuals should be included with each write up. To provide additional evidence and enrich key findings, it may be useful to include in the narrative of the Community Synthesis Report a few selections from the Life Story interviews accompanied by one or two timeline / trend line visuals. Portions of the Life Stories could also be presented as text boxes. In all cases, the sources should be clearly identified.

III. What Helps and Hinders Community Prosperity?

A. Economic Opportunities and Role of Governance

Conditions and trends in key livelihoods. Drawing from Section 1 of the focus group on Livelihoods, Freedom, Power, Democracy and Local Governance, present findings on conditions and trends for livelihoods which are important in the community. Summarize results from the focus groups on:

- the main livelihoods and sources of income for people in the community, and trends in these sources over the past ten years;
- key production or marketing hurdles facing the principal local livelihoods, and the reasons for these hurdles;
- the role of any economic organizations; and
- the influence of governmental economic policies, rules and regulations on access to local economic opportunities.

Be sure to provide explanations from the focus groups for the conditions and trends identified. Related findings from Key Informant Interviews and other data can also be used, again with full references to the sources for the evidence provided.

B. Understanding Community Mobility

Leading factors affecting community prosperity. For this study, perceptions on the two leading factors or events that *helped* community prosperity and the two leading factors or events that *hindered* community prosperity are collected from key informants and from focus groups. It is important that the findings from these different sources be presented separately and with full references to the sources.

The narrative should first provide the findings from the key informant interviews, with rich discussion of why these factors were chosen and their impacts on the lives of local people. These findings should then be followed by similarly rich presentations of the findings provided by the men’s focus group, and in separate paragraphs, the findings from the women’s focus group.

To conclude this section, compare and contrast the findings on the leading community events and factors identified by the key informants and those identified by the focus groups. Based on the data illustrated in Table 1 below, the Community Synthesis Report could conclude that a new road and clean water were the most important factors that helped this community in the past 10 years. If there is disagreement, and patterns are not discernable, the report should note that. Where views may diverge on key topics for the study, it will be important to go beyond merely reporting these results and explore reasons which may be contributing to the different results.

Table 1. Top Two Positive Factors Affecting Community Prosperity

<i>Key Informants</i>	<i>1. Male Focus Group</i>	<i>2. Female Focus Group</i>
New Road	New road	Clean water
Clean water	Better school	New Road

3. Mini Case Studies on Key Community-Wide Factors or Events. As themes emerge from the findings, the placement of the two mini case studies in the narrative of the main report will hopefully fall into place. Again, the cases should explore in detail the mechanisms or processes by which a factor or event had significant impacts on many local people, and provide information and views from multiple perspectives. A case study can be presented as a text box, or integrated into the main findings of the narrative. However, please be sure to indicate the sources for the data used.

IV. Freedom, Power, Democracy and Local Governance

The Community Synthesis Report should compare and contrast the focus group discussions on the topics below, drawing extensively on actual quotes, stories, definitions and explanations provided by local people during the discussions. It may be useful in the analysis phase to create topical matrices to highlight principal findings on the topics below across the different focus groups (see table 1 in the previous section).

A. Freedom and Power

Present findings from section 2a of the focus group on “Freedom, Power, Democracy and Local Governance.” This section should summarize and compare results from the discussions on freedom and power:

- What are the definitions, understandings and dimensions of freedom?
 - Who or what groups have the most and least freedom in the community? Why?
 - Do women or men have more freedom? Why?
 - Is freedom related to economic mobility? What is economic freedom?
 - Is there a link between having freedom and being poor?
- What are the definitions, understandings and dimensions of power?
 - Is it good to be powerful? Why?
 - Who or what groups have the most and least power in the community?
 - How do people acquire power? Lose power?
 - Is there a relationship between power and moving out of poverty?
- How does someone become a politician? How did their politician rise to prominence?
 - Has the local politician helped the community?
 - Are their local elections? Are they open and fair? How do people get information about the local candidates? Do they campaign on important issues?
- Please also complete for this section ratings on i) community safety now; and ii) community safety ten years ago. Also discuss the reasons for these ratings by the focus groups.

B. Inequality

- What are the definitions, understandings and dimensions of inequality?
 - How is political power distributed in the community?
 - How is economic power distributed in the community?
 - Is there a link between political and economic power?
 - How is social power distributed in the community?
- Please also present ratings on i) extent of community participation in important decision making; and ii) access to important networks and associations; and as part of the relevant narrative for the above questions, discuss the reasons given in the focus group for the ratings (Section 2a)

C. Democracy

- What are the definitions, understandings and dimensions of democracy?
 - Features important to making democracy work
 - Changes in democracy over last 10 years, and impacts on community
 - Is there a link between democracy and community prosperity?
 - How does someone become a politician? How did their politician rise to prominence? Has the local politician helped the community?
 - Are there local elections? Are they open and fair? How do people get information about the local candidates? Do they campaign on important issues?
 - People's hopes for democracy and local government in the next 10 years

- Please also complete ratings on i) the three features most important to making democracy work; ii) link between democracy and community prosperity; iii) trends in community members' ability to contact local government officials; and iv) corruption at the local government level. Also discuss the reasons for these ratings by the focus groups (Section 2b)

V. Aspirations of Youth

1. Youth preparations for the world of work. Present findings from the Aspirations of Youth focus group on the steps that youth are taking or have taken to prepare for their working lives. Discuss their reasons for taking these steps, their biggest supports along the way, and their biggest obstacles.

