Annex 4. Research questions (extracted from documentation provided by projects)

Information has been collated in this Annex to provide a reference source summarising the research questions and/or objectives provided by projects funded under Phase 1 of the ESRC-DFID Scheme.

Where possible this information has been extracted and collated from End of Award (EOA) reports noting that the format of these changed during the period of implementation for Phase 1. The EOA report was used as the most valuable source of information as it was most likely to have included changes that occurred during implementation of the project. Due to a time delay between the submission of reports by projects, and their availability to the SAT, some reports submitted to the ESRC were not available for review by the SAT at the time of this report. This procedural issue has now been addressed.

For projects ending before 1 November 2009, projects were required to report:

**OBJECTIVES:**

Aims and objectives of the research and any changes to these. You should state clearly how each objective has been addressed and whether the objective has been met or not, referring to other parts of the report as required. Where an objective has not been addressed or has not been met successfully, you should state the reasons for this. This will ensure that genuine difficulties faced in the course of the research are recognised and taken into account by the evaluators.

For projects ending after 1 November 2009, projects were required to report:

<table>
<thead>
<tr>
<th>a) Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td>Please state the aims and objectives of your project as outlined in your proposal to the ESRC.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>b) Project Changes</th>
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</thead>
<tbody>
<tr>
<td>Please describe any changes made to the original aims and objectives, and confirm that these were agreed with the ESRC. Please also detail any changes to the grant holder’s institutional affiliation, project staffing or funding.</td>
</tr>
</tbody>
</table>

Note:

**Contributions to wider ESRC initiatives:**

Some of the old-style EOA forms (but not all) asked what contribution the project had made “to the aims and objectives of the ESRC/DFID Scheme”. In the other forms, and the new-style EOA forms, the projects were asked what contribution they had made to “wider ESRC initiatives (eg Research Programmes or Networks)”. Of the 27 projects asked this question, 14 highlighted the ESRC-DFID Scheme.

---

1 Where EOA reports are unavailable, information (such as project start and end dates) are from the relevant project page on the ESRC website.
**Project title**  
Urban Poverty and Property Rights Changes in China

**Number**  
RES-167-25-0005

**PI (original)**  
Professor F. Wu, Cardiff

**Dates**  
15 September 2006 – 14 September 2008

**Form type**  
Old

### Original objectives

The research investigates the following hypotheses:

State-led land development projects in rural areas, on the urban fringe and in cities (the redevelopment of land formerly controlled by state enterprises) are displacing vast numbers of low income households. This has the effect of stripping rural migrants and displaced urban workers not only of the security of former land tenancy arrangements but also of the vital services bundled into those arrangements. Such people are becoming not only landless but stateless within the state.

The project's overall objectives are:

1. To examine the mechanisms of poverty generation present in China's contemporary urbanization processes;
2. To assess China's current urbanization policies and urban social policies and identify the institutional gaps that result in an undersupply of essential civic goods and services;
3. To do this by systematically relating the current welfare of a sample of urban poor to changes in property rights (over land and land-related civic goods and services and other vital resources) that have arisen through formal institutional change;
4. In particular, we will investigate the impact of the removal of rights through the processes of (a) rural-urban land conversion (b) re-location between territories and (c) intra city dislocation from former state enterprises;
5. To examine the emerging spatial partitioning of the urban poor and relate this to the spatial partitioning of rights;
6. To assess to what extent Chinese cities are evolving into divided cities with greater spatial segregation;
7. To identify coping strategies of rights-deprived peoples;
8. To identify and review the scope for policy innovation to address emerging patterns of rights deprivation.

More specifically our objectives will be:

To sample 24 poverty neighbourhoods in 6 cities, identified using Civil Affairs Bureau statistics and the fifth population census (2000). To classify poverty neighbourhoods according to a property rights typology. To identify the retrospective property rights changes of poor households. To summarize types of poverty in terms of property rights changes. To conduct a series of policy analyses, including urban redevelopment policy, compensation for housing demolition and land acquisition and land management policy. To analyse how different local institutional setups (eg the capacity of local government) might affect property rights changes and the welfare of landless migrants and displaced urban workers. Using logistic regression models, to measure the impact of shifts in property rights on the risk of falling into poverty (static analysis). To model 'hazard' duration (dynamic analysis) by treating the shift of property right as an event in the household life course and analysing the duration of not being poor in association with property right changes and other life course events (eg unemployment). To analyse the spatial concentration and deepening of poverty through detailed portraits of neighbourhood changes. Through case studies of 'villages in the city', other collective action phenomena and individual household histories, to investigate the strategies adopted by household who have faced property rights deprivation. By doing this we hope to uncover positive stories and examples of institutional innovation that may help re-shape policy.

### Objectives listed in EOA report

The objectives of the research remained unchanged during the course of the project, and each was fully and appropriately addressed. The original research objectives can be summarized into three:

1. **To examine the mechanism of poverty generation in China's urban development**

This objective has been achieved through case studies of landless farmers and rural migrants in the city. We examined systematically the institution of land requisition and the dynamics of property right redistribution during land requisition. In particular, we investigated the compensation system of land acquisition and the position of farmers in the process. Because this kind of study requires in-depth understanding of development processes, a case study approach has been the most appropriate
2) To examine the spatial partitioning of the urban poor and poverty concentration

This objective has been achieved through a survey. The neighbourhoods are drawn from the poorest neighbourhoods in their respective cities. Through indicators measuring concentration, we calculated a series of indicators across different social groups and different poor neighbourhoods to see how particular groups might be concentrated in particular neighbourhoods. We relate the findings of concentration with the development history (especially property rights change in housing tenure and labour) of individual neighbourhoods.

3) To identify coping strategies of urban poor and review policies to address emerging deprivation

This objective has been achieved through a review of urban policies (especially land development policies, minimum living support policies, migration policies, and policies towards redevelopment of low-income neighbourhoods) to understand the role of state in poor neighbourhood changes and tactics of the poor in developing their livelihoods. We develop a theoretical understanding of poverty in relation to rights deprivation and therefore suggest policy implications to address the issue of deprivation.

8. Contributions to the aims and objectives of the ESRC/DFID Scheme

Your project was funded under the Joint ESRC/DFID Scheme for research on international poverty reduction. Please describe your project's contributions to the Scheme's overall objectives, and note any impacts on your project resulting from your involvement in any Scheme activities or outputs.

According to DFID research strategy (2008-2013), five research areas (growth, sustainable agriculture, climate change, health, governance in challenging environment, and future challenges and development) are identified. This research projects contributes to the strategic area of growth and governance. Growth is critical in poverty alleviation. China is experiencing rapid urban growth. But the benefit of growth is not distributed evenly to all social groups and places. In this research project we highlight both the market and institutional forces that prevent marginal groups from gaining full benefits of economic growth and urban development. Further this research project contributes to the strategic area of governance, especially in terms of social exclusion and migration. Our study contributes to a general understanding of local governance and area-based policy and poverty generation and alleviation and specific policy measures in China, possibly with a focused approach to poverty-stricken neighbourhoods. We bridge the potential intellectual linkage between UK’s social exclusion and neighbourhood research with China’s poverty studies which had been so far conducted at the national or citywide level.
<table>
<thead>
<tr>
<th><strong>Project title</strong></th>
<th>Children, transport and mobility in sub-Saharan Africa: developing a child-centred evidence base to improve policy and change thinking across Africa</th>
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<tbody>
<tr>
<td><strong>Number</strong></td>
<td>RES-167-25-0028</td>
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<tr>
<td><strong>PI</strong></td>
<td>Dr G Porter, Durham</td>
</tr>
<tr>
<td><strong>Dates</strong></td>
<td>1 May 2006 - 30 April 2010</td>
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### Original objectives

**Main objectives:**

1. To explore the practical and theoretical challenges of improving children's accessibility to services in sub-Saharan Africa, developing these beyond the traditional road and engineering concerns into the complexities of human reality
2. To provide a substantial evidence base of how the girl and boy child's rights to Primary Education and Health in sub-Saharan Africa are affected by issues of spatial mobility and transport
3. To show how current constraints imposed by limitations of transport, mobility and accessibility to services impact on children's current and future livelihood opportunities and to sensitise policy makers to these issues
4. To develop and disseminate guidelines towards more child-friendly policies in sub-Saharan Africa on transport, mobility and accessibility to services.
5. By publishing high-status academic work and securing donor support for wider dissemination, to extend interest in this approach to comparable regions.
6. To involve children as fully as possible in the research process, incorporating an innovative child-centred field methodology/toolkit.

Our goal is to improve spatial mobility and accessibility to health and education facilities for both girl and boy children, which has massive implications for their subsequent livelihood potential (and thus presents a key to breaking cycles of inter-generational poverty).

The project will provide detailed evidence of the mobility needs and constraints faced by girl and boy children in accessing health, educational and other facilities. It will provide direct information on how current transport and mobility related constraints impact on children's current and future livelihood opportunities. This will enable us to prepare policy guidelines on how to tackle the constraints. Our aim is to provide an evidence base strong enough to substantially improve policy in our focus countries and to change thinking across Africa.

The study will be based in three very disparate country contexts: Ghana, Malawi and South Africa. Each country study will include field research in at least two different agro-ecological zones, and in sample rural, urban and peri-urban environments within each zone. It will thus provide extensive field evidence in diverse contexts from which we can build theory on children's daily mobility and develop guidelines towards more child-friendly transport, mobility and accessibility policies.

We aim to test an innovative two-strand child-centred methodology, involving both adult and child researchers. In addition to a more conventional interview study with children, parents, teachers and community leaders conducted by adult academic researchers, we will incorporate a complementary component of truly child-centred research conducted by child researchers (facilitated by adults). We have already undertaken a small pilot of this latter approach in Ghana (one peri-urban site) and South Africa (one remote rural site) (Porter, Hampshire, Abane, Mashiri et al. 2005). This study will allow us to apply our successful child researcher pilot, while ensuring that we achieve a substantial and comparable quantitative and qualitative dataset across the three countries from which policy guidelines can be established.

We need to sensitise policy makers to the transport, spatial mobility and accessibility needs of children: consequently we will engage policy makers from the commencement of the study in Country Consultative Groups, in order to provide input/advice in shaping the study, ensure on-going dissemination and encourage commitment to implementation.

### Objectives listed in EOA report

Our main objectives, as outlined in our proposal to ESRC:

- To explore the practical and theoretical challenges of improving children's physical accessibility to services in sub-Saharan Africa, developing these beyond the traditional road and engineering concerns into the complexities of human reality
- To provide a substantial evidence base of how the girl and boy child's rights to primary education and health in sub-Saharan Africa are affected by issues of spatial mobility and transport
• To show how current constraints imposed by limitations of transport, mobility and accessibility to services impact on children’s current and future livelihood opportunities and to sensitise policy makers to these issues
• To develop and disseminate guidelines towards more child-friendly policies in sub-Saharan Africa on transport, mobility and accessibility to services.
• By publishing high-status academic work and securing donor support for wider dissemination, to extend interest in this approach to comparable regions.
• To involve children as fully as possible in the research process, incorporating an innovative child-centred field methodology/toolkit.

Our goal is to improve spatial mobility and accessibility to health and education facilities for both girl and boy children, which has massive implications for their subsequent livelihood potential.

Project changes
Additional support was obtained from ESRC for expanded data input and analysis. This enabled us to expand our survey data input from c. 60 to over 300 variables and to increase the number of cases from 1,100 in total to approximately 1,000 cases per country ie 2967 in total].

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<tr>
<th>e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)</th>
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<tr>
<td>If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.</td>
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<tr>
<td>N.A. However, we made links to the Young Lives project and contributed a paper to the session organised by that research group at the 2009 Development Studies Association annual conference in Belfast.</td>
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<td><strong>Project title</strong></td>
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**Original objectives**

In southern Africa many agree that land reform is an essential component of efforts to reduce poverty and inequality, but despite important empirical studies there has to date been no systematic assessment of the poverty reduction and livelihood impacts of land reform in the region. This proposal aims to fill this important data gap, developing appropriate and replicable methodologies for such an assessment.

Through case studies in South Africa, Zimbabwe and Namibia, this project will explore to what extent land redistribution in southern Africa is achieving poverty reduction and livelihood improvement objectives. Specific research objectives are to:

1. Provide empirical data, in a systematic and comparable form, on livelihoods impacts and agrarian structure in post-land reform settings.
2. Understand what conditions / including appropriate land transfer mechanisms, resettlement models, tenure arrangements and post-settlement support / are likely to result in poverty reduction following redistribution of land.
3. Advance conceptual thinking about post-transfer livelihood options, interrogating what is meant by ‘viable’ land reform in the southern African context
4. Develop replicable methodological approaches for assessing impacts at different scales, eg household, scheme/project, regional economy / for use as assessment and monitoring and evaluation tools.

In addition, the project aims to engage a range of end-users in government and other implementing agencies (NGOs, service providers, donors), as well as beneficiaries, in exploring the policy implications of research findings. Specific engagement objectives are to:

1. Develop a replicable methodology for livelihood impact assessment, monitoring and evaluation.
2. Provide inputs into the design of specific support programmes in post-land reform settings.
3. Facilitate exchanges between researchers, government officials, NGO personnel and service providers engaged in land reform, to share their experiences and to engage with research findings, including exchanges between these stakeholders and land reform beneficiaries.
4. Feed research findings into high-level discussions on land reform policies and programmes in southern Africa.

**Objectives listed in EOA report**

Through case studies in South Africa, Zimbabwe and Namibia, this project explores to what extent land redistribution in southern Africa is achieving poverty reduction and improvement of livelihoods, by:

1. Providing empirical data, in a systematic and comparable form, on livelihoods impacts in post-land reform settings
2. Understanding what conditions – including appropriate land transfer mechanisms, resettlement models, tenure arrangements and post-settlement support – are likely to result in poverty reduction
3. Advancing conceptual thinking about post-transfer livelihood options, interrogating what is meant by ‘viable’ land reform in southern Africa
4. Developing replicable methodological approaches for assessing impacts at different scales – eg household, scheme/project, regional economy – for use as assessment and monitoring and evaluation tools.

The project also aims to engage a range of end-users in exploring the policy implications of research findings, by:

1. Developing a replicable methodology for livelihood impact assessment, monitoring and evaluation
2. Providing inputs into the design of specific support programmes in post-land reform settings
3. Facilitating exchanges between researchers, government officials, NGO personnel and service providers engaged in land reform, to share their experiences and to engage with research findings.
findings

4. Feeding research findings into high-level discussions on land reform policies and programmes in southern Africa.

Project changes

No changes were made to the original aims and objectives. The grant holder remained at the Institute for Poverty, Land and Agrarian Studies (PLAAS) at the University of the Western Cape. Staffing changes: Dr Edward Lahiff was replaced by Dr Michael Aliber as team leader of the South African research team in 2007, and Tshililo Manenzhe left the project in 2009. Bertus Kruger and Daniel Motinga left the Namibia team in late 2007 and were replaced by Willem Odendaal of the Legal Advice Centre and Heiko Binding. No changes took place in the Zimbabwe team. William Wolmer of the Institute of Development Studies (IDS) left the project at an early stage. Funding changes: in early 2007 ESRC approved an increase in the cash limit of the award by GBP 59,482, to add GBP 7900 to the Zimbabwe country study, and because the funds for a PhD studentship (GBP 51,582) were now to be incorporated into the award budget rather than being administered separately. Later it was agreed that the funds for the PhD studentship would be claimed by PLAAS rather than by IDS.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

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Project title: Marriage, Power and Wellbeing

Number: RES-167-25-0058

PI: Professor C Jackson, Uni of East Anglia


Form type: Old

Original objectives

Since the 1995 UN Conference on women when the UNDP defined the Gender Empowerment Measure (GEM) as an indicator of comparative gender equity, composed of data on parliamentary seats held by women, their employment in senior posts, and their percentage share of earned income, there has been recognition that addressing gender equity requires attention to power, voice and choice. This recognition finds expression in World Bank policy (WB 2001), DFID strategy to promote sexual equality and give women a stronger voice, and in Millennium Development Goal 3, to promote gender equality and empower women. Empowerment however is not simply confined to political representation and positions on labour markets, as implied by the GEM indicators but refers to increasing women's ability to influence the processes which distribute resources, allocate and value labour, to express their gender interests and to thereby see wellbeing outcomes shaped by these interests. Achieving this objective depends on understanding gender relations across many social scales and locations, but especially those within domestic groups since almost all women are constrained and enabled in very fundamental ways by the households they inhabit.

The proposed research has three objectives:

1. Improved understanding of intrahousehold relations in poor rural African communities for more effective poverty reduction and social justice. The social relations of gender within domestic groups mediate access to resources, the achievement of capabilities and functioning of members, and degrees of freedom and equity, in ways which affect the current wellbeing of women and men, and its intergenerational transmission. This research aims to contribute to the basic research upon which effective development policies are built, through improved understanding of the complex nexus of gender identity, poverty and power.

2. Testing of Sen's cooperative conflict model. Economists models of intrahousehold relations include unitary households, cooperative models where bargained outcomes depend on threat points and non-cooperative models. One important variant is AmartyaSen's 'cooperative conflict' model which was devised particularly for developing country contexts and which argued for the importance of perceptions in the processes governing the wellbeing outcomes for household members (1991). This has been influential in gender analysis of development, but has remained a heuristic device rather than subject to empirical scrutiny. The proposed research will focus on testing the three elements of this model, as well as extending it by integrating anthropological understanding of subjectivities and conjugality into a fuller account of bargaining, breakdown positions and gendered power.

3. Theoretical and methodological advances for development research. The research holds particular value for the focus on a topic which has the engagement of, and relevance for, economics and anthropology, and therefore aims to contribute to drawing these disciplines closer in the project of interdisciplinary development research (Jackson 2002, 2005). It will also elaborate gender analysis towards a fuller account of masculinities, which remains a neglected element of gender analysis of development. Finally the research offers considerable methodological innovation as it will be integrating qualitative ethnographic work with both survey data and the results of experimental economics games designed to test allocation behaviour of spouses in rural Uganda.

Objectives listed in EOA report

The research had 3 aims

1. To contribute an improved understanding of intrahousehold relations, through the basic research needed for effective development policies for more effective poverty reduction and social justice. The research aimed to do this through a focus on the complex nexus of gender identity, poverty and power.

2. Testing of Sen's cooperative conflict model. The research aimed to test the three elements of this model, as well as extend it by integrating anthropological understanding of subjectivities and conjugality into a fuller account of bargaining, breakdown positions and gendered power.

3. Theoretical and methodological advances for development research. The research aimed at methodological innovation through integrating qualitative ethnographic work with both survey...
data and the results of experimental economics games.

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<tr>
<th>8. Contributions to ESRC Programmes</th>
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<tbody>
<tr>
<td>If your project was part of an ESRC Research Programme, please describe your contributions to the Programme’s overall objectives, and note any impacts on your project resulting from your involvement.</td>
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<thead>
<tr>
<th><strong>Project title</strong></th>
<th>Demographic and poverty dynamics in an African population with high AIDS mortality and implications for social policy</th>
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<tbody>
<tr>
<td><strong>Number</strong></td>
<td>RES-167-25-0076</td>
</tr>
<tr>
<td><strong>PI</strong></td>
<td>Professor IM Timaeus, LSHTM</td>
</tr>
<tr>
<td><strong>Dates</strong></td>
<td>9 October 2006 - 8 March 2010</td>
</tr>
<tr>
<td><strong>Form type</strong></td>
<td>New</td>
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</tbody>
</table>

**Original objectives**

1. examine the effects of demographic change, including the AIDS epidemic, on poverty dynamics across the life course in South Africa;
2. understand better the impact of deaths of working-age adults on household welfare, households’ responses, and the determinants of differential vulnerability and resilience;
3. assess different social policy interventions designed to mitigate impact and their distributional implications across the life course;
4. improve the measurement of poverty dynamics.
5. consider the implications of the above for other countries in Africa in which there are high working-age adult mortality rates.

**Objectives listed in EOA report**

The ADaPT (AIDS, Demographic and Poverty Dynamics) project aimed to:

1. improve understanding of the impact of deaths of working-age adults on household welfare, households’ responses, and the determinants of differential vulnerability and resilience;
2. examine the effects of demographic change, including the AIDS epidemic, on poverty dynamics across the life course in South Africa;
3. assess different social policy interventions designed to mitigate impact and their distributional implications across the life course;
4. improve the measurement of poverty dynamics;
5. consider the implications of the above for other countries in Africa in which there are high working-age adult mortality rates.