2. Exploration of freedom, power, inequality, and democracy

Present findings with quotes, stories, explanations, and interpretations from the viewpoints of the youth. The write-ups should explore the following topics:

- Definitions, understandings and dimensions of freedom as perceived by youth, including their views on:
 - Who or what groups have the most and least freedom in the community? Why?
 - Do women or men have more freedom? Why?
 - Is there a link between having freedom and being poor?
- Youth perceptions of various dimensions of power, and their views on questions such as:
 - Is it good to be powerful? Why?
 - Who or what groups have the most and least power in the community? Are any youth powerful?
 - How do people acquire power? Lose power?
 - Is there a relationship between power and moving out of poverty?
- Definitions and understandings of inequality and youth perceptions on:
 - How is political power distributed in their community?
 - How is economic power distributed in the community?
 - Is there a link between political and economic power?
 - How is social power distributed in the community?
 - What kinds of differences exist among youth? Do the youth in the community have their own groups or organizations or networks?
- Definitions, understandings and dimensions of democracy.
 - Features important to making democracy work
 - Whether the youth perceive a link between democracy and community prosperity
- Youth answers to how someone becomes a politician in their community
 - Has their local politician helped the community?
 - Are there local elections in their community? Are they open and fair? How do people get information about the local candidates? Do they campaign on important issues?

- Do people in the community have a say in the decisions of the local government?
Do the youth have a voice in decisions of the local government?
- How widespread is bribe taking and corruption in the community?
- Hopes of the youth -- for democracy and for their local government in the next 10 years

V. Researcher Analysis and Reflections

The final section of the report is specifically set aside for researchers to present their own analysis and conclusions. With the benefit of a bird's eye view, it is here that different topic areas and findings can be woven together in new ways to draw conclusions and raise policy issues. The conclusions will be all the more compelling if tightly linked back to the evidence and findings which emerged directly from the field. In some cases it may be helpful to draw on data and analysis from outside the study to further support, shed new light, or raise questions on findings.

These reflections might consider the following questions:

- Which household level factors and processes are most important to the experiences with moving out of poverty in that community? With maintaining wealth? With keeping people trapped in chronic poverty? Why?
- Which community level factors and processes are most important to the experiences with moving out of poverty in that community? With maintaining wealth? With keeping people trapped in chronic poverty? Why?
- Are there patterns in the interaction or sequencing of events or factors which may be evident when looking across the household and community level data?
- Are there important events or factors which are linked to broader events, policies or trends which extend beyond the immediate community? If so, what are the processes behind these links which unfolded in the community?
- What policy implications can be drawn from the findings and conclusions? These recommendations might also build on local people's perceptions of current or previous policies as well as policy proposals which they put forward during the data collection.

Annexes to be attached to Community Synthesis Report:

- Community Profile
- Key Informant Interview: Community Timeline
- FGD Ladder of Life, Women
- FGD Ladder of Life, Men
- FGD Livelihoods, Freedom, Democracy and Local Governance, Women
- FGD Livelihoods, Freedom, Democracy and Local Governance, Men
- FGD Aspirations of Youth, Women
- FGD Aspirations of Youth, Men
- Mini Case Studies: The mini cases should be completed and inserted in the main narrative of the report. It may be useful to include as annexes the write ups of key informant interviews for the mini cases. For the conflict countries, please include annexes for each FGD on Conflict Timeline and Institutional Mapping.
- Open-Ended Interviews: Individual Life Stories (each interview should be a separate annex)
- Methodology Note²⁰

²⁰ Briefly highlight any particular difficulties or successes with establishing ties and collecting data in this community. Discuss factors that could potentially bias responses – e.g. the season of the year – or problems that you may have had with organizing the fieldwork or with certain data collection tools or questions, and how these were overcome. Finally, for the classification activity in step 3 on “Movement status of households” during the focus group on the “Ladder of Life,” briefly describe i) the steps taken to obtain or create the household list; ii) how the classification was done, including the criteria used for sorting the households; and iii) how the households were selected for the interviews.

NATIONAL SYNTHESIS REPORT

(To be finalized)

METHODOLOGY GUIDE ANNEXES

Annex I. Formats for Qualitative Data Collection

Activity 4. Key Informant Interview: Community Timeline

Activity 5. Focus Group Discussion: Ladder of Life

Activity 6. Focus Group Discussion: Livelihoods, Freedom, Power, Democracy and Local Governance

Activity 7. Focus Group Discussion: Aspirations of Youth

Activity 10. Open-Ended Interview: Individual Life Stories

Annex II. Community Profile

Annex III. Household Questionnaire

Annex I. Formats for Qualitative Data Collection

Activity 4. Key Informant Interview: Community Timeline

Date of Interview: _____

Name of Interviewer: _____

Note Taker (if different): _____

Any comments/observations
about interview:

Name of the community: _____

City (if urban): _____

District (if rural): _____

Informant: _____

Male _____ Female _____

Occupation: _____

Lives in community?: _____ (Yes/No) If yes, how many years? _____

1. Positive Events.

Indicate the top 2 most important *positive* events, and describe their impacts.

1. Event and Year: _____

Provide rich description about the event and its impact on community prosperity. How long did the impact last? Were some members of community affected more than others?

2. Negative Events.

Indicate the top 2 most important *negative* events, and describe their impacts.

1. Event and Year: _____

Provide rich description about the event and its impact on community. How long did the impact last? Were some members of community affected more than others?

2. Event and Year: _____

Rich description of impact on community. How long did the impact last? Were some members of community affected more than others?

3. Leading reasons why people move out of the community, and any key periods in the last 10 years when there may have been a lot of movement into or out of the community.

Attachments: Actual or full reproduction of Community Timeline visual completed during interview

Step 1. Community Level Factors

A. Tell me a little bit about the strengths of this community, and what is going well here.

B. Compared to ten years ago, this community is:

- a. More prosperous _____
- b. About the same _____
- c. Less prosperous _____

Why? How has the community changed? What is different now? _____

C. Is it easier or harder for people to make a living and get ahead than it used to be? To fall back down? Why?

D. Most important factors that have *helped* the community to prosper:

1. _____

Why? _____

2. _____

Why? _____

Additional details on these and other important positive factors: _____

E. Most important harmful factors that have *hindered* community prosperity:

1. _____

Why? _____

2. _____

Why? _____

Additional details on these and other important harmful factors: _____

F. Ten years from now, the community will be:

- a. More prosperous? _____
- b. About the same? _____
- c. Less prosperous? _____

Why? _____

G. What are the most common reasons why people move out of this community permanently? Do people mostly leave because they become better off or worse off? Why?

H. What are your hopes for your community/neighborhood in the future?

Step 2. Understanding Household Mobility

There is redundancy built into this section to help uncover patterns and rich details in the reasons for movements up or down or remaining trapped at certain steps or categories. In answering the questions below, it is not necessary to repeat quotes and other data, but please refer to that supporting evidence in the answers. For example, a response to the question below on which step offers the most opportunity for upward movement might elicit reasons for upward movement which are the same as those provided in the earlier discussion about that step. In this case, it would be sufficient to

Term for category or step: _____

Position on ten step Ladder of Life: _____

Summary of characteristics of households at this step:

Reasons for movement up, stagnation and falling down. Is there a certain sequencing, combination or interaction of factors at this step?

Term for category or step: _____

Position on ten step Ladder of Life: _____

Summary of characteristics of households at this step:

Reasons for movement up, stagnation and falling down. Is there a certain sequencing, combination or interaction of factors at this step?

Term for category or step: _____

Position on ten step Ladder of Life: _____

Summary of characteristics of households at this step:

Reasons for movement up, stagnation and falling down. Is there a certain sequencing, combination or interaction of factors at this step?

Term for category or step: _____

Position on ten step Ladder of Life: _____

Summary of characteristics of households at this step:

Reasons for movement up, stagnation and falling down. Is there a certain sequencing, combination or interaction of factors at this step?

Term for category or step: _____

Position on ten step Ladder of Life: _____

Summary of characteristics of households at this step:

Reasons for movement up, stagnation and falling down. Is there a certain sequencing, combination or interaction of factors at this step?

1. There is a big gap between the poorest and worst off households and the richest and best off. Over the last 10 years, the gap between the top and bottom step has:

- Increased ____
- Stayed the same _____
- Decreased ____

2. Why? Have the characteristics of the top or bottom steps of the Ladder of Life changed over the years? What are the differences between a poor household now and a poor household ten years ago?

3. Sometimes there can be important differences among people at the same step or category. Are there any steps that have people with important differences? What are these differences? Have you seen a change in these differences between now and 10 years ago?

4. What is the category where people in this region are no longer considered poor? Tell me how people move into this category.

Is this an easy or difficult step to reach? Why? [Please indicate clearly where this category falls on the Ladder of Life.]

5. Where are most people in this community? In which category?

What factors make it easier for people in this category to move up to the next one? What factors make it harder? Why?

6. From which category on the Ladder of Life do you think it's easiest— or least difficult— to move up? Why is it easier to escape from here? Think about your own experiences and those of others you know who have gotten ahead in this community. Tell us about these experiences.