**Project changes**

None

**e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)**

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

This project is part of the Joint ESRC/DFID Scheme for Research on International Poverty Reduction. After we received the award, both Timaeus in London and May in Johannesburg made presentations and answered questions at meetings organised by the ESRC to brief researchers planning to submit funding applications to the next wave of the scheme.

Timæus provided extensive briefings to the journalist who was preparing an article on the scheme for publication in *Social Sciences*, 65.

In May 2008, Timæus participated in a two-day participatory workshop for ESRC/DFID PIs on Maximising Research Influence/Impact with the aims of advancing knowledge on how research can be used to drive change and how this might be captured and developing a framework and case study methodology for assessing research influence/impact in ESRC-DFID research. The more sophisticated understanding he developed of these issues informed our plans for disseminating the results of this research.
Project title | Widening Participation in Higher Education in Ghana and Tanzania: Developing an Equity Scorecard  
---|---  
Number | RES-167-25-0078  
PI | Professor L Morley, Sussex  
Dates | 1 September 2006 – 31 January 2010  
Form type | New  
Original objectives  
1. To explore the role that universities are playing in poverty reduction within the context of the Millennium Development Goals.  
2. To build theory about socio-cultural aspects of higher education in low-income countries, and provide new knowledge and literature that could contribute to making higher education more socially inclusive.  
3. To provide a comprehensive statistical overview of patterns of participation and achievement in higher education in Ghana and Tanzania.  
4. To provide illuminatory qualitative data that will help explain statistical data and provide more textured information about enablers and barriers to participation and achievement for under-represented groups in higher education.  
5. To devise equity scorecards to evaluate the effectiveness of existing policy interventions to promote inclusion in the case study institutions.  
6. To enhance research capacity in the partner countries via research training for in-country teams, including two students on the Sussex distance mode International EdD programme.  
Objectives listed in EOA report  
• To explore the role that universities are playing in poverty reduction within the context of the Millennium Development Goals.  
• To build theory about socio-cultural aspects of higher education in low-income countries, and provide new knowledge, insight and literature that could contribute to making higher education more socially inclusive.  
• To provide a comprehensive statistical overview of patterns of participation and achievement in higher education in Ghana and Tanzania.  
• To provide illuminatory qualitative data that will help explain patterns and trends in statistical data and provide more textured information about enablers and barriers to participation and achievement for under-represented groups in higher education.  
• To devise Equity Scorecards to evaluate the effectiveness of existing policy interventions to promote inclusion in the case study institutions.  
• To enhance research capacity in the partner countries via research training for in-country teams, including the sponsorship of two students on the Sussex distance mode International EdD programme.  
Project changes  
A no cost extension was granted until 31 January 2010. Professor James Opare, the project leader in the University of Cape Coast, Ghana was replaced by Dr Linda Dzama Forde in 2008. The Sussex-based Research Fellow, Dr Rosemary Lugg, left the project in November 2008 and was replaced by Dr Kattie Lussier.  
e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)  
If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.  
The project was part of the ESRC/DFID Poverty Alleviation Programme. It aimed to contribute to the international agenda for reducing poverty by:  
Producing original statistical data on access, retention and achievement of low socio-economic status, female and mature students in higher education in Ghana and Tanzania.  
Highlighting the socio-cultural and educational barriers and enablers that members of low SES communities face in relation to HE access eg poor quality basic education, social exclusion, and lack of capital.  
Resarching student experiences once enrolled in higher education eg financial struggle, sexual harassment, poor quality pedagogy.  
The project participated in the ESRC/DFID programme workshop on impact and influence in June
2008, and in the short case studies of ESRC/DFID research influence compiled by Katie Wright in July 2009. One effect of these events was to raise the significance of impact planning. The project has just been awarded ESRC Follow On Funding for three Knowledge Exchange and Impact Enhancement Seminars and to extend the project website.

The project also presented at ESRC TLRP seminars in March 2007 at the Institute of Education, University of London. This helped to locate the project as a source of expertise on widening participation in Africa.
### Project title
Tracing pharmaceuticals in South Asia: regulation, distribution and consumption

### Number
RES-167-25-0110

### PI
Professor R Jeffery, Edinburgh

### Dates
1 September 2006 - 31 December 2009

### Form type
New

### Original objectives
This research aims to investigate how the pharmaceutical supply chain and health care delivery systems in three South Asian case studies in practice compare with national regulatory standards and international best practice; whether (and if so, to what extent) pharmaceutical misuse hinders efforts to reach key Millennium Development Goals (MDGs); what policy changes might improve the situation.

We plan to do this

(a) by developing a new framework for research on the socio-economic dynamics of pharmaceuticals, integrating the insights of discussions in anthropology of global assemblages and in political economy of global commodity chains;

(b) by contributing to theories of global interdependency, integrating 'bottom-up' and 'top-down' approaches to the local and global contexts through specific case-studies; and

(c) by developing new approaches to global policy-making on pharmaceuticals in order better to help reduce pharmaceutical misuse and contribute to poverty reduction strategies and key MDG programmes.

Specifically, this project will:

1. map patterns of production, distribution, marketing and retail of three key generic drugs (oxytocin, rifampicin and fluoxetine) in three regions of South Asia (Nepal, West Bengal [WB] and Uttar Pradesh [UP]). Oxytocin is given to women to augment the birthing process. Rifampicin is the main bacteriocidal drug used in the treatment of tuberculosis. Fluoxetine (Prozac) is a widely-used medication for depression and other mental illnesses. Our existing knowledge suggests high levels of informal and unregulated use of each of these drugs, which impinge on different global strategies for health, with different priorities for action. By mapping and comparing these trajectories, we will introduce new perspectives on the dynamics of pharmaceuticals in developing countries.

2. assess use of these three drugs in the light of current international standards of best practice. We will highlight systematically those areas where drugs are being used inappropriately. This may include: production of fake drugs; cross-border trafficking; shortfalls in supply; inappropriate prescriptions by certified and non-certified medical practitioners; improper over-the-counter sales by pharmacists; unsupervised self-medications by patients. Since each of the drugs is regulated in different ways, we will show where international guidelines are adhered to, where these guidelines are ignored, and where critical areas of actual practice are not even in the purview of health policy.

3. relate these processes to public health goals (maternal health, infectious diseases, and mental health) and the poverty reduction agenda. In each field, the uses of the drugs illuminate wider health dynamics. We aim to show how oxytocin, rifampicin and fluoxetine (as exemplars for wider adoption) can be better embedded in global development partnerships, and thereby contribute to policy improvements.

4. contribute to theoretical and methodological debates in public health, medical anthropology and political economy. We are a strongly interdisciplinary team, able to bring together ideas from these disciplines. We will combine social, cultural and public health policy analyses with those of political economy, and synthesize ideas from these different disciplines into a coherent framework for further studies on pharmaceuticals in developing countries.

### Objectives listed in EOA report
This research aimed to investigate pharmaceutical supply chains and health care delivery systems through three South Asian case studies, and compare actual practices with national regulatory standards and international best practice. We aimed to assess whether (and if so, how far) pharmaceutical misuse hinders efforts to reach key Millennium Development Goals; and what policy changes might improve the situation.

We planned to
(a) develop a new framework for research on the socio-economic dynamics of pharmaceuticals, integrating the insights from the anthropology of global assemblages and the political economy of global commodity chains;

(b) contribute to theories of global interdependency, integrating ‘bottom-up’ and ‘top-down’ approaches to local and global contexts through specific case-studies;

(c) develop new approaches to global policy-making.

Our objectives were to:

1. map patterns of production, distribution, marketing and retail of three key generic drugs (oxytocin, rifampicin and fluoxetine) in South Asia
2. assess use of these three drugs in light of current international standards of best practice.
3. relate these processes to public health goals (maternal and child health, infectious diseases, mental health) and the poverty reduction agenda.
4. contribute to theoretical and methodological debates in public health, medical anthropology and political economy.

Project changes

No changes were made to the original aims and objectives, nor to the grant holder’s institutional affiliation, to project staffing or to overall funding.

We changed the Indian partner to the Centre for Health and Social Justice, under the leadership of Dr Abhijit Das; since CHSJ wanted to develop a Kolkata office we managed the West Bengal research through them, because of problems linking to Indian Universities. By the time the grant was awarded, Anil Bhattarai was no longer with Martin Chautari in Kathmandu, but Dr Madhusudan Subedi, of Tribhuvan University became an Associate of Martin Chautari for the duration of the award.

Delays in the confirmation of the award of the grant resulted in a delayed start of the research; those working in India then faced further delays (amounting to a year) in acquiring research visas, severely limiting what could be done until they were granted. In addition, because of health problems faced by the Principal Investigator, the award was granted a no-cost extension to the end of December 2009, to allow Prof. Roger Jeffery to complete a schedule of interviews in Delhi and Mumbai.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

This project was funded in the first round of the ESRC/DFID joint funding scheme, whose aim was to enhance the quality and impact of social science research addressing the key international development goal of reducing poverty amongst the poorest countries and peoples of the world, with particular reference to the Millennium Development Goals [MDGs]. It funded research with the potential for impact on policy and practice for poverty reduction. We attended a session on enhancing impact, run for grant-holders in this scheme, which we found very useful.

Our project addressed aspects of the three most health-related MDGs – numbers 4, 5 and 6, concerned with maternal and child health and the control of major communicable diseases, including TB. Our research helps to fill some gaps in understanding the actual and potential roles of pharmaceuticals in contributing to meeting these goals. Our contributions to meeting the goals comes as much from the results of personal involvement in policy-advisory roles (especially Ian Harper and Patricia Jeffery) and through our engagement with advocacy groups (especially our partners in Delhi – the Centre for Health and Social Justice and CENTAD – and in Kathmandu – Martin Chautari).
**Project title**  
Trade Liberalisation, Job Reallocation and Poverty: Employment and Earning Losses after Worker Displacement

**Number**  
RES-167-25-0121

**PI**  
Dr M Kugler, Southampton

**Dates**  
27 October 2008 - 30 April 2010

**Form type**  
New

### Original objectives

This research aims to contribute to our understanding of how the current Global wave of trade liberalisation affects poverty in developing countries. Much economics research has focused on the potential for trade opening to reduce poverty by stimulating long-run growth. However, an important element of this long-run growth is the job reallocation associated with the closing down of relatively inefficient producers. We analyse the case of Colombia, in many ways a typical reformist developing country, by constructing a unique dataset matching employee and employer information.

Before the potential benefits of trade liberalisation ever materialise, there will be a period of worker displacement. Given the evidence that trade opening induces an increase in the demand for skilled workers, the employment and earning losses are likely to be most severe for workers at the lower end of the income distribution who earn subsistence wages. Without social security and training programmes, job reallocation may be a lengthy process and unemployment spells may induce skill atrophy with long-term consequences. In developing countries, workers whose main source of income are wages, and who do not have access to unemployment insurance, may be particularly vulnerable to persistent joblessness as a result of trade liberalisation.

Poverty prospects caused by job reallocation in the wake of trade liberalisation may be mitigated by policies to enhance unemployment safety nets, worker training and labour market flexibility.

Our research will contribute to assess the impact of trade liberalisation on low income workers in developing countries and to identify potential policy responses to enhance poverty reduction prospects among vulnerable groups earning minimum wages, and with limited access to credit markets to shield negative income shocks. Buttressing unemployment insurance and incorporating a training component may reduce the prospects of persistent worker displacement spells.

### Objectives listed in EOA report

The trade-off between flexibility, productivity, efficiency, and growth, on the one hand, and job security, on the other, is amongst the most debated and fundamental issues in market economies. These issues loom especially large in Latin American economies, where various reforms were undertaken during the 1990s, speeding up the pace of reallocation, but where safety nets to protect against unforeseen shocks are minimal. In the research, we concentrate on the costs of such reallocation to workers in Colombia, a country that implemented extensive reforms aimed at improving efficiency in the economy. We quantify the costs of reallocation by, first, examining earnings losses and unemployment experiences of workers displaced from closing and contracting businesses, and then by examining earnings changes for workers who continue to be employed in contracting businesses. Estimating displacement costs in the context of large policy changes in the Latin American context yields potential lessons for other developing countries. Aside strengthening of social safety nets, policies to adjust worker skills and to induce job creation can substantially reduce the prospect that persistent worker displacement generates poverty. We disseminate our findings both in academic conferences and seminars as well as in presentations at multilateral organizations and local government institutions.

### Project changes

N/A

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

N/A
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<tr>
<th><strong>Project title</strong></th>
<th>Human development and poverty reduction in developing countries</th>
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<td><strong>Number</strong></td>
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<tr>
<td><strong>PI</strong></td>
<td>Professor OP Attanasio, Institute for Fiscal Studies</td>
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<td><strong>Dates</strong></td>
<td>1 June 2006 - 31 May 2009</td>
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**Original objectives**

1. The main goal of the research is to gain an understanding into the complex mechanisms that underlie the process of human development of individuals living in indigent households. The importance of human development for the long-term reduction and eventual elimination of poverty in less developed economies is widely recognised. For this reason, understanding how individual skills, nutrition and health are shaped and nurtured will be a key contribution to the long-term policy agenda of poverty reduction.

2. We will study a number of specific policies that have recently been implemented to foster the process of human capital accumulation in different contexts. We will complement the evaluation of such policies with an investigation of the precise mechanisms that lie behind their successes and failures.

3. To do so, we will model the household decision making process under a range of constraints relating to poverty levels and social environments, and facing various economic incentives. These incentives are generally afforded by policy measures, and variations in their design may render them more or less conducive to household investments into child development. To validate our models, we will use experimental data that have been gathered for the evaluation of large scale development programmes that are aimed at improving health, nutrition and increasing education levels in low-income countries.

4. By identifying these mechanisms, we will be able to extrapolate our findings in order to predict the effects of varying particular features of existing policies. This type of exercise will also provide insight into how different types of policies can be combined so as to be more effective. Our research will then become an invaluable resource for policymakers who seek to fine tune such policies.

5. The process of human development is critically affected by a variety of factors, ranging from nutrition and health status, to psycho-social stimuli, to education and infrastructure. Accordingly we will adopt a multidisciplinary approach to study how these factors are combined in a process that begins in infancy and that continues right throughout the life of an individual. The incremental nature of the process means that early choices, inputs and events have the power to affect development at later stages, and studying the dynamics links between them will constitute an important part of our research. We will focus on aspects relating to health status and health care in infancy, nutrition, cognitive and non-cognitive skill development, education and work activities of children.

6. We will make use of large micro-level data sets that relate to different field experiments to evaluate the impacts of such policies.

The choice of these interventions partly reflects the experience of the research team. At the same time, some of these interventions, such as Conditional Cash Transfers (CCT), are currently the most favoured among policy makers and international financial institutions. The CCT programmes that we will study - the Progresa/Oportunidades programme in Mexico and the Familias en Acción programme in Colombia - provide cash to very poor households conditional on their fulfilling certain requirements such as sending their child(ren) to school and taking infants for regular visits to health centres.

These programmes are sometimes seen as alternatives to pre-existing programmes, and yet, while some rigorous evaluations of CCT programmes now exist, the same is not true for pre-existing ones. Hence, the other types of intervention that we will consider are nutrition and health programmes that are based around community activities. These include community nurseries in Colombia, known as "HogaresCommunity"s and pre-natal community care in Nepal and India. Moreover, almost no comparison between the two types of programmes exists, and filling this gap in the existing knowledge is an important part of our project.

**Objectives listed in EOA report**

The main objectives of the research financed by the DfID/ESRC grant have been: i) to better understand the processes through which human capital is accumulated in developing countries; and, ii) how this process can lead to the reduction of poverty both in the short and in the long run. More
specifically, we have been studying various aspects of the process through which poor households in developing countries make decisions that affect the accumulation of human capital. These decisions can happen at different moments of the life cycle and in different contexts. We have a keen interest in the early years of childhood and how outcomes that are relevant for long run development are affected by nutrition, health and other inputs. We have also been interested in schooling decisions and how these are affected by the resources individuals have, by the availability of schools and by individual expectations. Finally, we are very interested in how public policy can and does affect these processes and influence the process through which human capital is accumulated. These overarching objectives have informed the projects that we list in the results section of this report.

8. Contributions to ESRC Programmes

If your project was part of an ESRC Research Programme, please describe your contributions to the Programme’s overall objectives, and note any impacts on your project resulting from your involvement.

The research undertaken under the current grant has allowed us to perform in-depth analysis of data sets generated in the evaluation of large welfare programs aimed at fostering the accumulation of human capital in developing countries. The analysis has allowed us a better understanding of the mechanisms that generated the estimated impacts. Beyond this, we have been able to generate new models of human capital accumulation. This work has put us in a position to give informed and constructive policy advice. We are therefore able to generate high quality academic research that is rigorous and, at the same time, able to inform the policy debate. In this sense we contributed to the ESRC objectives to generate policy relevant knowledge informed by rigorous scientific research.
Project title: Stigma and discrimination associated with TB in Asia

Number: RES-167-25-0142

PI: Dr James Newell, Leeds

Dates: 7 May 2007 - 6 May 2009

Form type: Old

Original objectives

The overall aim of the project is to gather new empirical evidence and further theoretical understanding of the causes of stigma and discrimination associated with TB in Asia.

The objectives are to:

1. gain an in-depth knowledge of the causes of self-stigma and self-discrimination from the perspective of
   (a) patients
   (b) patients' families
   (c) people likely to discriminate against people with TB
   (d) institutions (health facilities, employers, government offices)
   (e) the general community.
2. gain an understanding of the people most likely to discriminate against people with TB
3. develop improved theories to explain the causes of TB-related stigma and discrimination
4. develop interventions to reduce TB-related discrimination underpinned by theory.

Objectives listed in EOA report

The overall objective of the research study was to gather new empirical evidence and develop further theoretical understanding of the mechanisms of stigma associated with TB in Asia. This objective has been met.

8. Contributions to the aims and objectives of the ESRC/DFID Scheme

Your project was funded under the Joint ESRC/DFID Scheme for research on international poverty reduction. Please describe your project's contributions to the Scheme's overall objectives, and note any impacts on your project resulting from your involvement in any Scheme activities or outputs.

The purpose of the ESRC/DFID scheme is to provide funding for researchers to contribute to poverty reduction and the achievement of the MDGs. The aim of the scheme is to enhance the quality and impact of social science research addressing the key international development goal of reducing poverty amongst the poorest countries and peoples of the world. It funds world class scientific research on issues relating to economic development and quality of life in less developed countries with the potential for impact on policy and practice for poverty reduction.

MDG6 aims to reduce the number of people dying from some of the most common infectious diseases found in developing countries. Its targets are to halt and begin to reverse the spread of HIV and AIDS and to halt and begin to reverse the incidence of malaria and other major diseases, including tuberculosis, by 2015. Our project has identified substantial evidence-based opportunities for TB stigma reduction, with government commitment to incorporating the resultant strategy into national policy and practice. Stigma reduction will contribute to improving people’s ability to seek TB diagnosis and complete TB treatment and hence to reversing the incidence of TB.

It is well-known that TB is associated with poverty; and that TB is highly stigmatised, leading to barriers in access to TB diagnosis and treatment, and causing major impacts on the lives of people with TB. Our project has identified substantial evidence-based opportunities for TB stigma reduction, with government commitment to incorporating the resultant strategy into national policy and practice. Stigma reduction will contribute to poverty reduction through improving the lives of people with TB and their families.
Project title | Ethnic Minority Underdevelopment in Vietnam  
Number | RES-167-25-0157  
PI | Dr Robert Baulch, Institute of Development Studies  
Dates | 1cDecember 2006 – 29 February 2008  
Form type | Old [scanned]  

Original objectives
The objectives of this research project are threefold:
1. to investigate why the ethnic minority peoples of Vietnam have failed to share in the benefits of Vietnam’s rapid economic growth, despite the plethora of government programmes designed to assist them;
2. to identify which policies can promote ethnic minority development better in the future; and,
3. to communicate the results to key stakeholders in Vietnam and a wider research and policy audience using appropriate delivery platforms.

Specifically, the project will investigate four research questions:
• Which ethnic groups have benefited the most and which have benefited the least from Vietnam’s recent economic growth?
• Why has the gap in ethnic living standards increased over time?
• Do ethnic minority groups experience unequal treatment (i) on average and (ii) at different points in the welfare distribution?
• Which policies have succeeded and which have failed in promoting ethnic minority development in Vietnam?

By disseminating the project's progress and findings extensively in a series of meetings and informal seminars for stakeholders in Vietnam, the project aims to make ethnic minority development policy more effective and inclusive, and to encourage policy makers to design policies with the needs of specific ethnic minority groupings in mind.

By creating a variety of outputs, the project findings can be disseminated more effectively. The outputs of the project will be targeted at two very distinct audiences:
• The main Government ministries, agencies, donors and NGOs working on ethnic minority development issues in Vietnam. This primary audience will be reached via meetings and informal seminars during the first half of the project, a policy brief in Vietnamese, and an in-country event to launch the policy brief and academic report.
• The global academic and policy audience, who will be engaged by print and electronic mediums using the extensive networks of the three participating organisations to distribute the detailed academic report, a shorter policy brief in English and refereed journal articles.

Objectives listed in EOA report [full report had to be downloaded from ESRC website]
The objectives of this research project were to investigate why the ethnic minority peoples of Vietnam have failed to share in the benefits of Vietnam’s economic growth, and identify which policies could promote ethnic minority development in the future.

In particular, the project investigated four research questions:
1. Which ethnic groups have benefited the most and which have benefited the least from Vietnam’s recent economic growth?
2. Why has the gap in ethnic living standards increased over time?
3. Do ethnic minority groups experience unequal treatment: (i) on average; and, (ii) at different points in the welfare distribution?
4. Which policies have succeeded and which have failed in promoting ethnic minority development in Vietnam?

The four research questions outlined above were to be investigated using innovative quantitative methods drawn from the recent literature on labour market microeconometrics and four rounds of household survey data from the 1990s and early 2000s. The quantitative analysis was to be supplemented by a qualitative review of the policy implementation process, both nationally and in three provinces with substantial ethnic minority populations in the Northeast, Northwest and Central Highlands of Vietnam. In addition, the project aimed to adopt an extensive user engagement strategy which would stimulate a policy dialogue among key stakeholders in Vietnam, and assist in the design of policies to narrow the ethnic gap.

As will be seen from the Section 4, 5 and 6 below, these objectives have mostly been achieved.
successfully. It was, however, necessary to make three adjustments to the project design to make the research (i) more politically acceptable, and (ii) to address data problems revealed during initial analysis of the household survey data.

First, on the advice of our Vietnamese host organisation, we modified the title of the project from “Ethnic minority underdevelopment in Vietnam” to “Ethnic minority development in Vietnam”. We also modified the project’s final research question to read ‘Which policies and programmes have been most successful at promoting ethnic minority development in Vietnam?’ (from ‘Which policies and programmes have succeeded, and which have failed, to promote ethnic minority development in Vietnam?’). These rewordings may seem minor but made the project summary more acceptable to government officials and researchers, especially when the project outline was translated into Vietnamese.

Second, the location of the third province for fieldwork/policy process interviews was shifted from the Central Highlands to the Mekong River Delta. This was primarily because it proved impossible for the project to obtain the necessary research permissions to work in the Central Highlands. Most foreigners, in particular researchers, experience serious difficulties in obtaining government permission to conduct research in the four provinces in the politically sensitive Central Highlands. After several months of trying to obtain permission to conduct policy processes in the Central Highlands (including approaches to the small number of NGOs with permission to work in one of the Central Highland provinces), the Principal Investigator was advised that our local counterpart institution was not prepared to push the matter further, and that an alternative less sensitive region should be chosen. So an alternative province (TraVinh in the Mekong River Delta region) which has a substantial ethnic minority (Khmer) population was selected. Permission to conduct research there was forthcoming. The ESRC were notified and agreed to this change in the province/region selection in advance.

Finally, although the original project proposal specified that it would analyse “the 1993 and 1998 Vietnam Household Living Standards Surveys, and the 2002, 2004 and (if available) 2006 Vietnam Household Living Standards Surveys (VHLSS)”; in practice our analysis has focused on the 1993, 1998 and 2004 surveys. This was for two reasons.

Firstly, our analysis of ethnic differentials using the 2002 VHLSS were inconsistent with the results of 1993, 1998 and 2004 surveys. This inconsistency seems to be related to the presence of large non-sampling errors in the 2002 survey which, in turn, were related to its larger sample size and 2002 being the first year the VHLSS had been fielded.

Secondly, although a preliminary and incomplete version of the 2006 VHLSS was made available to some researchers (including the Principal Investigator) by the World Bank in late 2007, the final version of the 2006 data had still not been officially released by the end of the project.

8. Contributions to the aims and objectives of the ESRC/DFIDScheme

Your project was funded under the Joint ESRC/DFID Scheme for research on international poverty reduction. Please describe your project's contributions to the Scheme’s overall objectives, and note any impacts on your project resulting from your involvement in any Scheme activities or outputs.

The ESRC-DFID scheme’s overall objective is: "to fund world class scientific research on issues relating to economic development and quality of life in less developed countries with the potential for impact on policy and practice for poverty reduction".

This project has contributed to this objective, with specific reference to ethnic minority underdevelopment in Vietnam, in the following ways:

- deepening understanding of which ethnic minority groups in Vietnam are most disadvantaged.
- reviewing the successes (and failings) of Vietnam's numerous policies and programmes to promote ethnic minority development.
- conducting rigorous microeconometric analysis to uncover the drivers of Vietnam's widening majority-minority gap. Since more than half of the ethnic gap is due to differences in returns rather than endowments, this suggests that Government and donor agencies' traditional focus on improving infrastructure and household endowments in the remote, mountainous areas will be insufficient to eliminate the ethnic gap.
- engaging with organisations and individuals within key government, donor and NGO agencies within Vietnam to discuss the ethnic minority issues in general, and the objectives, emerging findings and conclusions of this project in particular.

As some of the largest ethnic groups in Vietnam (for example, the E-de, Gia-rai, Hmong, Khmer, and Thai) are also live in neighbouring countries, the project's findings also have potential relevance to
Some of the econometric methods used to analyse and decompose the ethnic gap have not been used in this context before (and dynamics quantile decomposition techniques are themselves relatively new), so there may also be wider methodological lesson for other developing countries with disadvantaged ethnic (or indigenous) populations.
Project title | Averting 'New Variant Famine' in Southern Africa: building food-secure livelihoods with AIDS-affected young people
---|---
Number | RES-167-25-0167
PI | Dr Nicola Ansell, Brunel
Dates | 1 May 2007 – 30 April 2009
Form type | Old

**Original objectives**

The ultimate research aim is to generate new, in-depth understanding of how AIDS, in interaction with other factors, is impacting on the livelihood activities, opportunities and choices of young people in rural Lesotho and Malawi. This will support the development of policies and interventions that will enhance AIDS-affected young people's prospects of achieving sustainable, food-secure livelihoods across southern Africa.

**Research Objectives**

1. To improve understanding of the ways in which AIDS is impacting on young people's involvement in household livelihood strategies in rural southern Africa
2. To assess the ways in which the wider policy, institutional and economic environments condition the context-specific livelihood opportunities available to AIDS-affected rural young people
3. To elicit AIDS-affected young people's perspectives on their current situations and future prospects, and to understand how their aspirations and decisions are shaped
4. To improve understanding of spatial dimensions of rural young people's livelihood responses to AIDS
5. To generate evidence in relation to the 'New Variant Famine' (NVF) hypothesis, particularly regarding the long-term food security implications of the impacts of AIDS on young people
6. To work with a range of actors, including young people, development practitioners and policy makers, to develop guidelines for appropriate policy responses and interventions to support AIDS-affected young people in achieving sustainable livelihoods
7. To provide an innovative model for similar studies in other settings

**Research Questions**

1. In what ways are AIDS-affected/unaffected young people involved in livelihood activities?
   a. Differentiation by morbidity/mortality profile of household/family
   b. Differentiation by age, gender, age at orphanhood, family circumstance
   c. Extent of participation/control over livelihood activities
   d. Changes over time in relation to changing micro- and macro-conditions
   e. Spatiality of involvement (eg experience of livelihood-related migration)
2. What livelihood opportunities are available to AIDS-affected young people and what shapes access to these?
   a. Access to livelihood assets: human (education, skills, knowledge, health care including anti-retrovirals), natural (land, livestock, environmental resources), financial (savings, income, credit), physical (equipment), social (kinship/widernetworks and their spatial distribution)
   b. Roles of socio-spatial relations of class, gender, age, kinship and generation and the impacts of AIDS on these
   c. Significance of morbidity/mortality profile of household/family
   d. Significance of age, gender, education, urban/rural background, family circumstance etc.
   e. Political-economic factors, including economic change, legislation and government policy
   f. Local environmental and economic conditions and institutions, including schools
   g. Customary practices and attitudes towards youth
   h. Effects of current child/youth-focused policy interventions
3. How do AIDS-affected young people make decisions about livelihood strategies in their transitions to adulthood?
   a. Values, aspirations, perceived needs and expectations (including in relation to migration)
   b. Cultural repertoires drawn upon
   c. Roles of family and peers (both locally and elsewhere)
   d. Intentional and unintentional aspects
4. Do the livelihood strategies adopted reduce or increase long-term vulnerability?
   a. Current and past experiences of food shortage and their relationship to changing livelihood opportunities
b. Development of realistic scenarios of likely long-term consequences for food security

5. How might AIDS-affected young people’s prospects of achieving sustainable rural livelihoods as adults be enhanced?
   a. Appropriate interventions by government, non-governmental, faith and community-based organisations

**Objectives listed in EOA report**

The research aimed to generate new, in-depth understanding of how AIDS, in interaction with other factors, is impacting on the livelihood activities, opportunities and choices of young people in rural southern Africa. This was intended to support the development of policies and interventions that enhance AIDS-affected young people’s prospects of achieving sustainable, food-secure livelihoods throughout the region. The following objectives remain unchanged from the original proposal:

1. To improve understanding of the ways in which AIDS is impacting on young people’s involvement in household livelihood strategies in rural southern Africa
   *Objective met.* See discussion of research questions 1, 2 and 3 below. The report concludes that AIDS is having varied but seldom systematic impacts on young people’s livelihood activities.

2. To assess the ways in which wider policy, institutional and economic environments condition the context-specific livelihood opportunities available to AIDS-affected rural young people
   *Objective met.* See question 2 below.

3. To elicit AIDS-affected young people’s perspectives on their current situations and future prospects, and to understand how their aspirations and decisions are shaped
   *Objective met.* See question 3 below.

4. To improve understanding of spatial dimensions of rural young people’s livelihood responses to AIDS
   *Objective met.* See questions 1-4 below.

5. To generate evidence in relation to the NVF hypothesis, particularly regarding long-term food security implications of the impacts of AIDS on young people
   *Objective met.* See results section below. Evidence suggests that, at the individual level, AIDS is but one of many factors affecting young people’s access to livelihoods and choice of livelihood strategies with impacts differing by individual circumstance. It is unlikely to have a systematic impact on long-term food security.

6. To work with young people, development practitioners and policy makers, to develop guidelines for appropriate policy responses and interventions to support AIDS-affected young people in achieving sustainable livelihoods
   *Objective met.* See question 5 below. A policy briefing is also in preparation.

7. To provide an innovative model for similar studies in other settings
   *Objective will be met.* The benefits and weaknesses of the methodology are discussed below and are being addressed further in a conference paper and journal article in preparation as detailed under ‘Outputs’.

8. Contributions to the aims and objectives of the ESRC/DFID Scheme

Your project was funded under the Joint ESRC/DFID Scheme for research on international poverty reduction. Please describe your project’s contributions to the Scheme’s overall objectives, and note any impacts on your project resulting from your involvement in any Scheme activities or outputs.

The project has produced considerable new insight into the way in which AIDS impacts on rural young people in southern Africa and the likely impacts on future food security. Although the research suggests that impacts are not systematic and generalised, a range of impacts affecting particular young people in diverse ways have been identified, and protecting factors also uncovered. Moreover, the project has produced new understanding of how poor rural young people in general can be assisted to access skills, start businesses, inherit property etc., whether they are AIDS-affected or not.

The research findings do not support the targeting of interventions on those affected by AIDS, therefore the insights gained from the project can be used for poverty alleviation among rural young people in general. The outcomes of the research are also supporting conceptual development around livelihoods and young people. Non-academic stakeholders have been engaged with throughout the project. The results thus have real potential for impact on policy and practice for poverty reduction.
The PI attended a Scheme workshop on research impact, which encouraged a rethinking of how to ensure that the research influences those who are able to bring about change. This workshop took place after the field research was completed, but will inform the preparation of proposals for follow-on funding from the ESRC and ‘International Engagement’ support from the Wellcome Trust.
Aid salary discrepancies and development workers’ performance

RES-167-25-0169

Dr Stuart Carr, Massey University

1 March 2007 - 28 February 2010

Old [but different to all other forms]

(a) Innovate new micro measures of pay discrepancy, alignment and harmonisation
(b) Assess the motivational constructs of guilt, superiority, indignation, and withdrawal using reliable and valid (multi-item) measures
(c) Broaden the scope of criterion variables to include the job performance indicators job satisfaction, mental health/emotional resilience, and intentions to leave versus stay in the job (brain drain)
(d) Test for robust versus context-contingent links between (a) and (b)
(e) Test for linkages between (b) and (c), thereby linking pay discrepancy, alignment and harmonisation to individual work performance in technical cooperation projects
(f) Create a psychometrically sound instrument that allows for the motivational affects of pay discrepancy on work performance to be assessed in other settings
(g) Contribute to poverty reduction through enhancing the work performance of aid workers.

Objectives listed in EOA report

Aims

1. Document the extent of salary discrepancies in aid work. We used the appropriate World Bank’s Purchasing Power Parity (2007) to measure aid salaries in the sample taken from the six nations/types of economy. According to this widely respected indicator, which controls for fluctuations between countries in terms of actual spending power, we were able to document that the extent of salary discrepancy was 4:1, with wide variations depending on type of economy (emerging, landlocked, and Island; for details, Results, below).

2. Explore their consequences for work performance. Many aid and civil society organisations do not have standardised work performance management systems and measures. Hence we used standard indicators of work performance: Justice at work; motivation at work; and turnover intentions, including global mobility. Local salaries were significantly unjust and de-motivating compared to international salaries. Justice and motivation levels resulting from dual salaries were significant predictors of mobility, over and above general job satisfaction and work engagement, and after controlling for training, experience, gender, cultural differences, culture shock, personality, socially desirable responding, and organisation (Results, below).

3. Determine the potential for salary alignment and harmonisation to boost cooperative work performance, build capacity and more effectively address the challenges of poverty reduction. Once the results of the main survey were collated, we took the summarised data to in-country workshops in each of the six sites. Stakeholders and subject-matter experts (both local and international, though principally local even though both were invited in equal numbers) were invited to interpret the data and make considered recommendations (Aguinis et al, 2009). Their final, considered recommendations, often reached by consensus, ranged from abolishing the system to merely closing the gaps; enacting policies like localisation and salary review; and implementing more equitable career and performance management processes.

Objectives

(a) Innovate new micro measures of pay discrepancy, alignment and harmonisation.
Several such measures were designed, tested and evaluated for reliability and validity. These included the ratio between the purchasing power parity of international-to-local salaries within each country (Alignment Index Discrepancy [AID]). We used the AID indicator to compare local workers paid locally versus internationally, and international workers paid locally (Harmonisation Index Discrepancy [HID]). We found a lack of harmonisation between both local and expatriate workers paid internationally versus locally (HID index > 3.3:1, for both local and expatriate groups).

(b) Assess the motivation constructs of guilt, superiority, indignation, and withdrawal using reliable and valid (multi-item) measures.

Guilt was measured using a variety of items, none of which statistically differentiated between the different pay and remuneration groups. We estimate that drops in AID since the original study (Carr et al, 1998) may be responsible. Superiority was measured using a 4-item self-report index of Ability, compared to international and local colleagues (Carr et al, 2010). This measure proved structurally
and internally reliable across regions, countries, and levels (organisation, and the regions Oceania, Africa, and Asia). During pre-testing, “Indignation” did not appear to have face or construct validity and was subsequently replaced by a reliable multi-item measure of work justice. “Withdrawal” was operationally defined into a multi-item measure of work motivation/de-motivation, which subsequently and scored well on cross-cultural, cross-level reliability (Carr et al, 2010).

(c) Broaden the scope of criterion variables to include the job performance indicators job satisfaction, mental health/emotional resilience, and intentions to leave versus stay in the job (brain drain). We included published and internationally-tested measures of job satisfaction and mental health/emotional resilience, namely the Michigan Organisational Assessment Questionnaire (Highhouse & Becker, 2005) and the Utrecht Work Engagement Scale (Schaufeli et al, 2006). We did not find an established measure of brain drain, hence developed our own 3-term measure which proved to have a reliable factor structure across regions and at the organisational as well as individual level (Carr et al, 2010).

(d) Test for robust versus context-contingent links between (a) and (b). We found the sharpest levels of de-motivation inside countries where the AID was also sharpest (Lefkowitz, 2010). In these countries, the AID also exceeded the average national threshold at which the gap became unacceptably large, in workers’ estimation. The lower a local salary tended to drop, the more likely it was that local respondents reported that their remuneration did not meet their everyday needs. To the extent that AID captures international: local ratios, not expatriate-to-local ratios, and within each country and sector there are expatriates on local pay and local workers on international pay, there is no reason why these effects would not extend from non-aligned to non-harmonised remuneration. Thus links between (a) and (b) seem robust than context-contingent.

(e) Test for linkages between (b) and (c), thereby linking pay discrepancy alignment and harmonisation to individual work performance in technical cooperation projects. We found that sense of work injustice had a highly significant linkage to levels of de-motivation among workers remunerated locally, with organisation variables controlled. Sector did not have a significant effect on any criterion variable, implying that type of work, eg, technical cooperation projects, does not moderate the linkage between remuneration alignment and harmonisation on the one hand, and work performance on the other.

(f) Create a psychometrically sound instrument that allows for the motivational effects of pay discrepancy on work performance to be assessed in other settings. We have developed the first psychometrically reliable measure of the motivational effects of pay discrepancy on work performance. The ADDUP Indicator gauges the extent to which remunerations are compared across and within pay categories; sense of justice in the ratio; level of motivation and de-motivation attached to the gap; confidence in one’s workplace Ability; turnover intentions and intentions to leave the country (brain drain for local workers, possible early return for expatriates). These factors were successfully differentiated from other measures taken, including cultural values (Triandis & Gelfand, 1998) and personality (McManus & Furnham, 2006). However we caution that the analysis was exploratory not confirmatory, and the factor structure in any other context would need to be confirmed before being applied with confidence.

8. Contributions to ESRC Programmes

If your project was part of an ESRC Research Programme, please describe your contributions to the Programme’s overall objectives, and note any impacts on your project resulting from your involvement.

The project was funded through the ESRC and DFID Joint Scheme for Research on International Development (Poverty reduction). The project identifies a range of barriers to basic capability and capacity development, taking place in workplaces across a range of sectors, due to dual salary policies: (1) remuneration leaves locally-salaried workers, chiefly local people, below the poverty line, defined as not meeting everyday needs; (2) technical cooperation is impeded by the sense of injustice and comparative disadvantage that permeate dual salary systems; (3) organisational climate is a moderator of the linkages in (2), implying that organisations can become points of intervention to render pay and benefits more fair, and thereby improve human services, productivity, and poverty reduction itself. Keeping the Promise (UN, 2010) calls for greater attention to organisations.
Social movements have been viewed as vehicles through which the concerns of poor and marginalized groups are given greater visibility within civil society, have been lauded for being the means to achieve local empowerment and citizen activism, and have been seen as important in holding the state to account and constituting a grassroots mechanism for safeguarding democracy. However, remarkably little attention has been paid by professional researchers and development commentators to: (i) establishing the overall significance of social movements to poor people; and (ii) the strategic choices facing such grassroots movements, their preferred strategies and the effectiveness of these strategies in given political and economic contexts. This study will explore these knowledge gaps with reference to social movement activity in Peru and South Africa.

The project has the following research objectives:

- To map the overall significance of social movements for poverty reduction
- To document and analyse the strategies used by these social movements
- To identify those social movement strategies that are recognized to have secured enhanced inclusion and recognition, and the redistribution, transfer or generation of material benefits
- To analyse the influence of state regime type on social movements’ choice of strategy and the relative success of these strategies
- In all the above, to consider ways in which social movement strategies and activities incorporate the poorest.

These objectives are summarized in three research questions:

1. How important are social movements in poverty reduction?
2. What dimensions of movement type and political context affect movement choice of strategy?
3. What dimensions of movement type and political context determine the effects of these strategies?

In addition to its research objectives, the research seeks to promote discussion among social movement leaders and researchers concerned about the role of social movements in poverty reduction agendas. In the UK, it sought to open up the area as one of further collaboration among researchers.
**Project changes**

There were no changes to the aims and objectives.