7. Which category on the Ladder of Life is the hardest to escape from? Why is it so difficult?

8. Which category or categories would be considered middle class? Is it easy or hard to reach this step?

9. What is the category where people in this region are no longer considered poor? Tell me how people move into this category? Is this an easy or difficult step to reach? Why? *[Please indicate clearly on the visual where the community poverty line falls on the Ladder of Life.]*

10. When a household is able to move up many steps, what factors usually come together for big movements up the ladder? Has this happened here?

11. Where are most people in this community? In which category? What factors make it easier for people in this category to move up to the next one? What factors make it harder? Why?

12. Sometimes people move up and then fall back. Are there particular steps from which it is easier to fall back?

Is there a step after which you can fall back, but typically not all the way back into poverty? Which step is that, and what happens at that step that keeps people from moving down further?

13. Let's go back to the category where people are no longer poor. What happens to households here that sends them back into poverty?

Why are some households in this category better able to resist falling back down?

14. In _____ (country name), the officials of the Government of _____ (country name) define a poor family of 4 people as having an income of _____ (in local currency per month or per day). This takes into account the value of what the family produces for their own consumption. Does that seem to be an accurate measure to you? Why? _____

Where would households with this monthly/daily income fall on the Ladder of Life? _____
(please indicate clearly where the official poverty line falls on the Ladder of Life visual.)

15. What is the relationship between the step on the Ladder of Life where households are no longer considered poor and the official poverty line? Is the former

- above _____
- at the same level _____
- below the official poverty line _____

TO NOTETAKER—Please define the official poverty line for country:

Did people think it was an accurate measure? Yes _____ No _____

Reasons for differences, if any, between the step on the ladder where households are no longer considered poor and the official poverty line.

Step 3. Individual Household Sorting Activity

FOR NOTETAKER—

1. Describe briefly the steps taken to obtain or create the household list for the classification activity, and the total number of households on the list.

2. Please classify households according to the types of movement below. Also indicate what Ladder of Life step each household is on now and the step ten years ago. To illustrate, below is a hypothetical case of a focus group that considered step 5 to be no longer poor and which classified John Doe as at step "5" now and at step "2" ten years ago. Please explain below how the classification was done in the focus group and the criteria used for the sorting below into the four types of movement status.

Moved Out of Poverty (Non-poor now, poor ten years ago):

John Doe (Step 5 now and step 2 ten years ago)

<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
-------------------------------------	-------------------------------------

Always Poor (Poor now, poor ten years ago):

<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>	<hr/> <hr/> <hr/> <hr/> <hr/> <hr/>
-------------------------------------	-------------------------------------

Fell Into Poverty (Non-poor ten years ago, poor now):

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Never Poor:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Households with unknown status:

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Households that were controversial (e.g. the group could not reach a consensus on the status):

_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Steps 10 yrs ago	Now										Total HH	
	1	2	3	4	5	6	7	8	9	10		
1					hhA							[Total HH on step 1 10 yrs ago]
2		hhB										
3												
4												Pov Line
5												
6												
7												
8												
9												
10												
Total HH	[Total HH on step 1 now]				Pov Line							[Total HH sorted]

Attachments to format:

- Actual Ladder of Life visual developed during the focus group, or an accurate and complete reproduction.
- The complete household list, with addresses if available, used in step 3 to classify households according to poverty status.
- Summary Household Classification Matrix. Please draw the community poverty line in the matrix where the focus group placed it. For illustration, the community poverty line was drawn above with a thick line between step 4 and 5.

6. *[If relevant]* What about local factories or firms that process goods? Have opportunities changed for them?

How? Where do people get information about jobs with these firms?

7. What about the markets where most people shop here? Have there been any changes in these?

8. What types of people in the community have benefited most from the changes in economic opportunities in the past 10 years?

9. What kinds of problems do people face if they want to improve their livelihoods? For instance, starting or expanding a business, no matter how small? Or finding a better job?

What would help people earn more income here?

10. Is it safe to start a new business here? Do people feel endangered or threatened?

11. What are the one or two most important economic organizations in the community? *[This might be an NGO, a micro-finance group, or a cooperative, for instance. It may be helpful to begin by asking more generally about organizations that work in the community and then ask the group to select the economic ones.]* For each group identified,

- How does this group make your life better?
- What are the organization's goals?
- Who are its members and how do they benefit?
- What is preventing this group from expanding? Do any rules or regulations come in the way?

Economic Organization #1: _____

Economic Organization #2: _____

Other economic organization / additional notes: _____

12. Now I'd like to explore how the local government helps or hinders economic opportunities here. Let's start with the types of businesses and livelihoods that are common here [*name important local livelihoods*]. Do local business owners have to come in contact with the local government for any reason?

What happens during these occasions? _____

What kinds of licenses or permissions are needed in these businesses? Are these easy or difficult to get? [*Particularly probe into national or local policies, rules or regulations that may be mentioned which could be contributing to too much or too little competition for an important local livelihood. Is this related to a formal policy, or to how it is or is not being implemented locally?*]

What actions do you think the government might take to help local businesses or producers in the community?

13. Compared to ten years ago, people in the community have:

- more economic opportunities? _____
- the same amount of economic opportunities? _____
- fewer economic opportunities? _____

Why? _____

14. When people in this community have a dispute, for instance, over not being paid fully or perhaps not at all for a job they performed, where do they turn for help?

Section 2a. Exploration of Freedom, Power and Inequality

Freedom

15. I want to now move onto another topic, and learn about your ideas of freedom, power and inequality. Let's start with freedom. What is freedom? What comes to mind when you think of the word freedom? How do you define freedom?

16. What are the different types or dimensions of freedom? What local terms are used in this community?

Are some types of freedom more important than others? Why? What are the most important types of freedom?

17. What does it mean to be free? What is the opposite of freedom? _____

18. Who or what groups have the most freedom in the community? Why? _____

Who has the least freedom? Why? _____

19. Do women and men experience freedom in different ways? How? _____

Are women more free than men or vice versa, or is there no difference? Why? _____

20. What actions increase one's freedom? Which ones are most important? _____

21. What is economic freedom?

Can anyone set up a business? How easy or difficult is it? _____

22. Is there a link between having freedom and being poor? Can a poor person experience freedom?
Are there better off people who don't experience freedom?

23. In some places, freedom may be limited by fear of crime or violence. On a scale of one to five, with one being a very safe community and five a very dangerous one with frequent thefts and assaults, how would you rate the safety of this community?
1. This community is very safe with no crime and people can leave their doors open ____
 2. This community is safe with only minor crimes once in a while ____
 3. This community is neither dangerous nor safe with some thefts and assaults on a regular basis ____
 4. This community is dangerous with many thefts and assaults ____
 5. This community is very dangerous with frequent thefts and assaults at all times of day ____
24. Using this same scale, how would you rate the safety of the community ten years ago?
1. This community is very safe with no crime and people can leave their doors open ____
 2. This community is safe with only minor crimes once in a while ____
 3. This community is neither dangerous nor safe with some thefts and assaults on a regular basis ____
 4. This community is dangerous with many thefts and assaults ____
 5. This community is very dangerous with frequent thefts and assaults at all times of day ____

Power

25. What does power mean? What does it mean to have power? What does it mean to be powerful?

What are the local definitions, terms or sayings that capture the concept of power? _____

26. There are many types of power. What are the different types and sources of power? _____

27. Is power a desirable and important goal? Is it good to be powerful?

Why? Why do people want to acquire power or be powerful? _____

28. What kinds of people or groups of people have the most power or are the most powerful?

Why? What groups have the least power? Why? How can you tell? _____

29. What are the most common ways that people acquire power? How do people lose power?

Is there any relationship between power and the possibility of moving out of poverty?

As people move out of poverty do they gain more power? Or not? Why?

30. How does someone gain economic power? Are there economically powerful people in the community? *[This may be sensitive, and so decide how best to probe into this question.]*

31. Is there a link between being powerful and being poor? Can a poor person be powerful? Are there better off people who don't have power?

Inequality

32. What does inequality mean? What kinds of inequalities are there in this community?

33. Is there more or less inequality in the community than ten years ago? Why?

34. Let's focus for a moment on political inequality. Do you think that decisions on important community affairs are made with the participation of many people in the community? Or are important community decisions made by a few people in the community?

35. How has decision making on important community affairs changed in the last 10 years?

1. More people participate now in important community decisions than 10 years ago? _____
2. About the same numbers of people participate in important community decisions? _____
3. Fewer people participate in important community decisions? _____

Why? _____

36. Now, let's discuss economic inequality. Do you think over the past ten years that:

1. More people in the community have access to new economic opportunities? _____
2. About the same number of people in the community have access to new economic opportunities _____
3. Fewer people in the community have access to new economic opportunities? _____

37. Is there a link between economic and political power? Why?

38. Now I want to talk about social inequality. Do you think that the most important networks and association in this community are open to many people in the community or just a few? Why?

Compared to 10 years ago, do people in the community have:

1. More access to networks and associations in the community? _____
2. About the same access to networks and associations in the community? _____
3. Less access to networks and associations in the community? _____

Why? _____

Section2b. Exploration of Democracy

39. What does democracy mean to you? What are its features or dimensions?

Which three features are most important to making democracy work? Why?

40. Tell me about how decisions are made by *[the lowest level of government.]*

How do people get information about local candidates?

46. Do you think the local candidates campaign on the most important issues facing your community?

47. Compared to 10 years ago, does the local government now pay more, less, or about the same attention to what people like you think when it decides what to do? Why?

48. Over the past 10 years, do you think that your ability to contact your local government and influence its actions has:

1. increased _____
2. stayed about the same? _____
3. decreased? _____

49. How widespread do you think bribe-taking and corruption are in this community? How many government officials are engaged in it?

1. Almost no government officials are engaged in it _____
2. A few government officials are engaged in it _____
3. Most government officials are engaged in it _____
4. Almost all government officials are engaged in it _____

50. How do you think democracy and your local government will change in the next ten years?

Section 2. Exploration of Freedom, Power, Inequality and Democracy.