ESRC granted four months no cost extension to the project. This was initially because of time lost due to bereavements in the immediate family of one partner researcher and illness of the other, and secondly in order to have flexibility in fixing the date of the final UK workshop.

There were no changes to institutional affiliation or project staffing during the project.

Given the sharp fall of sterling to the US dollar, and because sub-contracts with partners in Peru were in dollars, there was a short-fall in the Peruvian partner’s budget due to these exchange rate movements. ESRC agreed to cover this difference at the end of the project.

e) **Contributions to wider ESRC initiatives (eg Research Programmes or Networks)**

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

This project was part of the ESRC-DfID scheme on Poverty. While there has been little direct contact with the other projects in the scheme, in our cohort we were one of a very few projects that considered social and membership organizations, or political dimensions of poverty alleviation.

We also interacted with the initiative to understand pathways through which impact can occur in the scheme, and a case study of this project was prepared by the consultant on that initiative, Katie Wright-Revolledo.
Project title | Factor Endowments, Biased Technological Change, Wages and Poverty Reduction: Can Genetically Modified Crops Bring a Green Revolution to SSA?
---|---
Number | RES-167-25-0187
PI | Professor Colin Thirtle, Imperial College London
Dates | 1 November 2006 – 30 November 2008
Form type | Old [scanned]

Original objectives

Fundamental objective: To reduce poverty in SSA, which is the only region where poverty is expected to worsen by 2015. The Green Revolution (GR) was and is land saving and labour using, but GM maize has the opposite biases. If land is the constraint, employment could be halved and poverty increased. If planting labour is the bottleneck and land is not scarce, expansion can double output, increase employment and reduce poverty. So determining the factor scarcities in SSA is essential.

Academic Objectives: New Data and Methods

Failure in SSA has frequently been because data were inadequate to differentiate between success and failure, so policy decisions have been poor. Recording the impact of GM crops, with labour data is essential to determine the poverty impact, post HIV-Aids. These primary data will be an important resource for the future. Primary micro data for GM maize in SA, will focus on household differentiation, labour, employment and livelihood impacts post HIV.

We will develop new models - damage control function in a stochastic frontier model - selectivity, switching and matching techniques (new in development economics) - damage control function extended to a flexible risk model – stochastic dominance applied to GM in risky environments.

Secondary SSA data develops new productivity indices, merged with new R&D data from ISNAR, new technology indicators, patent data from Yale, World Bank governance measures and our institutional efficiency variables. This is used in an error correction model, with panel data to investigate how factor endowment and biases affect R&D impacts and technology transfer.

Secondary international agricultural productivity data merges new ILO and World Bank data on wages with productivity indices and governance measures. This is used to determine the effects of biases and factor endowments on agricultural wages, which has not been done. In the final link to poverty reduction, the international dataset merges all poverty surveys with macro data. The model will be novel in incorporating wages and institutional variables in a structural transformation framework to encompass the increasing importance of agricultural and industrial wages.

Practical Objectives

Informing the Policy Process: Making policy is not our job, but an important objective is to provide the best information, which is the key to successful policy decisions. This starts with informing the agriculture ministries and the NARS of what GM can and cannot do, and how the current varieties need to be adapted to SSA conditions and used in combination with locally appropriate techniques. We will also identify the institutional arrangements required to support the technology and the public/private organisational alliances that can ensure the technology is both bundled so it is both pro-poor and disseminated across South and East Africa. Thus, a further objective is to advise the NARS staff on how they can collaborate with the seed companies, other input suppliers, provincial extension services and each other to best ensure the transfer of appropriate GM technology.

Correcting Misinformation: There is a danger that the bad press GM has attracted will curtail investment such that productivity growth opportunities in the LDCs will not be realised. In SSA this extends to rumours that wearing GM clothing causes sterility. But equally, field trials show massive gains that are unbelievable. It is our objective to make Governments, consumers and other stakeholders aware of the real opportunities and dangers while disabusing them of false information.

Meeting MDG Poverty Reduction Targets: It is still unclear how poverty can be reduced in SSA, as the Asian model is not directly transferable. Our objective is to provide policy guidance, supported by econometric evidence on choice of appropriate technologies, the institutional environments and the likely reductions in poverty that result.

Objectives listed in EOA report [full report had to be download from ESRC website]

We stated objectives very succinctly, as we also listed shortcomings in existing knowledge and research questions.

The objectives were to:

1. predict the impact of GM on output growth, employment, wages, food prices and livelihoods,
according to factor endowments and agro-climatic zones
2. assess the overall impacts on labour incomes and finally on poverty reduction
3. inform the policy process by providing national and provincial agriculture departments and national agricultural research services with the options available and likely outcomes of GM adoption

We think 1) has been answered, but for SSA and Africa relative to Asia, as trying to separate climatic zones was not enlightening. 2) was answered in some detail. We collected information on days of family labour by task by gender and by age group and days and costs of hired labour by task.

Simulations of the impact of GM in Malawi are reported below. This modelling allows us to estimate the net output, income and employment effects, which cannot be done directly from the survey. The third objective was clearly met and the details are given in the final sections of this report. We are particularly pleased that the biotechnology regulatory authority requested a special report on our findings (Gouse et al., 2008). There are also presentations at conferences, published papers and reports and we have directed a wide range of interested parties to the website. See details below.

The objectives relating to the background study were stated in more detail as research questions, answered in Piesse and Thirtle (2008), which is published in a special issue of a journal on agricultural biotechnology.

1. How different were the rates of agricultural productivity growth in Africa, Asia and Latin America and how different were the factor saving biases?
2. Do factor proportions play a major role in explaining the rate and biases of technological change, across space and time, during the GR era? Do the biases of the GR technologies fit the factor proportions in Asia and Latin America better than in SSA? Are these differences between Asia and Africa important in accounting for Asian success and comparative failure in Africa, or do markets, institutions and infrastructure dominate?
3. Do the biases of the GR technology really explain its impact on wages and non-wage labour incomes in Asia and SSA? How much do lower food output prices account for rises in real wages and poverty reduction?
4. What is the poverty reduction elasticity of GR-driven agricultural output growth across time and space? Is it the same in SSA and Asia?
5. Do the partial productivities of land and labour have different poverty impacts, especially in SSA?

We think the paper addresses all of these concerns. We discuss our answers further in the Results section that follows. The other objective, discussed in Section 4 of the proposal, was to test this proposition raised by Lipton.

The survey and the household model also relate to all the objectives and are discussed in Section 7 of the proposal. The objectives relating specifically to these parts of the study were again stated as research question, but the publication on the 2006/07 data (Gouse et al., 2009) does not explicitly answer them. The main aims that have been addressed can be summarised as the need to measure:

1. the output and employment effects of the GM varieties
2. the labour use by task and type, to determine the employment impact more explicitly
3. the impact on household incomes (but the details listed proved to be hard to determine)
4. the impact on households that are resource poor and depend substantially on wage labour.

Contributions to ESRC Programmes

Not part of a programme
The main objective of the proposed research project is to shed light on the living conditions and sources of finance and social support (both state and family) amongst older people living in the seven poorest countries of the former Soviet Union / Armenia, Azerbaijan, Georgia, Kyrgyzstan, Moldova, Tajikistan, and Uzbekistan (known as the CIS-7). A secondary aim is to disseminate these findings to key stakeholders, both regionally and within the international donor community, and to influence the poverty alleviation programmes in these countries.

The project will use a mixed method design, combining quantitative analysis of recently available household survey data, with qualitative research providing insight into the reality of life for older people today. The quantitative research will provide a cross-national picture of the welfare of older people in the region using objective measures of welfare such as money metric measures of poverty. This however will tell only part of the story. The qualitative research will shed light on subjective welfare and the quality of life as experienced by older people themselves and will provide an insight into how older people in the region have been affected by the massive societal changes of the last 15 years.

Key research questions to be addressed are:

- What are the living conditions of older people in the region?
- How do poverty rates vary across age groups? Are older people more or less likely to be at risk of being poor? How does this vary across countries and social groups?
- What is the role of the extended family in providing economic and social support to older people? What is the role of older people in providing support within the extended family, particularly to children in their role as grandparents?
- How have social networks been affected by the extensive migration that has taken place in the region? What, if any, are the particular problems faced by older ethnic Russians who have remained in the Central Asia Republics. What is the role of remittances? What other coping strategies have older people adopted?
- How are current formal system of social protection delivering? How might they be reformed?
- What are the views and priorities of older people themselves? How can their concerns be best taken into account by policy makers and civil society?

The research aims and objectives are highly relevant to the joint DFID-ESRC Scheme for research on international poverty reduction. The countries of the CIS-7 have suffered some of the most severe reversals in human development witnessed over the last 15 years. For example, since 1990, Tajikistan has fallen 21 places in the UNDP Human Development Rankings. Obtaining greater insight into how the lives of older people have being affected by the socioeconomic transformations of the last 15 years, and relative role of the state and family in both providing support to and benefiting from the contribution of, older people will aid the formulation of poverty alleviation programmes in this region of the world and elsewhere.

Objectives listed in EOA report

The main aim of the proposed research project has been to shed light on the living conditions and sources of finance and social support (both state and family) amongst older people living in the poorest countries of the former Soviet Union.

By providing new and robust empirical evidence regarding the key issues confronting older people, the project aims to inform the design of appropriate poverty alleviation programmes.

Project changes

The original aims remain unchanged, although it proved impossible to access recent survey data for Uzbekistan. Therefore most of the empirical analysis is restricted to Armenia, Azerbaijan, Georgia, Kyrgyzstan, Moldova and Tajikistan.

The project experienced significant changes in staffing. The original application named two research
fellows: Dr Gail Grant (qualitative researcher) and Dr Angela Baschieri (quantitative researcher, 0.5FTE). Between the application and start of the grant, Angela Baschieri successfully applied for a Lectureship at LSHTM. She remained involved in the project throughout, although with a reduced input of 0.2 FTE. During Autumn 2007, Gail Grant suffered from a series of illnesses and from January 2008 she moved from 1 FTE to 0.6 FTE.

The project was originally funded for 18 months, 1st August 2007 – 31st January 2009. Given the reduced research fellow time input, a no cost extension was sought and granted to extend the project by six months to July 2009. In Autumn 2008, Dr Grant’s husband was diagnosed with Alzheimer’s; this necessitated her taking a period of unpaid leave, delaying the final fieldwork in Moldova. As a result ESRC granted a further 5 month no cost extension to December 2009.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

This research was funded under the joint ESRC/ DFID scheme. The aim of the scheme is to enhance the quality and impact of social science research addressing the key international development goal of reducing poverty amongst the poorest countries and peoples of the world. The research does that in 3 ways:

1. Focussing on the poorest countries of the CIS-7
2. Focussing on one of poorest groups
3. Working with local researchers to improve local research capacity.
The project sought to understand factors leading to the success of community mobilisation efforts, in a context where community mobilisation is (a) a key commitment of health and development policies, yet (b) difficult to achieve – with the failures better evidenced than the successes. While evaluation research has typically looked ‘within’ projects to understand reasons for their success or failure, our perspective focuses on the social relationships between the projects and the powerful groups which form their wider context.

The objectives were:

1. To produce an analysis of the key social conditions and organisational structures which support community mobilisation, by comparing two successful sex workers' organisations.
2. To promote community mobilisation under conditions of extreme poverty by disseminating recommendations for action to a range of actors in the field of development.
3. To produce useful tools for sex workers to advance their interests in social development, on the basis of the research findings.
4. To contribute evidence-based recommendations for social policies to support effective community mobilisation.

Project changes

No substantive changes were made to the aims or objectives.

A minor change to staffing took place, after discussion with the ESRC. The original project proposal indicated that a single research consultant would be employed, to cover the case study sites in both Maharashtra and West Bengal, working with an interpreter in one of these areas. At the recruitment stage, it became evident that the project would be better served by two research consultants, one in each case study site, and thus we recruited 2 research consultants.

The duration of the project changed from the original proposal (from 25 months to 39 months), with 2 no-cost extensions being granted. The first (Mar 2008-Sept 2008) was to cover the PI’s maternity leave, and the second (Nov 2009-May 2010) was to enable the completion of the major academic output of the research, namely a special issue of the journal *AIDS Care*, on the topic of ‘The social context of community mobilisation’ (forthcoming, 2010).

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

This project was part of the ESRC-DFID scheme.

There have not yet been many formal opportunities to engage with the scheme funders or other award holders. Anuprita Shukla (one of the researchers) took part in a workshop organised by Dr Glyn Williams (Sheffield), as part of his research on ‘Embedding Poor People’s Voices in Local Governance’, which is also funded by this scheme. From participation in this workshop, we gained useful networking with colleagues, and exposure to the research and engagement methods of others.
– all of which have benefited our subsequent work.

We will continue to co-operate and engage with the scheme funders and other scheme award holders and will attend any appropriate future scheme activities that arise.
**Project title**  
Governance Implications of Private Standards Initiatives in Agri-Food Chains

**Number**  
RES-167-25-0195

**PI**  
Dr Anne Tallontire, University of Greenwich

**Dates**  
1 May 2007 – 9 May 2010

**Form type**  
New

### Original objectives

The overall objective of the project is to examine the governance implications of private standards initiatives (PSIs) in agri-food chains, particularly with respect to southern actors and institutions by developing a conceptual framework that draws on value chain analysis and insights from approaches to regulation.

There are three specific research questions:

1. How can we characterise the nature of governance in private standards initiatives? Here we are concerned with internal governance of PSIs, how they operate and who is included and excluded both in terms of national organisations and along the value chain.
2. What are the governance implications of "private standards initiatives" applied in agri-food chains, particularly with respect to actors and institutions in the south? Here we wish to explore the relationships between the PSIs and other actors and institutions in the south: with whom do the PSIs consult? what complementarities are they between PSIs and existing institutions and indeed what conflicts or overlaps?
3. How do private standards initiatives change the relationship between the private sector and national institutions of governance, with respect to standards in the agri-food chain? Here we wish to explore in more depth the implications of the relationships mapped out earlier, drawing on the conceptual framework and with a particular focus on the wider governance issues. We will explore how existing institutions are affected, both positively and negatively.

The overall hypothesis is that PSIs in agri-food chains have potential to displace and/or change domestic institutions of governance. Our research has implications for national institutions, accountability, local governance and democracy. Particular concerns are the sustainability of these initiatives, their effects on the capacity and legitimacy of existing institutions (eg trade unions, government regulators). However, they may lead to a process by which previously unheard voices are recognised, that is the new PSIs may open a space for engagement with workers and smallholders who have been excluded from policy debate. However, equally they may reproduce and reinforce existing power relations.

### Objectives listed in EOA report

The overall objective of the project is to examine the governance implications of private standards initiatives (PSIs) in agri-food chains, particularly with respect to southern actors and institutions by developing a conceptual framework that draws on value chain analysis and insights from approaches to regulation.

There are three specific research questions:

1. How can we characterise the nature of governance in private standards initiatives?
2. What are the governance implications of "private standards initiatives" applied in agri-food chains, particularly with respect to actors and institutions in the south?
3. How do private standards initiatives change the relationship between the private sector and national institutions of governance, with respect to standards in the agri-food chain?

The overall hypothesis is that PSIs in agri-food chains have potential to displace and/or change domestic institutions of governance. Our research has implications for national institutions, accountability, local governance and democracy.

### Project changes

The original aims and objectives have not changed, but rather they have been refined as the conceptual framework has developed.

The grant holder’s institutional affiliation has changed from the University of Greenwich to the University of Leeds (from September 2007).

The ESRC granted a 12 month no-cost extension to the Award due to the change in the grant-holder’s institutional affiliation (and corresponding increase in teaching and administrative duties) and to account for the delay to the start of field work due to the post-election violence in Kenya in early 2008. £3844.00 was allocated for administrative support by B J Oakenfull (directly incurred post). Such support was not available when the Award was moved to Leeds. Some of this has been vired to fund some ad hoc research assistance in the latter stages of the project.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)
If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

This project was part of the ESRC-DFID scheme on Poverty. We have only had contact with other projects in the scheme through participation in the workshop on enhancing impact in May 2008 and will be presenting our experience of the scheme at the ESRC/DFID scheme application workshop at Leeds Metropolitan University on 23rd July 2010.

Some of the insights from this project are informing a large impact assessment study we are conducting on social and environmental standards funded by DFID. This is being undertaken in four countries, including Kenya and aims to provide systematic evidence on the differences (or not) that standards can make to workers and smallholders. We are drawing on the insights from this project to inform our understanding of what determines impact in different scenarios of value chain governance.

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<td>Number</td>
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<td>PI</td>
<td>Dr Robin Burgess, LSE</td>
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**Original objectives**

1. To provide a new data source that will enable us to track development in Indian districts over a 130 year period.
2. To improve our understanding of how railway and bank branch expansion in India affected the pattern of economic development and poverty reduction across the 1870-2000 period.
3. To provide advice to the policy community on the mechanisms through which infrastructure investment affects development outcomes both via promoting long term development and via the mitigation of shocks.
4. To test the validity of existing theories of trade by using railway expansion in the British period as an experiment in reducing transport costs.
5. To better understand the role that railway expansion played in reducing the incidence of famines and starvation related deaths in India.
6. To better understand the mechanisms via which bank branch expansion in the post-Independence period reduced rural poverty.
7. To create a new district panel data set for seven East African countries over the 1950-2000 period covering roads, politics and development outcomes.
8. To analyse whether African leaders favoured districts from which they originated or which shared their ethnicity.
9. To examine political biases in road placement in Africa as a possible cause of the uneven pattern of development within East African countries.
10. To better understand what precisely are the development benefits of districts obtaining larger investments in roads.
11. To provide recommendations to the policy community on how infrastructure provision can be used to promote development in sub-Saharan Africa.

**Objectives listed in EOA report**

- Provide a new data source that enables us to track development in Indian districts from 1870-2000 - Improve our understanding of how railway and bank branch expansion in India affected the pattern of economic growth and poverty reduction over the period - Provide advice to the policy community on how infrastructure investment affects development outcomes in India via long-term development and mitigation of shocks - Test the validity of existing theories of trade by using railway expansion in the British period as an experiment in reducing transport costs - Understand the role that railways played in reducing the incidence of famines and starvation-related deaths in India - To better understand the mechanisms via which bank branch expansion in the post-Independence period reduced rural poverty - Create a new district panel data set for East African countries from 1950-2000 covering roads, politics and development outcomes - Analyze whether African leaders favored districts from which they originated or shared their ethnicity - Examine political biases in road placement in Africa as a possible cause of uneven patterns of development within East African countries - Better understand the precise development benefits of districts obtaining larger investments in roads - Provide recommendations to the policy community on how infrastructure provision can be used to promote development in Sub-Saharan Africa

**Project changes**

The project allocated a portion of the travel budget to finance the hiring of additional Research Assistants. This was needed in order to complete extensive and complex data collection tasks in the UK, India and Kenya. This
budget change helped to foster research skills and capacity of three PhD students who are supervised by the grant holder. ESRC has also condoned the purchase of a desktop instead of one laptop. Within the topic of infrastructure in India, our emphasis has been mainly on transportation infrastructure (and particularly railways), although the role of banks in avoiding excess mortality and reducing poverty through shock mitigation is also addressed. Finally, within the East African section of the project, we have focused on Kenya as this proved to the most promising country in which to look at ethnic favouritism and also the place where we were able find data on road-building, politics and development outcomes in colonial and post-colonial periods.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks) If your project was part of a wider ESRC initiative, please describe your contributions to the initiative's objectives and activities and note any effect on your project resulting from participation.

The project has substantially contributed to ESRC-DfID Joint Scheme for Research on International Development (Poverty Alleviation), whose purpose is to “provide a more robust conceptual and empirical basis for development, and the achievement of the Millennium Development Goals (MDGs).” The project provides knowledge that is central to achieving MDGs on poverty and hunger, as well as to improving health and promoting environmental sustainability, which are central to the objectives of the ESRC-DfID Joint Scheme for Research on International Development (Poverty Alleviation). The project has helped to reinvigorate the study of infrastructure and its impacts on development outcomes. Following the inception of the project the study of infrastructure has formed a central part of the DFID Funded Research Consortium for Improving Institutions for Pro-Poor Growth (iiG) and there is now also an Infrastructure Research Program in the DFID funded International Growth Centre. The IGC is headquartered at the LSE where the grant holder is the Academic Director of this new organization. Our new data sets on district development outcomes in India and Kenya have the additional benefit of allowing future researchers to identify development effects of certain policies that cannot be investigated with cross-country data.
Strengthening ODFL systems to increase education access and attainment for young people in high HIV prevalence SADC countries

RES-167-25-0217
Dr Patricia Pridmore, Institute of Education (London)
1 April 2007 – 31 July 2010
New

The central question guiding this study is: How can barriers to education access and achievement presented by HIV and AIDS be overcome using open, distance and flexible learning (ODFL) to complement conventional schooling?