Freedom

4. I want to now move onto another topic, and learn about your ideas of freedom, power and inequality. Let's start with freedom. What is freedom? What comes to mind when you think of the word freedom? How do you define freedom?

5. What are the different types or dimensions of freedom? What local terms are used in this community?

Are some types of freedom more important than others? Why? What are the most important types of freedom?

6. What does it mean to be free? What is the opposite of freedom? _____

7. Who or what groups have the most freedom in the community? Why?

Who has the least freedom? Why?

8. Do women and men experience freedom in different ways? How? Are women more free than men or vice versa, or is there no difference? Why?

9. What actions increase one's freedom? Which ones are most important?

10. Is there a link between having freedom and being poor? Can a poor person experience freedom? Are there better off people who don't experience freedom?

Power

11. Now I'd like to move on to the topic of power. What does power mean? What does it mean to have power?

What does it mean to be powerful?

What are the local definitions, terms or sayings that capture the concept of power?

12. There are many types of power. What are the different types and sources of power?

13. Is power a desirable and important goal? Is it good to be powerful?

Why? Why do people want to acquire power or be powerful?

14. Are any youth powerful? Why? Or why not?

15. What kinds of people or groups of people have the most power or are the most powerful? Why? What groups have the least power? Why? How can you tell?

16. What are the most common ways that people acquire power? How do people lose power?

Is there any relationship between power and the possibility of moving out of poverty?

As people move out of poverty do they gain more power? Or not? Why?

17. How does someone gain economic power? Are there economically powerful people in the community? *[This may be sensitive, and so decide how best to probe into this question.]*

18. Is there a link between being powerful and being poor? Can a poor person be powerful? Are there better off people who don't have power?

Inequality

19. What does inequality mean? What kinds of inequalities are there in this community?

20. Let's focus for a moment on economic inequality. Does it matter if a community is very unequal – for instance, if a few people have a lot of wealth while most people have very little?

21. Is it important whether a community has small or large economic differences among people who live there? How does this make a difference?

22. What about political inequality? Are there local representatives of political parties? How do they function? Who has access to them?

Do a few people or many people in *[name of community]* participate in decisions on important community affairs? Do youth participate in community affairs?

23. Do you think there are any links between economic and political power?

24. Now I'd like you to think about social inequalities. What kinds of differences are there here among people in the community? Do these differences affect access to economic opportunities? What kinds of differences are there among youth?

25. Do youth come together to help one another or just to have fun like play a sport or celebrate an important holiday?

Do youth here have their own groups or organizations or networks? Are these open to all youths? Or, are some or most youth left out? Why?

What about the leading organizations in the community which are important for adults – can youth join these groups? Why or why not?

Democracy

26. What does democracy mean to you? What are its features or dimensions?

Which three features are most important to making democracy work? Why?

27. Tell me about how decisions are made by *[the lowest level of government.]* Have people in this community influenced the decisions of *[local government body]*? *[If so,]* How?

What about youth? Do they have any voice in this body?

Do you think there is any link between democracy and the overall prosperity of your community? Why or how? *[Explore the linkages. Specific examples are useful.]*

28. Are there local elections here? How do people win elections? Are they open and fair? *[If this last question is too sensitive, drop.]* How do people get information about local candidates?

29. Do you think the local candidates campaign on the most important issues facing your community?

30. How does someone become a politician and represent the community in [the local government]? How did your local politician rise to prominence? How has he or she helped the community?

31. How widespread do you think bribe-taking and corruption are in this community? How many government officials are engaged in it?

1. Almost no government officials are engaged in it ____
2. A few government officials are engaged in it ____
3. Most government officials are engaged in it ____
4. Almost all government officials are engaged in it ____

32. How do you think democracy and your local government will change in the next ten years?

2. What efforts have been taken by local people in the community to ensure their security and public safety over the past ten years?

3. Which of these efforts have been the most effective? Why?

4. Which actors or groups are the most trusted in the community for resolving disputes? Why?

5. How were disputes resolved 10 years ago? Were the same mechanisms available? What has changed?

6. Often there are various means for resolving the different types of disputes which can take place in a community. In this community, how are disputes resolved when:

- a. A local youth gets into trouble? What actors or groups work most closely with youth in the community to keep youth on a good path and away from involvement in crime and violence? Are they successful? Why or why not?

- b. Someone is made to leave their land? *[Drop if this is too sensitive]*

- c. When an individual has been treated unfairly by the police or a government official. *[Drop if this is too sensitive]*

- d. When an individual *(from an important minority ethnic or religious group in that area)* has been treated unfairly by a merchant or employer.

7. What types of criminal activities took place in this village 10 years ago? Now? Are these criminal activities increasing, staying the same or decreasing compared to ten years ago?

Of these activities, which two are the most common now? Why? What is happening? *[Please record these on a large sheet of paper, and then i) indicate whether these activities were present in the community 10 years ago and now, and rate the trend for this type of crime over the last ten years. If the types of crimes in the matrix below are not mentioned, please probe into whether or*

not they existed; and if any did exist, indicate their presence for now and ten years ago and the trend as well.]

Presence of and Trends in Criminal Activities

	<i>Present 10 years ago</i>	<i>Present now</i>	<i>Compared to ten years ago, is this activity increasing, the same or decreasing?</i>
	<i>[√ if present]</i>	<i>[√ if present]</i>	
i. Stealing			
ii. Robbery			
iii. Plundering			
iv. Land capture			
v. Torture/physical harm			
vi. Arson			
vii. Rape			
viii. Narcotics			
ix. Murder			
x. Assault			
xi. Other (specify)			

Rating Scale for Trends in Criminal Activities

- INCREASING..... 1
- THE SAME..... 2
- DECREASING..... 3

Section 2. The Trajectory of Conflicts

1. Over the past ten years, can you please tell me what disputes or conflicts occurred in this community?

Note: Please record each dispute or conflict on a timeline, and after discussion ask the focus group members to indicate trends in the intensity of the disputes or conflicts in the community over the past ten years using the following scale.

Rating scale:

1. There are tensions but they do not lead to fights or mass protests / demonstrations.
2. There are mass protests/ demonstrations
3. There are fights, mass protests or demonstration that caused material/ property damage
4. There are fights or mass protests or demonstrations that caused material/ property damage and injured victims (physical harm)
5. There are fights or mass protests or demonstration that caused material/ property damage, and injuries and deaths.

Dispute/Conflict #1 _____

Rating: _____

Dispute/Conflict #2 _____

Rating: _____

Dispute/Conflict #3 _____

Rating: _____

Dispute/Conflict #4 _____

Rating: _____

Dispute/Conflict #5 _____

Rating: _____

2. Of all of the disputes or conflicts mentioned, can you please identify the dispute or conflict that most affected the wellbeing of the community?

What happened? How long did the dispute/conflict last?

What type of dispute/ conflict was it? *[Some possibilities: ethnic, religious, land-based, resource-based; or over local elections or use of public goods such as water]*

How long did the community experience tensions before or after this dispute/conflict? [How long was the community at risk of high tension either before or after this dispute/conflict?]

What impact did this dispute/ conflict have on the village or neighborhood? [*If possible ask*]: Was any property damaged due to the dispute/conflict? If so, what? Were there any injuries or deaths due to the conflict? If so, how many?

How many people total were involved? Were some members of the community affected more than others by the dispute/conflict? How?

3. When conflict begins, there is often a moment when actions can be taken to prevent further escalation. Has this happened in your community? Please tell me about these experiences.

Section 3. Impacts on key livelihoods

1. In general, would you say that more, the same or fewer people have access to economic opportunities than 10 years ago? How did the disputes/conflicts affect these trends?

2. During the period of the most important dispute or conflict, when tensions or the risk of violence was were very high or when violence actually broke out:

a. What steps did people here take to protect themselves and their wealth and property?

b. What types of households gained from conflict? Why? What proportion of households in the community gained from conflict?

c. What types households lost from conflict? Why? What proportion of households in the community lost from conflict?

d. What types of households were more at risk during or as a result of the dispute/conflict? Why?

3. Now I'd like you to reflect upon the past 10 years. Which livelihoods were the most affected during the periods when there were tensions and conflicts? Can you please describe these effects?

What types of risks did the people who worked in these livelihoods face? *[Please probe into whether the effects on livelihoods were different for each major conflict identified on the timeline.]*

What livelihoods were least affected? Why?

Did any new livelihoods emerge during or after a dispute/conflict? Tell me about them.

Did any livelihoods disappear? Why?

Were some local people more able to take advantage of the changes in livelihoods that resulted from a dispute/conflict?

Were some people in the community more harmed than others by these changes?

What kind of local people managed to get ahead despite or perhaps because of a dispute/conflict?
How did they do it?

4. Now I'd like you to think about the richest and best off households in this community and nearby.
What livelihoods are they generally involved in?

[For each of the livelihoods mentioned] How many people would you say enjoy important influence and earnings locally from this livelihood? Have the number of people with this type of influence increased, stayed the same or fallen over the past ten years?

How have the livelihoods of the richest and best off changed over the last ten years?

How have the conflicts affected this group?

Section 4. Trends in institutional functioning

1. If you think back over the past ten years, what have been the most important institutions, actors or groups in the life of this neighborhood/village? These may be government agencies or private or civic groups – or an important leader. Also, these key institutions or actors in the life of the community may operate from within or outside of this neighborhood/village. *[If useful, create an institutional map to enrich the discussion. The visual can start with a large circle to depict the community, and then actors and groups can be added as they are named by the focus group.]*

For each group or actor identified:

- a. What is the main role of this group/actor?
- b. *[If a group]* Who participates in their activities?
- c. Does this group or actor mainly work inside or outside the community?
- d. Do they work with any other actors/groups inside or outside of the community?
- e. Is this group or actor associated with any of the livelihoods important for the community? If so, how?