The research will also explore the following subsidiary questions:
1. What ODFL initiatives, structures and networks exist to deliver education to young people?
2. What are the barriers to accessing conventional schooling for young people affected by HIV and AIDS?
3. How can these barriers be addressed through expanding ODFL initiatives and strengthening existing ODFL structures to complement conventional schooling and upgrade the knowledge, skills and empowerment of affected teenagers?

From these research questions the following specific research objectives have been formed:
1. To synthesise existing knowledge, by analysing documents and records and interviewing stakeholders, to identify and critically analyse key ODFL initiatives and structures already in place to deliver education to young people in two Southern African Development Community (SADC) countries, Malawi and Lesotho.
2. To develop new knowledge by developing detailed case studies to describe how households are being impacted upon and reconstructed in high HIV-prevalence communities and to identify associated barriers to accessing conventional schooling for young people affected by HIV and AIDS.
3. To increase understanding of how ODFL can be used to address these barriers by carrying out action research with secondary school teachers and field workers from community-based non-governmental organisations to develop and implement appropriate, small-scale, ODFL interventions that can complement conventional schooling to upgrade the knowledge, skills and empowerment of affected young people.
4. To evaluate the effectiveness of the ODFL interventions in providing education services to affected young people.
5. To disseminate the knowledge generated from this research to enable appropriate, evidence informed development of ODFL policy and practice that will strengthen, better integrate and sustain more effective ODFL initiatives and systems and thereby increase access to education and learning for affected young people, particularly in the SADC.

To expand knowledge, skills and empowerment of young people in high HIV-prevalence areas of the project countries, Malawi and Lesotho, through using open, distance and flexible learning (ODFL) and support as a complement to enrich conventional schooling.

1. To synthesise existing knowledge through reviewing literature and interviewing stakeholders to (i) identify factors that disrupt schooling (ii) analyse key ODFL initiatives and structures to increase access to education for school-aged students (ii) and describe the policy context for ODFL.
2. To generate new knowledge by developing case-studies to describe factors that disrupt conventional schooling and learning in the study-sites.
3. To increase understanding of how ODFL can be used to address these factors by conducting research with school teachers and field workers from community-based non-governmental organisations to develop and implement interventions to complement conventional schooling.
4. To evaluate the effectiveness of the interventions in reducing student absenteeism, drop-out and grade-repetition.
5. To disseminate the new knowledge to enable appropriate, evidence informed development of ODFL policy to better integrate and sustain more effective ODFL initiatives and systems and thereby increase access to education and learning.

In one project country, Malawi, a change was made so that the intervention was carried out in primary schools rather than secondary schools. This change was agreed with the ESRC.
e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

N/A
### Project title
Religion and Childhood Death in India

### Number
RES-167-25-0236

### PI
Dr Sonia Bhalotra, Bristol

### Dates
1 May 2007 - 31 October 2009

### Form type
Old

### Original objectives
1. To establish the stylized facts relating to religion and child mortality in India. To describe the size and persistence of these differentials, and their variation with age, gender, caste and birth-order. To investigate whether a similar differential holds with respect to childhood malnutrition in India. To assess whether a similar differential holds in other countries with Hindu & Muslim populations, eg, Bangladesh, Pakistan, Indonesia.

2. To quantify the relationships between reproductive behaviour and child mortality by religious group, allowing for causal effects in both directions conditional upon unobserved heterogeneity that may be correlated across equations. This is of particular interest, given recent debates pertaining to the higher fertility of Muslims in India.

3. To augment the model with unconventional covariates and to then decompose the observed mortality differential into a part that can be explained by differences in characteristics between the religious groups, and a residual part that may be described as a "religion effect".

4. To investigate the role of persistence at the family and social-group levels. State dependence in mortality amongst siblings suggests family persistence, which can slow convergence of mortality rates between the two religious groups. We also attempt, if tentatively, to investigate whether there is any evidence in the Indian data that social networks are organised at the religion level, and that there are network effects on child mortality. These may arise, for example, through the sharing of beliefs or information.

5. To analyse the allocation of public goods across religious groups. Drawing upon a range of different data sets, this analysis will be conducted at the village, district, NSS-region and state levels. One part of the analysis will investigate political economy considerations. Another part will investigate the extent to which religious (and ethnic) fractionalisation of the community affects access to public goods.

### Objectives listed in EOA report
The main aim of this project was to investigate the seeming paradox indicated in the preceding section, that Muslims in India exhibit substantially lower child mortality than Hindus. Here we set out specific objectives in terms of questions addressed by the individual papers that have emerged. The previous section indicated how the papers tie in with one another and with the main aim.

1. As this is a phenomenon that has not been sufficiently noticed, an initial objective was to profile it. Establishing stylized facts offers insights into likely causes.

2. The objectives of our second paper are to investigate
- whether Muslims exhibit the same advantage within villages as they do overall- this is relevant to understanding the role of community segregation and local public goods,
- the extent to which differences between Hindus and Muslims in a wide set of characteristics and behaviours explain the religion differential. Distinguishing whether the advantage enjoyed by one social group over another is associated with inalienable characteristics or slowly changing cultural practices rather than, for example, with the geographic location of the group is relevant to understanding how easily the advantage may be acquired by the laggard group to bring overall mortality down.
- whether the Muslim advantage in survival goes along with a Muslim advantage in child nutritional status.

The analysis consistently distinguishes low and high caste Hindus. We argue that the layering of religion and caste in Indian society provides an opportunity to identify the effects of religion independently of the effects of (possibly omitted indicators of) socioeconomic status.

3. The objective of our third paper is to endogenise birth-spacing and fertility in the analysis of mortality. This paper makes a more general methodological contribution and addresses wider questions concerning persistence or clustering of mortality within families but, for the purposes of this project, it seeks to establish the extent of the Muslim survival advantage in this more general case.

4. Our fourth paper was motivated to test a hypothesis emerging from paper-2, which is that maternal health in Hindu families is worse than in Muslim families. We do this by investigating differentials in height growth across 31 birth cohorts of men and women across religious groups. Height is an indicator of cumulative net nutritional over the life-course.

5. A sharp test of religion differentials in gender preference is to consider differences in the extent of female
foeticide by religion. We do this in a fifth paper, contributing at the same time to a revival of research on the worsening trend in the sex ratio at birth in the recent two decades (which have seen unprecedented economic growth).

6. Two further papers analyse religion (and caste) differentials in education for the reasons stated in the preceding section.

In the grant application, we listed objectives (1) and (2) above and suggested two further objectives. One was to identify religion networks or information sharing amongst mothers within religious groups. We had flagged this as tentative, suggesting that it may be difficult to achieve with the available data. It was because sample sizes at the village level in our data are too small. We tried to acquire longitudinal data at the district level from the Reproductive Child and Health Surveys of India (RCH) but only one round was publicly available. The other stated objective was to study the political economy of public goods allocation across religious groups. I have initiated a more ambitious project along these lines, involving collaborators from Harvard, Madrid and India- see Impact-Stimulus to Further Research lower down in this document. We have deviated from our original objectives for what we feel are sound reasons but the volume of work done up until completion of the award is larger than was proposed and the new work is equally related to the original objective.

8. Contributions to the aims and objectives of the ESRC/DFID Scheme

Your project was funded under the Joint ESRC/DFID Scheme for research on international poverty reduction. Please describe your project’s contributions to the Scheme's overall objectives, and note any impacts on your project resulting from your involvement in any Scheme activities or outputs.

The research done under this award has involved analysis of social [religion and caste] inequalities or differences in a range of different outcomes: (a) health and survival, (b) education, (c) gender-differentiated nutritional investments and (d) female foeticide. A wider interpretation of poverty in terms of welfare and wellbeing naturally encompasses health, education and gender equality. In this way the research directly addresses poverty.

The research also incorporates income poverty into the analysis. For example, it considers the role of socio-economic differences between Muslims and Hindus in explaining their child health and survival differences; it considers the status-gradient in female foeticide ie whether it is more prevalent in better or worse off households. As a result, the findings can be cast in terms of the income poverty widening or narrowing social differences in health and education outcomes and in sex ratios at birth.
**Project title**  The meaning of health security for disaster resilience in Bangladesh

**Number**  RES-167-25-0241

**PI**  Dr Andrew Collins

**Dates**  1 January 2007 - 1 January 2009

**Form type**  Old

**Original objectives**
The project aims to contribute to a goal of poverty and disaster risk reduction through improved health security. This contribution will be by generating knowledge on health security as part of disaster risk reduction.

The research seeks to progress this field by asking an overall question as to what added value health security brings to livelihood security? The associated questions leading to the objectives identified are:

- How is health security interpreted in terms of disaster vulnerability?
- Which health security indicators of pre-disaster preparedness and sustainable development apply best in contexts of high-risk major incidents?
- How can people monitor health security themselves as part of self-care for disaster resilience at local and wider levels?
- What are the circumstances within which different scales of health security monitoring - local, sub regional, and national - can facilitate early warning of changing thresholds of disaster risk.
- What aspects of health security in Bangladesh make people and places vulnerable or resilient to disasters?
- What is the theoretical basis for implementing an integrated infectious disease risk and poverty reduction agenda as part of disaster risk reduction in Bangladesh.
- How can self-care health security and that provided externally be made more readily accessible to people through health risk management communication and participation?
- What does it mean to mainstream health security into disaster risk reduction.

To this end the following research objectives have been developed for the core focus of this initial project, centred on the case of Bangladesh with application to other parts of South Asia and beyond.

1. Identify how health security influences vulnerability and resilience to disasters.
2. Assess how health security monitoring can facilitate early warning and preparedness against changing thresholds of disaster risk.
3. Evaluate which approaches to health security enable people to monitor resilience as an aid to mitigating the impact of disaster events.

**Objectives listed in EOA report**
This main aim of the project is to assess how health influences vulnerability to major disaster events. This is to contribute to a goal of poverty and disaster risk reduction through improved health security.

The following overall research objectives were developed centred on the case of Bangladesh to:

1. Identify how health security influences vulnerability and resilience to disasters.
2. Assess how health security monitoring can facilitate early warning and preparedness against changing thresholds of disaster risk.
3. Evaluate which approaches to health security enable people to monitor resilience as an aid to mitigating the impact of disaster events.

We have achieved all of our objectives in that we are now in a position to present findings for each of the above. However, we recognise also that each of these are substantive fields of research for which on-going and extensive programmes of work are recommended. They are dynamic areas, which are likely to need to be re-evaluated from one location to the next and over time. One overall finding we refer to is the need for a system of evaluating risk governance such that risks that compromise health security are subject to a locally governed process of risk assessment and risk management. The wider implementation of this policy drive was beyond the remit of this essentially research driven project. However, we are engaged in related projects for which this approach is being implemented, including a ‘people centred hazard and vulnerability’ British Council supported project within which we are researching the efficacy of different types of risk and resilience committee in Nepal, Bangladesh and Mozambique, alongside varied state and community based end users. We also are engaged in an ‘infectious disease risk reduction’ project in Bangladesh and Mozambique supported by the British Council which is complimentary to this ESRC-DFID research. These are just
some of the more practice and policy based activities that run alongside this research, with one activity helping to lend support to the other. The ICDDR,B is similarly engaged in health and development based projects that continue to generate experiences that can be interpreted and supported within the frame of analysis initiated by this ESRC-DFID supported study.

8. Contributions to the aims and objectives of the ESRC/DFID Scheme

Your project was funded under the Joint ESRC/DFID Scheme for research on international poverty reduction. Please describe your project's contributions to the Scheme's overall objectives, and note any impacts on your project resulting from your involvement in any Scheme activities or outputs.

The project aims to contribute to a goal of poverty and disaster risk reduction through improved health security. This contribution will be generating knowledge on health security as part of disaster risk reduction. The contribution to the ESRC/DFID Scheme is that it has enhanced the quality and impact of social science research in addressing key disaster and development issues of our times. Specifically, this research demonstrates the ways in which research institutions can engage their work into real world issues that will contribute to refining the ways in which poverty amongst the poorest communities of the world can be reduced. The work of the Disaster and Development Centre and the International Centre for Diarrhoeal Disease Research is committed to making world class contributions to theoretical, methodological, policy and practice aspects of poverty reduction. The work covered by this grant has included critical analysis of gaps in knowledge, intellectual innovation, development of research methods, rigorous field work, insights generated from the local level, dissemination and engagement with a wide range of lay and expert groups with interests in its subject focus. It has stimulated opportunity for future additional collaborations, and provided capacity building for its staff and assistants both in Bangladesh and the UK. Two members of the project staff had PhDs awarded to them during the life time of this programme. A further PhD was started shortly after the start of the project, in specific association with the project, and is predicted to be successful. Multiple examples of capacity building amongst local level field workers and for both the leadership at the Disaster and Development Centre and Poverty Unit at ICDDR,B are also acknowledged, including through international engagements centred on this topic in Asia and Europe. (details elsewhere in this report)
Project title | The Gansu Survey of Children and Families, Wave 3
---|---
Number | RES-167-25-0250
PI | Dr Emily Hannum, University of Pennsylvania
Dates | 1 May 2007 – 31 December 2010
Form type | [none]

Original objectives

Public and private underinvestment in the human capital of poor children is a key mechanism for perpetuating poverty across generations. Two dimensions of human capital—health and education—have been studied extensively, but within narrow frameworks. Critical questions remain unanswered about how health interacts with education to affect future life outcomes and whether conventional measures of human capital miss important channels for these key processes.

Drawing on the expertise of a multidisciplinary, international research team, the proposed research project will collect and analyze data from one of China’s poorest provinces to investigate relationships between child health, education and labor market outcomes.

This project will address the following questions:

1. What are the impacts of childhood nutrition and health on subsequent education outcomes?
2. What are the impacts of childhood nutrition and health on indicators of psychological well-being?
3. What is the correlation between psychological well-being and education outcomes, and how does the evolution of behavioural and psychological problems over time vary by family, school and community characteristics?
4. What are the impacts of childhood nutrition and health on the decision to stay in school or enter the workforce?
5. How do education outcomes, including specific cognitive skills, affect the labor force productivity of young adults?
6. What are the impacts of childhood nutrition and health, both directly and indirectly through education, on the labor productivity of young adults?

To address these questions, we propose to extend the Gansu Survey of Children and Families (hereafter GSCF), a longitudinal survey of 2000 children who were 9 to 12 years old when they were first interviewed in the year 2000 (GSCF-1), and who were re-interviewed at ages 13 to 16 in 2004 (GSCF-2). We seek support for collecting and analysing a third wave of data in 2008, when the original sample will be 17 to 20 years old (GSCF-3).

Our research strategy overcomes three key limitations of earlier research on the relationships among health, education and economic well-being in developing countries:

1. A dearth of longitudinal data and a variety of methodological problems have confounded attempts to estimate the above relationships. Most studies of adolescents’ school-to-work transitions in developing countries depend on cross-sectional household survey data. The GSCF provides panel data focused on youth, which enables use of a broader set of statistical tools to estimate relationships of interest.
2. Few surveys have included detailed measurements of both health and education outcomes, and most have used limited measurement concepts. The GSCF combines multiple measures of health and education outcomes, including measurements derived from interdisciplinary conceptualizations of health and learning.
3. While much interest in the questions posed above centers on the role that human capital could play for poor households, most research focuses on the general population of a country, instead of focusing on subpopulations with high poverty rates. The GSCF focuses on one of China’s poorest rural areas. While sacrificing national representation, this strategy allows the survey instruments to be tailored precisely to the circumstances of the rural poor.

The 2008 survey will be crucial for answering the proposed research questions, because it will capture youth at the critical time when most have moved from school to work, but have limited work experience. Measuring health, education, and labor outcomes at this key juncture will permit analysis of the effects of health on schooling and of health and a wide variety of skills on labor outcomes, more convincingly than prior studies have done. The project will make significant scholarly contributions that will inform policies to reduce future poverty in developing countries.

Objectives listed in EOA report

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The intra-household allocation of resources: cross-cultural tests, methodological innovations and policy implications

RES-167-25-0251

Professor Alistair Munro, University of London

13 June 2007 - 13 October 2010

New

Unequal outcomes in society at large in part reflect decisions taken within the household, which typically favour males over females, for complex and context-specific reasons. The accurate understanding of how such decisions are made is a necessary component of effective development policy. One way to organise such an understanding is through theoretical models, but there is a huge range of economic theories of intra-household decisions in existence, each of which has its own predictions of the impact of policy on household members. One can attempt to use published data to distinguish between competing theories, but much survey data is poorly suited to elucidating the structure of what goes on within the household. With the requirements of development policy for a clear understanding of how intra-household allocation works, there is therefore a need for rigorous tests that can distinguish between household models and identify the contexts in which each of them may have some claim to validity.

Our aim is to use three elements (experiments, socio-economics surveys and in-depth interviews) to answer the following questions:

1. Are the assumptions and key predictions of the most influential economic models of the household valid?
2. To what extent is the allocation of resources within households governed by norms of fairness?
3. Are such norms conducive to equality and/or efficiency within the household?
4. How are norms for allocation related to the cultural and economic context, particularly patterns of conjugality?

As experiments become more common in development studies we also seek to build research capacity in the area and to explore the following methodological issue.

5. To what extent are experimental results (i) relevant to real-world behaviour; (ii) the useful basis for policy innovation?

In terms of output, are objectives are to produce a group of scholarly articles that answer the questions above and to publish them in international journals. Secondly, to disseminate more widely (ie into the policy community) the results of our research and thirdly, where appropriate, to influence the design of development policies in the light of our research results.

Our first aim is to contribute to a fuller understanding of the unequal distribution of welfare that results from intra-household allocation processes. We combined experimental methods with household surveys and ethnographic research to answer the following questions:

1. Are the assumptions and key predictions of the most influential economic models of the household valid?
2. To what extent is the allocation of resources within households governed by norms?
3. Are such norms conducive to equality and/or efficiency?
4. How are allocation norms related to patterns of conjugality.

We therefore tested theories of intra-household allocation in a number of sites in South Asia, and East and West Africa that provide a variety of intra-household distribution regimes.

Our second aim is to improve the value of economic experiments in a development policy context. We asked the question:

5. Are experimental results (i) relevant to real-world behaviour; (ii) a good basis for policy?

We therefore confronted this issue of external validity head-on using (a) in-depth follow-up interviews to explore the parallels between experiment and ‘real life’ as perceived by the subjects; (b) socio-economic surveys to link experimental behaviour with relevant measurables such as income, assets, family structure and working practices; and (c) a field experiment, ie an experiment designed to be as close to a real life decision as is possible.
Project changes
Some changes in research management, project staffing, payment arrangements for fieldwork and details of the research plan were necessary to realise our original objectives, all agreed with the ESRC:

- From February 2008 Bereket Kebede took over from Alistair Munro as PI, and the project became based at the UEA. From February 2009 Arjan Verschoor took over from Kebede as PI.
- The planned PhD studentship was cancelled and a post-doc hired instead to provide research assistance for the fieldwork. To allow for the optimal duration of the postdoc’s (part-time) contract, the project was extended by four months.
- In order to investigate regional contrasts within countries in more depth, although without compromising overall sample size, we decided to cover only three countries, India, Nigeria and Ethiopia, dropping Burkina Faso.
- Prof. Amaresh Dubey of Jawaharlal Nehru University in New Delhi replaced our lead consultant in India, Vegard Iversen, who left the project in the autumn of 2009 because of other commitments.
- The 50% overhead rule for overseas partnership institutions was waived for expenditures not related to the household survey and the experiments in Ethiopia and India, and for all fieldwork expenditures in Nigeria.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)
If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

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<th><strong>Project title</strong></th>
<th>Tropical forests in poverty alleviation: from household data to global-comparative analysis</th>
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<tr>
<td><strong>Number</strong></td>
<td>RES-167-25-0257</td>
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<tr>
<td><strong>PI</strong></td>
<td>Dr Sven Wunder, CIFOR</td>
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<td><strong>Dates</strong></td>
<td>1 January 2008 – 30 June 2011</td>
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**Original objectives**

The primary project objective is:

1. To undertake a comprehensive global-comparative analysis of the role of forests and environmental income in preventing and reducing rural poverty, built on a centrally coordinated pan-tropical data bank with high-quality primary household and village data collected though PEN (research outputs);

The secondary project objectives are:

2. To elaborate recommendations for tangible forest-poverty interventions, and feed them into national and global policy processes (policy impacts);
3. To enhance the ability of project partners in using best-practice methods for conducting income-accounting rural household surveys, and to suggest improved research methodologies for future studies of environmental incomes and rural livelihoods (capacity building and methodological innovation).

**Objectives listed in EOA report**

[not available]

**Contributions**

[not available]
Project title | Impact Evaluation of Performance-based Contracting for General Health and HIV/AIDS Services in Rwanda
---|---
Number | RES-167-25-0259
PI | Dr Stefano Bertozzi, National Institute of Public Health, Mexico
Dates | 1 February 2008 – 31 January 2011
Form type | [none]

Original objectives

We propose to evaluate the impact of a new performance-based contracting (PBC) scheme for health care services being implemented by the government of Rwanda for basic preventive and curative health care services and HIV/AIDS treatment. Specifically, the objectives of this research are to identify the impact of performance based contracting on provider behaviour, patient utilization and health outcomes. We will observe how incentive-based payment affects behaviour, while also studying health care utilization for both preventative and curative care among poor, rural populations.

In order to accomplish our objectives, we will test four hypotheses:

1. PBC increases the quantity of health services delivered. In order to determine how the mix of health services provided is impacted by PBC, we have collected detailed information on all services available, including curative and preventative care, as well as laboratory services. For the HIV/AIDS component, our sample includes 36 ARV treatment facilities, with an extensive module regarding HIV/AIDS services offered, as well as general health services. In this manner, we intend to observe how the mix of health services changes once PBC is implemented for general health and HIV/AIDS services.

2. PBC improves the quality of the health services provided. One primary goal of PBC is to increase the quality of care provided for health services. For this reason, payment for performance is not solely based on the quantity of services, but also on quality as measured through patient satisfaction and direct observance of provider performance in the health facilities by a monitoring and evaluation team. In addition to a patient-level satisfaction module, this study also employs specially designed research tools to measure quality of care, including provider vignettes and patient exit interviews. Through these means, we will gather information related to provider "competence" and provider "effort". In health care, we would expect the quality of care to be high when both provider competence and effort are high.

3. PBC improves the health status of the population. The fundamental goal of PBC for health care is to improve the health status of the population. For the general health component of this study we have already administered a survey to 2000 households in the catchment areas of 168 facilities in order to observe changes in health outcomes such as maternal health and child anaemia and malaria. In addition, we have surveyed 1500 HIV+ patient households in order to observe changes in HIV/AIDS related health outcomes over time. Our analysis at the patient level will involve identifying correlations between changes in behaviour (in terms of preventative and curative care utilization, adherence to treatment, and decisions regarding risk behaviour) and health outcomes.

4. PBC improves the satisfaction, motivation and productivity of service providers. An additional component of the study is a module regarding health provider motivation and satisfaction with the work environment. As in many poor, underdeveloped countries, it is difficult to maintain a qualified and motivated workforce in the rural areas. Through PBC, the Ministry of Health intends to provide additional financial incentives in order to decrease absenteeism and increase effort.

The obstacles facing the Ministry of Health in Rwanda are those which face the majority of poor, developing countries. The objective of this research is to determine the viability of performance-based contracting in health services as a means for overcoming these obstacles in health care. Through extensive data collection and analysis at the facility and household level, our research will provide invaluable evidence on how PBC impacts provider behavior, patient utilization and, ultimately, health outcomes.

Objectives listed in EOA report
[not available]

Contributions
[not available]
Project title: Gender, education and global poverty reduction initiatives

Number: RES-167-25-0260

PI: Dr Elaine Unterhalter, Institute of Education, London

Dates: 1 October 2007 – 31 March 2011

Form type: [none]

Original objectives:
The objectives of the study are:
1. to examine in what ways global, national, regional and local ideas and actions regarding gender equality in education and poverty reduction connect and disconnect
2. to explore relationships in bringing about change in policy and practice in the field of gender, education and poverty reduction
3. to work with organizations at national, provincial and local level to examine how and why certain conditions, interpretations and actions regarding gender and education impact on poverty reduction and how to enhance policy, advocacy, debate, and implementation in this area

Objectives listed in EOA report: [not available]

Contributions: [not available]
This research has the following objectives:

1. to investigate the extent to which language may be a factor (positive or negative) in how school age learners demonstrate their academic achievement, i.e. conceptual knowledge, understandings and skills, in 3 core school subject areas (Science, Maths, English) through school examining processes (national examinations and teacher assessment in Year 2)
2. to explore the impact and potential benefits of different examination formats, tasks and accommodations to extend the repertoire of ways in which children’s understanding is examined in three subject areas (Maths, English and Science), as the basis for developing innovative examination formats that have both instructional and curricular validity for the specific research context
3. to investigate the extent to which whether there are factors other than language that impact on learner performance in national examinations
4. to track the development of formal examination processes within Zanzibar as a specific case and to identify features of best practice in other sub-Saharan educational contexts
5. to develop processes in examination construction and products that can potentially be applied in other contexts within sub-Saharan Africa and world-wide where learners are studying through the medium of a foreign or second language
6. to contribute theoretical insights to: (1) the field of language testing and assessment, in relation to the development of an evidential base for the validity of assessment processes and procedures and to the identification of challenges for examination development in non-industrialised countries; and (2) language education in respect of teacher formative and summative assessment of learner performance, and relationships (i) between curriculum content and assessment and (ii) between the languages of instruction (i.e. English/Kiswahili medium classrooms) and the demands of formal examinations.
7. to develop professional knowledge through the understanding of teachers’ conceptualisations of subject learning and assessment and how these are manifested in pedagogical practice with specific reference to the development of understandings in Science and Maths, and academic literacy skills in Kiswahili and English.
8. to develop guidance for the Ministry of Education to establish and further develop a scheme for systematic collection and analyses of assessment data in order not only to improve the quality of the national curriculum assessment procedures (the key focus of this proposed study), but also to monitor the quality, effectiveness and equitable provision of its secondary education, drawing on findings from all five studies.
9. to connect with national policy development by providing high quality in-depth data. This will address the paucity of data currently available thereby enhancing understandings of facets of teaching and assessment (particularly in relation to language) that impact on learners’ ability to demonstrate fully their subject knowledge and understandings.
10. to connect with MDG goals: valid and fair examining processes will provide a sound basis for decisions taken in respect of transition of students to the next phase of education or any future employment opportunities, thereby contributing to quality education in the domain of assessment and its potential impact on teaching and learning, as a key factor in the drive towards poverty alleviation.

The specific research questions are provided in section 4 of the Case for Support.
Embedding poor people’s voices in local governance: participation and political empowerment in India

RES-167-25-0268

Dr Glyn Williams, Sheffield

1 January 2008 – 30 November 2010

New

This project’s central research question is “To what extent do participatory initiatives within local governance enhance poor people’s opportunities for political empowerment?” Participatory governance has become a significant global trend in development policy, and this project links its evaluation to new theoretical debates around poverty. The project looks at three related aspects of political empowerment (poor people's political capabilities, their political space, and their substantive citizenship), and will be grounded in the detailed study of four selected locales in West Bengal and Kerala. In doing so, it provides a key opportunity to critically review ideas and practices of governance reform from the perspectives and experiences of poor people themselves. The project's academic and practical objectives are thus interlinked from the outset; each is listed below with Indicators of Success (IoS):

1. To provide a detailed comparative study of participatory governance initiatives' effects on poor communities. A critical review of policy must start from a secure evidence base, and this project will provide a rich empirical understanding of how participatory governance initiatives impact on the political engagement and marginalisation of a range of poor communities. Its qualitative methodology will uncover the processes supporting and limiting these initiatives, and will pay particular regard to the communities’ own perspectives: the case study locales and communities will be selected to ensure their wider significance (across South Asia and beyond).

IoS: Production of qualitative datasets (Appendix 2); users’ confirmation of their wider validity and importance within engagement events.

2. To provide a deeper theoretical understanding of the interactions between poverty, participation and democratisation. The project will make a significant contribution to theoretical debates on poverty alleviation, enhancing participation and governance reform. The Case for Support (Theoretical and Conceptual Framework) discusses the project's wider academic significance: the project will be theoretically innovative by treating the lack of political recognition as an important element of poverty, by using insights gained from poor people for theory building, and by examining participatory governance initiatives' impact on wider processes of (dis)empowerment.

IoS: Publication of research findings in a range of targeted academic outlets (Appendix 3) to foster interdisciplinary debate.

3. To contribute to local user communities by highlighting areas where the poor have opportunities for furthering their political empowerment, and strengthening links with potential partners in this process. Poorer communities and reform-minded actors within the project locales are key beneficiaries (Section 6). They will be invited to reflect on both empirical and theoretical results of the project through dissemination events (Section 8) that will be structured around the practical action they themselves can take to challenge current structures of disempowerment.

IoS: Sustained engagement of local beneficiaries within dissemination events; development of their opportunities for activism, networking, and contribution to policy debate.

4. To contribute to policy development via structured interaction with a wider policy community. The project will identify 'expert users' of the research, and engage them at the research design stage. By maintaining contacts with these users, providing them with original insights into poor groups' current impediments and opportunities for empowerment, and by engaging them in high-level dissemination events focused around critical appraisal of current participatory governance initiatives, the project aims to significantly contribute to policy development.

IoS: Continued engagement of expert users throughout the project's lifespan; uptake of project data, findings, or recommendations within policy review.

The project aims to critically review ideas and practices of governance reform from the perspectives of poor people themselves. It has four objectives:
1. To provide a detailed comparative study of participatory governance initiatives’ effects on poor communities’ political engagement and marginalisation. Detailed qualitative research will provide rich empirical insights of significance beyond its case study locales.

2. To provide a deeper theoretical understanding of the interactions between poverty, participation and democratisation, by contributing to theoretical debates on poverty alleviation, enhancing participation and governance reform.

3. To contribute to local user communities through reflection on the empirical and theoretical results of the project within grassroots dissemination events. This dissemination process will highlight areas where the poor have opportunities for furthering their political empowerment, and strengthening links with potential partners in this process.

4. To contribute to policy development via structured interaction with a wider policy community. By maintaining contacts with these users, providing them with original insights into poor groups’ current impediments and opportunities for empowerment, and by engaging them in high-level dissemination events focused around critical appraisal of current participatory governance initiatives, the project aims to significantly contribute to policy development.

**Project changes**

There were no changes to the project’s original aims and objectives. Revisions to the original methodology were relatively minor (see section 2c below): the field research was successfully implemented, allowing objectives 1 and 2 to be met. As with most impact-related objectives, delivery on objectives 3 and 4 presupposes the interest, support or engagement of user groups, and as such is particularly open to factors beyond the project team’s control. Within these constraints, the project team was able to undertake thorough discussion of the research findings within the field sites (objective 3); impact on policy makers (objective 4) is less direct and tangible (see section 3 below).

The project timetable was extended through the generous provision of an eleven-month, zero-cost extension by the ESRC. An extension was initially sought because of delays to the completion of the fieldwork (both Research Associates independently suffered from periods of ill-health, there were incidents of extreme political tension in one field site, and delays in completing key interviews in both Kerala and West Bengal caused by interviewees' unavailability in the run-up to India’s general election in April-May 2009). A subsequent extension allowed the completion of an additional Delhi-based dissemination workshop (October 2010).

**e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)**

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

The project has aimed to contribute towards the wider intellectual agenda of the ESRC-DFID Joint Programme to produce ‘blue skies’ thinking about poverty in two ways. The first is that referred to in section 2d – seeing poverty as inherently political, both as an object of policy and as a lived social relation, and through this contributing to Adverse Incorporation/ Social Exclusion approaches to poverty. The second is through its methodological approach noted in section 2c, basing its theorisation around marginalised people’s own experiences of poverty.

Direct interaction with other Programme projects has been achieved by inviting PIs of other relevant ESRC-DFID projects to this project’s Sheffield-based dissemination workshop (March 25th, 2010), where AnupritaShukla represented ‘The social conditions for successful community mobilisation’ (project ref: RES-167-25-0193) attended. At the Royal Geographical Society Annual Conference (August 31st, 2010), a paper based around the experience of managing the project was presented at the session ‘Researching the Global South in an Age of Impact’ alongside a parallel paper by Nicola Ansell (PI for ‘Averting New Variant Famine’: project ref: RES-167-25-0167). The project team will continue to engage in future opportunities for joint working across the Programme which emerge in future.
### Project title
Development in the 'raw': What livelihood trajectories and poverty outcomes tell us about welfare regimes and resilience in Afghanistan

### Number
RES-167-25-0285

### PI
Dr Paula Kantor, East Anglia

### Dates
1 May 2008 – 31 December 2010

### Form type
New

### Original objectives
There are three main objectives of this research study.

1. To build from a panel set of household data describing rural livelihoods in 2002-03 to rigorously examine processes of livelihood transformations and their poverty outcomes in rural Afghanistan, across varying social, political and economic contexts defined by varying degrees of formality and informality. This is a methodological innovation in a reconstruction/conflict context like Afghanistan where longitudinal research, particularly based on in depth study of processes of change, is practically non-existent.

2. To examine the relevance and refine the application of the welfare regimes typology to rural Afghanistan, and to test and develop the Faustian bargain concept / ie discounting future rights and opportunities in favour of present security - to deepen understanding and explanation of livelihood trajectories of different households across different regional locations.

3. To apply the understanding developed through in depth study of livelihood transformations within the framework of welfare regimes, risk and trade-offs to make evidence-based locally relevant policy recommendations regarding how to support existing forms of resilience and make access to new and existing mechanisms supporting rural livelihood security more equitable.

### Objectives listed in EOA report

1. To build from a panel set of household data describing rural livelihoods in 2002-03 to rigorously examine processes of livelihood transformations and their poverty outcomes in rural Afghanistan, across varying social, political and economic contexts defined by varying degrees of formality and informality. This is a methodological innovation in a reconstruction/conflict context like Afghanistan where longitudinal research, particularly based on in depth study of processes of change, is practically non-existent.

2. To examine the relevance and refine the application of the welfare regimes typology to rural Afghanistan, and to test and develop the Faustian bargain concept / ie discounting future rights and opportunities in favour of present security - to deepen understanding and explanation of livelihood trajectories of different households across different regional locations.

3. To apply the understanding developed through in depth study of livelihood transformations within the framework of welfare regimes, risk and trade-offs to make evidence-based locally relevant policy recommendations regarding how to support existing forms of resilience and make access to new and existing mechanisms supporting rural livelihood security more equitable.

### Project changes
The original aims and objectives of the project were maintained through its duration. The only changes made were (a) a reduction in one research site due to insecurity and (b) the extension of the project through an agreed no cost extension. Paula Kantor resigned her lectureship from the University of East Anglia in July 2008 and became director of AREU with effect from August 2008. However she was appointed as a Research Fellow at the School of International Development and the grant remained with the University of East Anglia. No changes were made in project staffing or funding.

### e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)
If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

The project was not part of a wider research programme or network.
Transforming livelihoods: work, migration and poverty in the Tiruppur garment cluster, India

RES-167-25-0296

Dr Geert De Neve, Sussex

1 July 2008 – 31 December 2010

Original objectives

1. To investigate the highly differentiated impacts of integration into the global economy on garment workers, migrants, and others indirectly affected by industrial transformations. We have already contributed to debates about migrants to Tiruppur and about agricultural change. This project, combining urban and rural research, will make further contributions to such debates by a) exploring changing livelihood strategies of both urban and rural populations that are increasingly affected by export industries; b) exploring patterns of rural and agricultural change and c) researching impacts of garment sector on workers' livelihood strategies.

2. To make an ethnographic and theoretical contribution to our understanding of persistent poverty and 'poverty traps' in regions considered 'successful' in terms of economic integration and growth. While the literature on chronic poverty has provided us with insights into rural poverty traps in stagnant or slowly developing economies, there is some evidence that inequalities and poverty persist, and even grow, in areas where the economy is expanding. It is the aim of this study, on the basis of a detailed case study of a 'successful' region in South India, to document the processes of exclusion that reproduce poverty and systemic inequalities under conditions of economic growth.

3. To investigate wider connections between global and local processes of transformation. In the Tiruppur garment cluster, increased market integration and industrial development go hand in hand with processes of agrarian change and rural industrialisation. There are as yet almost no studies of the interconnections between such processes unfolding simultaneously at different levels. Through a detailed case study of an urban garment cluster and its industrialising rural hinterland, this project aims to enhance our understanding of connections at the following levels: a) the rise of global outsourcing strategies and the growth of a regional industrial economy; b) the rise in industrial employment and changing livelihood strategies; c) the growth of an urban and rural garment cluster and on-going agricultural change.

4. To investigate the ways in which industrial transformation affects the life of workers in broader terms. While there is a burgeoning literature on social mobility to which we have already contributed, little has been written on the linkages between industrial expansion under economic liberalisation and the (upward or downward) mobility of those affected by it. This project will explore a) the ways in which garment incomes affect poverty and socio-economic inequalities; b) the extent to which the working poor are able to transform new economic capital into human capital, for example, through investments in education and c) the extent to which new industrial employment opportunities lead to workers' upward mobility.

5. To assist policy-makers to better target interventions that mitigate or remove the negative consequences of global processes for people employed in or affected by export industries, through a more nuanced understanding of global-local interactions. The findings of the research will be used to inform policy interventions by the state, multinational corporations and international NGOs that aim to reduce poverty, improve livelihoods, and mitigate socio-economic inequalities in economically 'successful' regions. The findings will also be transferable to policy makers in comparable regions, eg Vietnam and Bangladesh.

6. To produce a monograph, an edited volume and journal articles covering various aspects of employment and migration, poverty and livelihoods, and wider socio-economic change in and around a South Indian garment manufacturing town. The data collected during this project will be related to anthropological, geographical and economic theorising on economic globalisation, poverty, livelihoods and migration.
Original objectives

This project aims to produce innovative research which provides new understandings of the articulation between social networks, rural livelihoods and the effects of large scale industrial development in Bangladesh, with a particular focus on the relationship between the global, transnational and local levels. A particular strength will be qualitative depth, since the field sites around which case studies will be based are already well known to the researchers. It will be first qualitative study of the social impact of mining in Bangladesh.

I. Through two linked case studies, we aim to research the following:

1. The impact of mining on rural livelihoods and social networks in Bangladesh. In particular:
   a. whether mining has caused impoverishment for different groups in the vicinity of mines and the role of their relative access to social networks in this.
   b. The extent of local economic opportunities arising from mining and how these interrelate with pre-existing networks of patronage, power and support.
   c. the impact of physical displacement on vulnerable groups who rely upon locally based networks for the provision of social protection in times of crises and periodic income shortfall.
   d. the effects of physical displacement on local moralities of ‘helping’ or ‘togetherness’ which underlie existing social networks.

2. The ‘fault lines’ around which the differential effects of mining are experienced. In particular:
   a. how responses to mining developments are affected by gender and generation, as well as status group, ethnic and religious identity.
   b. how these interrelate with varied livelihood strategies which include local and transnational networks of support.
   c. how mining (or its threat) impacts on the most vulnerable, landless or land short groups, through the loss of livelihoods based around labouring, sharecropping or ‘gathering’
   d. the impact of mining on transnational migrants, who are based in the U.K but own property in the affected areas, and, in turn, their participation in negotiations surrounding land loss and compensation.
   e. the impact of transnational migrants’ changing relationships to village land on their provision of social protection to vulnerable relatives ‘left behind’.

3. The policies and practices of Corporate Social Responsibility and ‘good practice’ in the Mining Industry. In particular:
   a. how policies of CSR and good practice in community relations as espoused by multi-national mining corporations at the national and international level are put into practice
   b. how these policies and practices interrelate with on-going NGO programmes of poverty reduction

4. The ways in which resistance to mining is mobilised and the formation of new social movements based on such resistance. In particular:
   a. how different interest groups become involved in resistance, conflict and protest at local, national and international levels
   b. the role of pre-existing or new networks in these movements
   c. the role of gender, generation and ethnic identity in protest and resistance
   d. the use of discourses of human rights, environmentalism, tradition and the sacred in these protests, and the discursive contradictions with competing ideals of ‘modernity’ and ‘progress’.