Group/Actor/Institution #1 _____

Group/Actor/Institution #2 _____

Group/Actor/Institution #3 _____

Group/Actor/Institution #4 _____

Group/Actor/Institution #5 _____

Group/Actor/Institution #6 _____

Other important institutions:

2. Now I'd like you to reflect on the most important conflict which took place in the community in the past ten years, and how these local groups in the community were affected. *[For each group identified:]*
- a. How did the conflict affect this group?
 - b. How important was this group in the daily life or leadership of the community when the dispute/ conflict began?
 - c. Did they have any role in the conflict?

- d. How has the importance of this actor/group in the life of the community changed in the past ten years? Has it become more powerful or less powerful because of the dispute/conflict? What has changed?

Group/Actor/Institution #1 _____

Group/Actor/Institution #2 _____

Group/Actor/Institution #3 _____

Group/Actor/Institution #4 _____

Group/Actor/Institution #5 _____

Group/Actor/Institution #6 _____

Other important institutions:

3. I'd like you to consider all of the disputes/conflicts which have taken place in the community over the past 10 years. Compared to ten years ago, is it easier or harder for people to form organizations and work collectively? Why? Do the conflicts play a role?

Do people talk openly in this community about local problems? *[Pause, allow time for reflection.]* For instance, do people express their concerns openly at community meetings? Or are some people fearful? Why do you think that is? Compared to ten years ago, is it easier or harder for local people to raise problems at community meetings? Why? What has changed?

Did the leadership of the community change after any of the disputes/ conflicts? What changes did you see? *[Allow time for reflection.]*

Did the local government or any locally elected politicians change due to the disputes/ conflicts?
What changes did you see? *[Allow time for reflection.]*

Did the local government become more or less accessible to local people? In what ways?

Which groups in the community does the local government most represent?

4. Thinking back over the past ten years, what most helped local people to recover and get on with their livelihoods when a conflict ended?

What would have helped people to recover more quickly from these disputes/conflicts and even to become better off?

Are there any special dispute/conflict recovery or reconstruction programs?

Who benefits most from them? Why?

Who benefits least from them? Why?

Activity 10. Open-Ended Interview: Individual Life Stories

Name of the community: _____
City (if urban): _____
District (if rural): _____
Date of interview: _____
Facilitator: _____
Note Taker (if different) _____

Name _____ Age _____
Sex _____
Marital status _____ Household size _____
Household Questionnaire I.D. Number _____

Movement status of individual, and main reason for this movement or lack of movement:

Main source of livelihood/income at present _____

Main source of livelihood/income 10 years ago _____

The write up that accompanies this cover sheet should detail the individual's understandings and interpretations of their life experiences that have helped or hindered their escape from poverty. Please use as many direct quotes and stories as possible from the interview. The write up should contain:

- The individual's life story and principal experiences in general; and the main characteristics of their lives now and ten years ago.
- Discussion of the type of the movements, if any, experienced by the individual in the last ten years, and when the changes occurred.
- Identification and detailed explanations of the key factors or processes that caused or prevented the movements, and the importance and interpretation that people assign to these. In answering this question, reproduce the five thematic timelines/trend lines and the final trend line and describe what happened in the following areas:

1. Migration history;

2. Occupational history;
3. Economic history; including processes and reasons behind important changes in assets, and membership in economic organizations;
4. Social, Psychological and Cultural history, including important social relationships in their life; areas of their lives that have brought value and meaning; changes in self confidence, and identification with and belonging to groups and its importance in their lives;
5. Educational history; focusing on most important formal and informal learning and educational experiences; and
6. Consolidation and Trend line on Overall Wellbeing on the ups and downs of the individual's overall wellbeing, identifying the high points, the low points, the turning points, the point at which the individual felt more secure of having passed the danger point of falling into poverty; and the interaction and sequencing of factors and processes that came together for accumulation or depletion of assets and savings.

Analysis of any combination, interaction or sequencing among the events and factors. Please refer to the five thematic timelines/trend lines and the final trend-line on economic and overall wellbeing.

Again, please be sure to include in the write-up an accurate reproduction of the five thematic timelines/trend lines and the final trend line completed during the interview.

Annex II. Community Profile

[Insert dataset here]

Annex III. Household Questionnaire

[Insert dataset here]

World Bank Study Team

Deepa Narayan

Senior Advisor, PREM, World Bank
Study Director and Social Advisor

dnarayan@worldbank.org

Lant Pritchett

Lead Economist, SASES, World Bank
Economic Advisor for the study

lpritchett@worldbank.org

Patti Petesch

Consultant, PRMPR, World Bank
Study Coordinator

ppetesch@worldbank.org

Soumya Kapoor

Research Analyst, PRMPR, World Bank
Tel: +91-11-51479423

Skapoor3@worldbank.org

Sarah Sullivan

Junior Professional Associate, PRMPR, World Bank
Tel: +1 202 473 9475

Sullivan1@worldbank.org