II. From this research, we aim to produce the following:

1. Data which can be used to draw conclusions about the differential impacts of mining on livelihoods and poverty in Bangladesh, with analytical focus on the role of social networks.
2. Recommendations concerning the role of practices of CSR in poverty reduction, and how these might be best targeted and used in contexts of mining.
4. New understandings of the dynamics of resistance and protest movements in South Asia
5. An ethnography of the lived experience of globalisation and industrialisation

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<th>Objectives listed in EOA report</th>
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</table>
Project title: Development discourses: higher education and poverty reduction in South Africa

Number: RES-167-25-0302

PI: Professor Melanie Walker, Nottingham

Dates: 1 July 2008 - 31 December 2009

Form type: New

Original objectives

1. To investigate how different universities in South Africa are transforming, under contemporary national and global conditions;
2. In the context both of the MDGs and transformation: to identify the educational mission informing professional education and expectations of teaching and student achievements in different universities and different professional fields, comparing and contrasting the experiences, knowledge and skills of students, visions of their future work, and notions of professional responsibility and accountability;
3. To generate multi-dimensional metrics for evaluating progress in institutional transformation in relation specifically to professional education for human development and poverty reduction.

Objectives listed in EOA report

AIMS

(a) to investigate the equity trajectory of higher education institutions and their role as ‘engines of reform’ in addressing the policy and practical challenges of poverty and associated human talent needs of South Africa in the 21st century, by using the lens of human development and professional education;
(b) to make a major contribution towards policy and practice in the area of higher education and the achievement of the Millennium Development Goals by providing a conceptual and practical understanding of Amartya Sen’s and Martha Nussbaum’s capability approach and human development, and of how capabilities might be formed through teaching and learning in professional education.

OBJECTIVES

1. To investigate how different universities in South Africa are transforming, under contemporary national and global conditions;
2. In the context both of the MDGs and transformation: to identify the educational mission informing professional education and expectations of teaching and student achievements in different universities and different professional fields, comparing and contrasting the experiences, knowledge and skills of students, visions of their future work, and notions of professional responsibility and accountability;
3. To generate multi-dimensional metrics for evaluating progress in institutional transformation in relation specifically to professional education for human development and poverty reduction.

Project changes

There was no substantive change to the original aims or objectives, although the focus on public good professional education sharpened as the research progressed.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

n/a
**Project title**  
Building a Brighter Future: A Randomized Evaluation of Slum-Housing Upgrading

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<th>Number</th>
<th>RES-167-25-0317</th>
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<tr>
<td>PI</td>
<td>Professor Paul Gertler, University of California</td>
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<tr>
<td>Dates</td>
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**Original objectives**

The proposed study will evaluate the causal effects of slum-housing upgrading on the welfare of beneficiaries by estimating the effects of the Un Techo Para MiPais (A Roof for My Country) housing intervention in two countries: El Salvador and Peru. This offers a unique opportunity to generate cross-country evidence on the dynamic impacts of a home upgrading program on human development outcomes of the extreme poor, and whether such programs should be considered by governments effective social policy for improving the living conditions, health and welfare of the poor. To our knowledge, this study constitutes the first randomized experiment to assess the impact of housing upgrading in the developing world.

The research objectives are to evaluate the impact of slum-housing upgrading by UTPMP on the health and welfare of the target population, as well as potential spill-over effects on the informal settlement community at large. Specifically, the evaluation is designed to test the hypotheses that providing improved housing to targeted beneficiaries

1. Improves the health status of beneficiary household members. In order to determine the impact of improved housing on health outcomes, the study will collect 1) maternal reported diarrhoea in children in the last four weeks, 2) stool samples to determine the presence of various types of parasites in faecal matter, 3) anthropometric statistics to measure stunting and wasting, and 4) blood samples with an anaemia finger prick test.

2. Improves the economic conditions of beneficiaries, including labor market participation, productivity, income and consumption. We will collect data on 1) household income consumption, 2) labor market participation of adults and children, and 3) school attendance of children.

3. Improves measures of well-being, including depression, stress, satisfaction and dignity. We will collect 1) measures of depression and perceived stress for mothers of children under 6 years old, 2) female head of household satisfaction with house quality and quality of life, 3) data from Picture Peabody Vocabulary Test applied to children 3 to 5 years old.

4. Increases sense of security, thereby allowing increased investment in upgrading the physical space and the accumulation of household assets.

5. Improves outcomes on non-beneficiary neighbours and the well-being of the community at large.

**Objectives listed in EOA report**

[not available]

**Contributions**

[not available]
### Project title
Avon in Africa: Reducing Poverty Through Global Exchange

### Number
RES-167-25-0321

### PI
Dr Linda Scott, Oxford

### Dates
1 April 2008 - 31 June 2010

### Form type
New

### Original objectives
Trading partnerships in which consumer goods made by multinational corporations are distributed through women's informal exchange networks are poised to become a major market form in the developing world. Already, significant distribution networks for Avon, Amway, and Herbalife have emerged in China, India, Brazil, and Africa and large companies like Unilever and Nestle are now experimenting with this strategy. However, while these trading arrangements may offer a promising route to gender-equitable poverty reduction, there has been no systematic study to determine their true value for and potential impact on impoverished communities. We propose to investigate an important example: Avon Products, Inc., the oldest and largest direct seller in the world, and black women's exchange networks in South Africa. The project aims to achieve the following objectives:

1. To determine whether the poor woman who sells Avon can achieve a sustainable income at a tolerable level of financial and social risk. Evidence gleaned from our exploratory research suggests that the Avon programme offers a steady income stream, with lower barriers to entry and less financial risk than many other direct sales programmes or microlending schemes. However, we do not know whether our preliminary observations are representative of the entire system or the extent to which the scheme, which typically relies on friends and relatives for sales, entails social risk.

2. To determine whether the Avon programme increases wealth for the community or merely redistributes scarce resources among the poor. If Avon traders become better off at the expense of their customers the scheme's poverty reducing potential will be negligible. While our exploratory research found that many women were selling in hospitals, offices, schools, or churches, suggesting that the economic base from which Avon draws may be wide enough to sustain a real increase in wealth, the generalizability of this finding needs to be investigated.

3. To examine the relationship between women's economic participation in Avon networks and the perceived wellbeing of themselves and their families. Poverty is a process that is experienced differentially within the household. By examining intrahousehold relations, we aim to determine the effects of Avon income on women's bargaining power and in their capacity to improve the welfare of their children.

4. To study the role that consumer toiletries have in the lives of poor Africans. Although cosmetics are often perceived as "unnecessary" and frivolous products, our exploratory research suggests that such judgements may be misguided: South African consumers use toiletries for a range of essential purposes, including maintaining the grooming necessary to obtain and retain employment, and using products to relieve the effects of disease.

5. To determine how the values and economic practices of Avon are negotiated and/or reconciled locally. We will investigate potential areas of concern, such as racial and gender representations in Avon's advertisements and the corporation's responsiveness to local demands for particular products. We will also examine whether and how Avon traders modify and adapt to new business practices to determine the extent to which they are active participants (rather than clients) in the trading partnership.

6. To provide guidelines for assessing, adapting, or creating similar organizational models to facilitate development goals. We will use the information derived through the social network analysis to develop an understanding of how the organizational form used by Avon might be modified and/or adapted for broader development initiatives, including the dissemination of public health and welfare information, practices, and goods.

### Objectives listed in EOA report
This project examines the potential for trade of manufactured cosmetics, specifically Avon products, to alleviate poverty and foster empowerment among women in South Africa. The research objectives are:

1. To determine whether poor women who sell Avon products can achieve a sustainable income at a tolerable level of financial and social risk.

2. To determine whether the Avon programme increases wealth for the community or merely redistributes scarce resources among the poor.
3. To examine the relationship between women’s economic participation in Avon networks and the
perceived well-being of themselves and their families.

4. To study the role that consumer toiletries have in the lives of poor Africans.

5. To determine how the values and economic practices of Avon are negotiated and/or reconciled
locally and the extent to which Avon traders are active participants (rather than clients) in the
business.

6. To provide guidelines for assessing, adapting, or creating similar organizational models to
facilitate development goals by examining how the organizational form used by Avon might be
adapted for broader development initiatives.

**Project changes**

There was a three month no-cost extension. There were also two changes in project personnel, both
of which were agreed with the ESRC. Upon completion of our first survey in 2008, the Community
Agency for Social Enquiry (CASE), was forced to withdraw from the project due to their internal
budgetary and staffing issues. We replaced them with TNS, an international research and marketing
agency with a local office in Johannesburg. This move was fortuitous as TNS proved to be highly
competent and contributed substantially to our data collection efforts. In addition, upon the
completion of TayoFabusuyi’s contract, we engaged the Applied Technologies Laboratory for the Arts
and Sciences (ATLAS) at the University of Illinois Urbana-Champaign (United States) to assist with
survey design and quantitative data analysis. ATLAS greatly facilitated the analysis of our statistical
data at a very reasonable cost. There were no cost implications arising from these changes.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s
objectives and activities and note any effect on your project resulting from participation.

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<tr>
<td><strong>PI</strong></td>
<td>Dr Catherine Locke, East Anglia</td>
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<tr>
<td><strong>Dates</strong></td>
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**Original objectives**

The gendered impact of migration on wellbeing in developing countries is powerfully shaped by changing linkages between opportunities for productive work and strategies for marriage, child-bearing, and child-rearing. However, understandings of these linkages between reproduction and migration and of their implications for wellbeing are extremely neglected and poorly understood both theoretically and empirically. This study will strengthen gendered understandings of the linkages between reproduction, migration and wellbeing for poor men and women. This research will develop new understandings of the gendered linkages between reproduction, migration and wellbeing for poor men and women. Its objectives are to:

- Explore the reproductive aspirations of migrant men and women
- Develop understanding of how migrants manage their reproductive lives
- Investigate how these strategies are shaped by varying institutional conditions
- Explore the implications for wellbeing over time of self, spouse and children.

The research design will produce both specific and detailed empirical findings about rural-urban migration in Vietnam as well as robust theoretical insights of more general validity in South East Asia and possibly beyond. This research will produce a rich and detailed empirical account of the strategies low-income rural-urban migrants use for managing reproduction in Vietnam. It will focus on identifying the range of strategies and will nest these qualitative findings within existing quantitative research. These findings will be highly relevant to China and other South East Asian contexts and will pave the way for more nuanced accounts of reproduction and gender within contemporary processes of economic migration. The research will also offer robust theoretical insights of more general validity. It builds on initial conceptual work that has informed the research design. This thinking will be further elaborated through analysis and interpretation of the specific data. These insights will centrally integrate poor people's aspirations, strategies and experiences relating to reproduction within gendered understandings of their livelihoods and wellbeing over time and between generations. The theoretical insights around masculinities and the changing linkages between reproduction, migration and wellbeing will be of particular importance in gender and migration studies. A fuller account of the complexity of gender and migration will contribute to an enhanced evidence base for policy making concerned with making migration work for the poor. It will additionally be of interest to policy-makers concerned with social policy more generally and more specifically with gender equity, reproductive health and rights and children's wellbeing. The findings of the study will be disseminated in appropriate academic and policy fora in Vietnam, the UK and internationally through scholarly articles, presentations, and policy briefs in English and Vietnamese.

**Objectives listed in EOA report**

This study aimed to develop gendered understandings of the linkages between reproduction, migration and wellbeing for poor men and women in their peak child-bearing years. Specifically its objectives were to:

- Explore the reproductive aspirations of migrant men and women
- Develop understanding of how migrants manage their reproductive lives
- Investigate how these strategies are shaped by varying institutional conditions
- Explore the implications for wellbeing over time of self, spouse and children.

The research aimed to produce both specific and detailed empirical findings about rural-urban migration in Vietnam as well as robust theoretical insights of more general validity in South East Asia and possibly beyond. These insights aimed to integrate poor people's aspirations, strategies and experiences relating to reproduction within gendered understandings of their livelihoods and wellbeing over time and between generations. The project intended to develop theoretical insights around masculinities and the changing linkages between reproduction, migration and wellbeing of importance to gender and migration studies more broadly. Finally, the project sought to contribute to an enhanced evidence base for policy making concerned with making migration work for the poor.
### Project changes
A no-cost extension was granted by the ESRC (original end date 31 December 2010 was extended to 30 June 2011)

### e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)
If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

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<tr>
<th><strong>Project title</strong></th>
<th>Enforcing Transparency: Enhancing Poor People's Access to Information in India</th>
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<tr>
<td><strong>Number</strong></td>
<td>RES-167-25-0337</td>
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<tr>
<td><strong>PI</strong></td>
<td>Professor James Manor, University of London</td>
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<td><strong>Dates</strong></td>
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**Original objectives**

The ultimate objective of this study is to facilitate efforts by poor people, their allies in civil society, and sympathetic government actors to promote greater access to information for poor people in less developed countries. A lack of such access is an important dimension of their poverty.

To serve this over-riding objective, a number of other subordinate objectives will be pursued in this project.

1. One objective is to move beyond the excessively general and thus unhelpfully vague analyses which loom large in the literature on access to information and transparency. To achieve greater specificity, we will undertake a detailed analysis of just one government programme (albeit an important one). This is India's National Rural Employment Guarantee Scheme (NREGS), arguably the most ambitious, thoroughgoing -- and apparently, the most promising -- programme to promote poor people's access to information in the developing world.

2. Another key objective is to develop an authoritative understanding of NREGS' impact. To do so, we will examine the Scheme's implementation in, quite specifically, one district in Rajasthan and another in neighbouring Madhya Pradesh -- two important Indian states. An IT specialist will comb the highly sophisticated computerised database detailing every small action taken under the Scheme in each district. That analysis will be revealing in its own right, and it will assist us in structuring subsequent surveys of over 400 poor villagers in those districts, so that we can base our analysis on their perceptions.

3. A key objective of that analysis will be to provide those who seek to enhance poor people's access to information with guidance on which mechanisms work effectively and which do not, in varying circumstances -- and on approaches (by government actors, by poor people, and by their allies in civil society) that might help to make those mechanisms work better. Our local-level studies will also identify impediments to be overcome: resistance from low-level bureaucrats and/or politicians and/or prosperous groups, caste hierarchies, economic/class inequalities, etc.

4. A further objective is to provide guidance on actions which might help to ensure that when poor people obtain access to information, they and their allies in civil society can take further steps to put it to good use, so that its utility to the poor is maximised.

5. Another objective is to develop and make freely available two datasets to assist academics and practitioners working in this sphere. The first will contain the findings from our study of the rich NREGS IT database on our two districts, to provide a detailed account -- of great specificity -- of the workings of this Scheme. The second will contain details of our village-level surveys within those districts, to provide access to poor people's perceptions of the NREGS. (No other study of this or similar programmes has produced such datasets.)

6. A final objective is to disseminate our findings widely among government actors, civil society organisations and international development agencies which seek to tackle poverty and to enhance poor people's access to information. We will produce very concise policy papers summarising findings on an array of key issues. Our links to Commonwealth Human Rights Initiative's global network, to the Global Transparency Initiative, our Indian partner Samarthan's links to the Civicus global network, etc. -- plus our ties to UN-DESA, Sida in Stockholm, and DFID -- will make this feasible.

**Objectives listed in EOA report**

[not available]

**Contributions**

[not available]
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<th><strong>Project title</strong></th>
<th>Poverty and maternal health in Ghana: A spatial analysis of exclusion from care</th>
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<td><strong>Number</strong></td>
<td>RES-167-25-0343</td>
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<tr>
<td><strong>PI</strong></td>
<td>Dr Zoe Matthews, Southampton</td>
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<tr>
<td><strong>Dates</strong></td>
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**Original objectives**

The following are the specific objectives of this project:

1. To prepare spatial data on use of maternal health services, poverty and physical accessibility at various levels of aggregation by:
   - creating maternal health service utilisation maps derived from Demographic and Health Survey data (2003) at individual and district levels for pregnancy, childbirth and postpartum services in Ghana.
   - creating a district level welfare poverty map of Ghana using census data and the Ghana Living Standards Survey 2003
   - estimating the distance to services based on digital facility maps which include information on maternity provision in health centres and hospitals throughout the country.

2. To identify, by linking all three data sources listed above spatially in a regression analyses, the key factors determining service exclusion throughout Ghana

3. To provide a more precise understanding of maternal health service utilisation in three case study districts of Ghana.

4. To interpret the findings of regression analyses and case studies based on local and national understandings of using maternal health services in Ghana / by interviewing national and district level health service managers, health facility staff and women who are pregnant or have recently given birth.

The project also seeks to establish a methodological approach to producing linked poverty, health access and physical availability maps which can be applied in other data-rich contexts.

**Objectives listed in EOA report**

[not available]

**Contributions**

[not available]
The proposed study is an essential and timely investigation of the effectiveness and contextual features of schools in China as well as how innovative methods of school evaluation have been applied locally to educational policy and practice in rural and urban secondary schools.

This research has the following objectives:

1. At the national level - to identify and define the dimensions of secondary school effectiveness in China, using innovative quantitative (multilevel) techniques to create "value added" measures for different student outcomes (eg Chinese, maths, English) and student groups (eg by prior ability, gender), across a range of 5+ regional (west & east) LEAs, and to compare and contrast these findings to equivalent results from the UK and elsewhere (eg Thomas 2001). The impact of a variety of student intake, classroom, school and contextual factors on student and school performance will be examined in detail.

2. At the local level - to explore how "value added" approaches and innovative methodology (quantitative and qualitative) has been applied and adapted by an LEA (and may potentially be applied) to reflect local contexts and educational priorities and to develop new tools for school evaluation and self-evaluation.

3. to develop professional knowledge through the understanding of Chinese policy makers, teachers and students conceptualisations of education quality, values and priorities and how these should be evaluated in schools and local contexts.

4. to develop new theoretical insights and models of school effectiveness in China that highlights the potential role and impact of different educational priorities and contexts.

5. to contribute to educational policy development (and capacity building) by providing robust and relevant new evidence, in an area where empirical data is lacking, thereby addressing the issue of how measures of school effectiveness may be contextualised and operationalised within a school evaluation framework in the China – given regions and urban/rural locations in China vary considerably in terms of socio-economic and cultural features.

6. to develop guidance for the Ministry of Education on the evaluation, inspection and monitoring of educational quality and improvement in China that takes into account the priorities and contextual features of schools and schooling.

7. to identify and disseminate the key lessons learnt from the project findings that are relevant to education evaluation and policy development in other developing countries and at both primary and secondary phases of education.

8. to connect with MDG goals: improvements to school evaluation methods will stimulate, inform and enhance processes and initiatives aiming to raise student access, outcomes and educational quality, key factors in the drive towards poverty alleviation.

The specific research questions are provided in the case for support
<table>
<thead>
<tr>
<th><strong>Project title</strong></th>
<th>What Development Interventions Work? The long-term impact and cost-effectiveness of anti-poverty interventions in Bangladesh</th>
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<tbody>
<tr>
<td><strong>Number</strong></td>
<td>RES-167-25-0361</td>
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<tr>
<td><strong>PI</strong></td>
<td>Dr Agnes Quisumbing, International Food Policy Research Institute, Washington DC</td>
</tr>
<tr>
<td><strong>Dates</strong></td>
<td>1 March 2008 - 30 September 2010</td>
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<td><strong>Form type</strong></td>
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**Original objectives**

The objectives of this project are threefold:

1. to estimate the long-term impact of three antipoverty interventions/microfinance, agricultural technologies, and educational transfers--on a range of monetary and non-monetary measures of well-being;
2. to compare the cost-effectiveness of these interventions in attaining their poverty-reduction and other development objectives; and
3. to stimulate a policy dialogue among key stakeholders inside Bangladesh and contribute to the design of future antipoverty interventions in Bangladesh and South Asia.

The specific research questions to be addressed by this project are:

(a) What are the long-term impacts of each of the interventions on per capita consumption and gender disaggregated measures of monetary and non-monetary well-being?
(b) What is the impact of each of the interventions on physical and human capital accumulation?
(c) What underlying processes, at the household, community, and national levels, have contributed to the success or failure of these interventions?
(d) Which of the three interventions is most cost effective?

The associated user engagement strategy aims to stimulate a policy dialogue among key stakeholders inside Bangladesh and contribute to the design of future anti-poverty interventions. It is planned to take a multi-level approach, engaging informally with likely users of the research during the early stages of the project and then producing outputs tailored to the needs of various audiences towards its end. These two very distinct audiences are:

(a) Government ministries and agencies, international donors and NGOs working on anti-poverty projects in Bangladesh. This primary audience will be reached by informal meetings, a stakeholder consultation at the start of the project (including the convening of a high-level Stakeholder Consultation Group), and national and community-level dissemination workshops at the end of the project. Materials to be distributed in this workshop would also be translated into Bangla to widen their reach to Bangladeshi practitioners in the field.
(b) The global academic and policy audience, who will be engaged by print and electronic media using the extensive networks of IFPRI and CPRC to distribute the detailed academic report, shorter policy briefs, and refereed journal articles.

**Objectives listed in EOA report**

The purpose of this project was to understand the long-term impact of three anti-poverty interventions-microfinance, new agricultural technologies, and educational transfers – on poverty and well-being in Bangladesh and to compare the cost-effectiveness of these interventions. Specifically, it investigated:

- What are the long-term impacts of each of the interventions on per capita consumption and gender disaggregated measures of monetary and non-monetary well-being?
- What is the impact of each of the interventions on physical and human capital accumulation?
- What underlying processes, at the household, community, and national levels, have contributed to the success or failure of these interventions?
- Which of the three interventions is most cost effective?

**Project changes**

No major changes were made to project objectives. While the original intent was to use both quantitative and qualitative methods to evaluate all three anti-poverty interventions, the diffusion of microfinance to all but the most isolated villages in Bangladesh made it impossible.

**e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)**

If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s
objectives and activities and note any effect on your project resulting from participation. [Max: 200 words]

Not part of a bigger ESRC initiative.
<table>
<thead>
<tr>
<th><strong>Project title</strong></th>
<th>Chronic Poverty and Aspirations Failures</th>
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<tbody>
<tr>
<td><strong>Number</strong></td>
<td>RES-167-25-0364</td>
</tr>
<tr>
<td><strong>PI</strong></td>
<td>Professor Sayantan Ghosal, Warwick</td>
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<tr>
<td><strong>Dates</strong></td>
<td>1 May 2008 - 31 December 2009</td>
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<td><strong>Form type</strong></td>
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<tr>
<td><strong>Original objectives</strong></td>
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<tr>
<td>Main objective: to provide a new conceptual framework to understand the self-enforcing mechanisms underlying chronic poverty</td>
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<tr>
<td>Sub-objectives: 1. to examine the formation of individual aspirations within the social interaction</td>
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<td>2. to study the way in which external social conditions such as social exclusion, income and income distribution interact with individual aspirations.</td>
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<td>3. to analyse the relationship between aspirations and choice.</td>
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<td>4. to provide an integrated platform for evaluating the efficacy of policy initiatives to alleviate chronic poverty.</td>
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<tr>
<td>5. to understand when should policy address the psychological factors (like aspirations, self-confidence, willpower) of individuals and when should address their extrinsic circumstances? What is the appropriate policy mix for alleviating chronic poverty?</td>
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<tr>
<td><strong>Objectives listed in EOA report</strong></td>
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<tr>
<td>Main Objective: To provide a new conceptual framework to understand the self-enforcing mechanisms underlying chronic/persistent poverty</td>
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<td>Sub-objectives: 1. to examine the formation of individual aspirations within the social interaction,</td>
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<tr>
<td><strong>Project changes</strong></td>
<td>Following discussions with a new colleague Dr. Anandi Mani, an empirical development economist, who joined the Department of Economics at Warwick after the original project was started, permission was sought from the ESRC to both extend the project by 5 months and vire funds between headings to carry out a lab experiment to provide empirical content (in addition to the theoretical framework and case studies) to the analysis of the link between extrinsic circumstances and internal constraints. Permission for postponing the project completion date and reallocation of funds was granted, by the ESRC. Work on issues of experimental design had to be carried out and relevant ethics approval was sought and obtained and the actual experiment was carried out over November-December 2009. Patricio Dalton, the named RA on the grant, had to leave Warwick in August 2009 in order to take up a post as Assistant Professor in Economics at the University of Tilburg. A number of RAs and a computer programmer were hired on a casual basis in order to help with the lab experiment and the organisation of the Conference.</td>
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<tr>
<td><strong>e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)</strong> If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.</td>
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<tr>
<td>This project was part of a joint DFID/ESRC scheme. It has contributed to the key issue of reducing poverty and deprivation by focusing on the interaction of internal constraints and extrinsic circumstances in perpetuating deprivation from a theoretical and empirical angle.</td>
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</tr>
</tbody>
</table>
**Project title**  
Proposal to conceptually integrate social determinants of health research and capabilities approach to development and social justice.

**Number**  
RES-167-25-0369

**PI**  
Professor Sir Michael Marmot, UCL

**Dates**  
1 February 2008 - 30 September 2010

**Form type**  
New

**Original objectives**

1. Move towards creating a theory of health causation and distribution that spans rich and poor countries and one that takes account of biology, material conditions, and social conditions. Such a theory should have comprehensive explanatory power and prescriptive power for ethical social response to health inequalities within and across countries.

2. Make use of epidemiology's expanding scope to capture social determinants as an opportunity to develop a better approach to identify, evaluate and alleviate health inequalities in poor countries. This should be achieved through world class theoretical research taking advantage of multi-disciplinary research environment in public health and epidemiology department.

3. Integrate the Capabilities Approach to development and social justice with social determinants of health research in three areas and produce six academic articles publishable in internationally respected peer-review journals. The three areas of research should include:
   (a) Show how Marmot's articulation of the social determinants of health overlaps with the conceptual descriptive device of a capability in the Capabilities Approach. Articulate how the analysis of the social determinants of biological functionings is similar to an analysis of the capability to be healthy.
   (b) Show how the argument for the moral entitlement to the capability to be healthy overlaps with or is same as the entitlement to the social determinants/social basis of health functionings. Defend an entitlement to the social basis of a capability to be healthy against alternative conceptions of health entitlements, particularly the narrow focus on distribution of healthcare goods and services.
   (c) Offer a defence against the critique that epidemiology that captures social phenomenon is no longer an objective, value free science. Identify the role of epistemic and social values in the practice of "classic epidemiology" to show that all science is a social endeavour, and social epidemiology is an instrumental science which recognizes a greater role of philosophical and ethical reflection.

4. Begin to develop how this theoretical framework can be used to guide health policies in developing country settings. Test the usefulness of the framework to critique existing approaches to healthcare priority setting and broader health policies. Begin to identify possible ways to incorporate the theoretical ideas into social determinants research studies.

5. Initiate and engender mutually illuminating collaboration among team of multidisciplinary team of researchers in department through open and respectful dialogue, collaborative writing, seminars, and lectures.

6. Engender greater interest in policy implications of the intersection between social epidemiology and political philosophy among health and development policy makers, established academics, and students through organizing open seminars, guest lectures, disseminating publishings, academic networks, teaching, and issue specific advocacy.

7. Continue the professional development of the researcher through opportunities to give guidance to other researchers and students, participation in academic conferences, and continue developing lectures and curriculum on global health.

**Objectives listed in EOA report**

The objectives were to produce a range of intellectual outputs including two substantial journal articles in each of three topic areas, organize two tracks of seminars (ie health inequalities, philosophy and epidemiology) and conferences/lecture series. These outputs as well as engagement with academic colleagues and other stakeholders were aimed to push forward the boundaries of social epidemiology, the CA, health and social justice philosophy, and inform health policy makers address health inequalities domestically and in health development programmes. The specific questions to be pursued included:

1. Health as a capability: How can social determinants research and the conceptual device of a capability be integrated to build a descriptive account of human health seen as a capability to achieve biological/mental and agency functionings?
2. Social determinants, social justice, and capability to be healthy: In order to have prescriptive power, social epidemiology and the Capabilities Approach need to construct an argument for an entitlement to the social basis/social determinants of a capability to be healthy.

3. Philosophy of epidemiology: How can social epidemiology respond to the charge that it is not an objective or natural science? Can individual level “bio-medical” determinants and social determinants be integrated into one model? What are the philosophical commitments underlying social determinants of health research?

Project changes
There was a no-cost extension of one-month. The extension was approved by the ESRC.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks) If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

This grant was administered under the ESRC-DFID Scheme for research on international poverty reduction. The call for proposals asked for innovate, interdisciplinary and rigorously reasoned proposals. Given the increasing influence of the capabilities approach on development theory and policy, our proposal aimed to further explore how the capabilities approach can incorporate the state of the art research in social epidemiology. We hope to have begun highlighting the scientific and ethical reasons for focusing on health capabilities in development programmes, and the analytical reasoning involved with evaluating and addressing health inequalities.
**Project title**  
Finance and formalisation as mechanisms for poverty reduction in Africa

**Number**  
RES-167-25-0371

**PI**  
Dr Francis Teal, Oxford

**Dates**  
February 2008 - October 2009

**Form type**  
Old

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### Original objectives

We propose to evaluate how access to micro-finance and processes of formalisation can impact on poverty by investigating two policies in Ghana and Tanzania. The first is the expansion of micro-credit services into randomly selected communities by several partner NGOs. The second is the implications of a process of formalising business structures currently underway in Tanzania. A three year panel of workers in the urban areas of both Ghana and Tanzania has already been created so a base line exists with which to compare the outcomes. It is proposed to re-survey the individuals in this panel in both countries to show how these changes have impacted on their livelihoods. Both interventions provide a unique opportunity to measure the causal impact of particular interventions on poverty.

A common factor across the activities of the poor whether it be those who own micro firms, those who work on farms or the self-employed is the problems they face in being able to increase the scale of their activities. In this project we propose to ask how far micro-credit and processes of formalisation enable the scope of such enterprises to be expanded.

Micro-finance has been very widely used as an intervention. A large range of public and NGO sponsored interventions have sought to alleviate the credit constraint facing either firms, farms or individuals. The amount of quantitative research evaluating microfinance is limited. Morduch (1999) provides a survey of work in the 1990s. At the time of that survey empirical analyses of aspects of microfinance programs relied primarily on cross-section data. Since that survey, work has been extended to include fully randomized field experiments for example Copestake et al (2005) for Peru and Karlan and Zinman (2005) for South Africa. Panel data approaches have also become possible with data extensions for some countries, Khandker (2005) for Bangladesh.

A common finding across virtually all surveys of firms and households in Africa is that those viewed as “informal” have much more limited access to finance and a range of other services than those viewed as ”formal”. Can a process by which these informal activities are given a formal structure improve outcomes for the poor? In Tanzania at present such a process is underway. As our existing data pre-dates this process it should be possible if follow-up data are collected to establish if the process of formalisation has improved outcomes for the poor.

Among our other objectives, we hope to showcase the importance of this methodology which brings together long-term data collection efforts by academics with innovative policy interventions by governments and NGOs as a tool in future development policy analysis.

As far as we are aware no study has used panel data in Africa to assess the consequences of microfinance and formalisation processes on outcomes for poor people - the objective in this proposal.

### Objectives listed in EOA report [full report had to be downloaded from ESRC website]

We proposed to investigate two policies designed to reduce poverty. The first was a microfinance programme providing poor people with direct access to credit in Ghana. The second was an institutional reform to encourage business formalisation and, in turn, access to formal credit markets in Tanzania. These policies were to be researched using a methodology which builds policy experiments into longitudinal household surveys in both Ghana and Tanzania. Using this research methodology, we proposed to shed light on the general question of finance and poverty reduction by answering two specific questions:

1. **Incidence:** Who are the recipients of microfinance? Who participates in business registration and formalization programmes?
2. **Impact:** What is the causal impact of these policies on recipient incomes and poverty status?

We have met the objective of carrying out the surveys and using them to investigate the relationship between microfinance, employment and poverty reduction. For logistical reasons it did not prove possible to carry out the study of formalisation in Tanzania.

### 8. Contributions to the aims and objectives of the ESRC/DFID Scheme

Your project was funded under the Joint ESRC/DFID Scheme for research on international poverty
reduction. Please describe your project's contributions to the Scheme's overall objectives, and note any impacts on your project resulting from your involvement in any Scheme activities or outputs.

The overall objective of the ESRC/DFID scheme is to understand better how to reduce poverty. This project has shown not simply whether poverty can be halved, we have shown how it has been achieved in Ghana.
**Project title**
An experimental analysis of network and group formation for collective action

**Number**
RES-167-25-0372

**PI**
Professor Marcel Fafchamps, Oxford

**Dates**
February 2008 - May 2010

**Form type**
New

**Original objectives**
The provision of local public goods is essential to the welfare of millions of poor households living in countries with governments incapable of or unwilling to attend to their needs. These households typically have no alternative but to attempt to self-provide the much needed public goods. This is true in many countries for health care, elderly care, and insurance against crop failure and particularly prevalent in Sub-Saharan Africa. In the absence of government intervention, provision must be organized at the level of the local community.

Recent years have witnessed a renewed policy interest in community-based development, which seeks to provide public goods for the poor by mobilizing local communities. For mobilization to be successful, a proper understanding of the limits to such initiatives is essential. Because local communities often lack the power to collect local taxes, contributions to local public goods are voluntary in nature. This creates a potential for free riding. For informal arrangements to be sustainable, participants must trust each other. The need for trust puts limits on mobilization.

Our research seeks to document these limits by investigating the community mobilizing process and the formation of local groups and social networks. We want to understand the factors that make it possible for certain individuals to trust each other enough to form a group aimed at generating a collective good on the basis of voluntary contributions. The study of group formation is often complicated by the possibility of reverse causation: are people in the same group because they are alike, or are they alike because they are in the same group? We propose to use experimental data to eliminate the reverse causality problem.

Our findings have important policy implications relating to efficiency: if groups are limited in size because only close kin associate, the groups may be too small to reap the full benefits from collective action. Our findings also have important implications for equity: if only rich or well-connected people form groups, only they can enjoy the benefits from collective action.

**Objectives listed in EOA report**
The aim of this project was to shed light on whether and how the need to rely on trust and informal mechanisms of enforcement when addressing problems of collective action leads to divisions and exclusions within communities. This is important as divisions and exclusions have implications for the equitability and sustainability of community-based development initiatives.

A literature on this topic already existed. However, owing to the types of data used, previous analyses could not distinguish between the effects of individual and community characteristics on the formation of groups and group composition and the effects of group formation and composition on individual and community characteristics.

Our principle objective was to use the experimental nature of our data to isolate the effects of individual and community characteristics on the formation of groups and group composition. In particular, we sought to establish whether the need for trust and inter-personal accountability

- restricted group formation for collective action to within kin groups only
- led to the exclusion of the poor
- caused men and women to segregate; and
- implied a role for religion in village economies.

**Project changes**
The original aims and objectives of the project remained in place throughout. However, because we could find no evidence that the poor were being excluded from collective action, we expanded our objectives to include a search for positive evidence of the existence of egalitarian values in the villages. To this end, Abigail Barr and Mattea Stein conducted an analysis of the relationship between household income and status, the latter measured by funeral attendance.

In addition, we asked for and were granted a three month, no cost extension to the project. This extension was necessary as the setting up of the data relating to the quasi- or natural experiment was far more onerous than we anticipated. In order to address a number of gaps and inconsistencies
in the data, we had to send field researchers back out to the villages with specially designed questionnaires and other data gathering instruments. The extension has allowed us to meet our original aims and objectives and to generate a dataset that is worthy of further analysis.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)
If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

Our project was funded under the “ESRC-DFID Joint Scheme for Research on International Development” The focus of this scheme is poverty alleviation. In the latest call “inequality and development” has been listed as one of three areas of particular interest. Our work falls into this area. Had we found that the poor tend to be excluded when groups are formed to address shared problems or that poor villages tend not to form groups and may therefore be less effective at addressing problems of collective action this would have had important implications for poverty alleviation via community-based development initiatives.

In fact, we found the opposite: poorer villages engage in more group formation and relatively poor households are not excluded from either CBOs or groups formed within a game designed to mimic a situation in which a funding agency invites villagers to form groups rapidly in order to address a shared problem.

This is good news. However, we need bear in mind that, in order to identify the causal relationships of interest, we had to focus on a specific type of village. The implications of this are discussed in our latest paper which can be found at http://www.csa.e.ox.ac.uk/workingpapers/pdfs/2010-21text.pdf
**Project title**: Identifying barriers to TB diagnosis and treatment under a new rapid diagnostic scheme.

**Number**: RES-167-25-0387

**PI**: Dr Luis Cuevas, Liverpool School of Tropical Medicine

**Dates**: 1 May 2008 - 31 October 2011

**Form type**: [none]

### Original objectives

**Aims and objectives**: The purpose of this study is to identify barriers to Tuberculosis (TB) treatment uptake and strengthen the evidence that accelerated diagnostic schemes lead to increased access to treatment in high incidence countries. The study will, in populations with high TB incidence:

1. Identify barriers preventing adults from completing the diagnostic process for TB when examined through new accelerated schemes
2. Establish whether accelerated schemes for diagnosis results in an increased uptake of TB treatment.
3. Identify changes required by health services to address these barriers

### Objectives listed in EOA report

[not available- project has been granted a no cost extension until 31st October 2012]

### Contributions

[not available]
This research aims to improve understanding of the relationship between women’s employment and risk of physical and/or sexual violence in two Tanzania settings, and examine the policy and conceptual implications in order to:

1. Examine the association between household poverty; women’s social and economic empowerment and risk of IPV in Dar es Salaam and Mbeya; and explore the influence of contextual factors on the associations documented;
2. Document how poor women engaged in formal or informal employment activities outside the home describe the impact of their work on their household roles and relationships, including their partner's perspective on their work; the extent to which financial autonomy and/or social mobility seems to support or threaten the family unit, reduce or exacerbate the risk of violence; and whether these have changed over time.
3. Document the strategies that poor women engaged in formal and informal employment use to mediate the potential risk of violence within their partnerships; including the extent to which women are able to seek help or try to leave a violent relationship in each setting; and their assessment of the extent to which employment increases their ability to address IPV.
4. Document community and local stakeholders perceptions about the relationship between women’s economic and social empowerment and IPV risk, and the possible implications of the findings for development and poverty alleviation strategies in Tanzania, and other similar settings regionally, and for interventions aiming to prevent IPV in the region.
5. Use the findings to develop a revised conceptual framework for the relationship between women’s social and economic empowerment and risk of IPV.

Our research sought to better understand the relationship between women’s employment and risk of intimate partner violence in the two contrasting sites of DES and Mbeya, in Tanzania. Specifically, we aimed to:

1. Examine the association between household poverty; women’s social and economic empowerment and risk of IPV in DES and Mbeya
2. Document how poor women engaged in informal employment describe the impact of their work on their household roles and relationships, including their risk of violence; and whether these have changed over time
3. Document the strategies that poor women engaged in informal employment use to mediate the potential risk of violence within their partnerships; including the extent to which women are able to seek help or try to leave a violent relationship.
4. Document community and local stakeholders perceptions about the relationship between women’s economic and social empowerment and IPV risk, and the possible implications of the findings for development and poverty alleviation strategies in Tanzania, and other similar settings regionally, and for interventions aiming to prevent IPV in the region
5. Use the findings to develop a revised conceptual framework for the relationship between women’s social and economic empowerment and risk of IPV

The aims and objectives that were stated in the original research proposal remained the same over the duration of the project. However, an additional research objective was added in response to a referee’s concern about the way that IPV was conceptualised.

The referee suggested that we justify why we define IPV as experience of physical and or sexual violence, and questioned why we didn’t include issues of emotional and economic abuse and controlling behaviours. The additional objective in our study was:

6. To advance our understanding of the types and context of IPV in DES and Mbeya, Tanzania, and to identify how different forms of physical and sexual violence, emotionally abusive acts and
controlling behaviours group into types of violence; and to explore the implications of the findings for developing theoretical models of intimate partner violence in a developing country setting. The findings from this were then incorporated into the original proposed objectives, to explore whether the findings differed by the forms of violence that women were experiencing. This addition was detailed in the projects progress report submitted to ESRC.

e) Contributions to wider ESRC initiatives (eg Research Programmes or Networks)
If your project was part of a wider ESRC initiative, please describe your contributions to the initiative’s objectives and activities and note any effect on your project resulting from participation.

This project was part of the Joint ESRC-DFID Scheme for research on international poverty reduction. The contributions of this project to the scheme’s aims and objectives are summarised as follows. This study:

- Researched a key gendered aspect of poverty, the link between women’s employment / income generating activities and IPV in one of the poorest countries in the world, Tanzania.
- Addressed research challenges by
  - Creating a rich qualitative dataset capturing household dynamics between poor men and women in two contrasting Tanzanian settings
  - Providing greater understanding of the context within which women’s employment affects their vulnerability to IPV and the causal pathways linking these two, and the implications these have for development interventions targeting poor women
  - Advancing methodological approaches to researching IPV and women’s employment in LMIC
- Reinforced an existing collaboration between researchers at MUHAS and LSHTM, and strengthened local (Tanzanian) research capacity.
- Encouraged engagement with Tanzanian academic and non-academic stakeholders to ensure the study’s relevance.