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1 Executive Summary

In the report we describe the methodologies that have been used across 122 ESRC-DFID Joint Fund for Poverty Alleviation Research projects covering 2005 to 2014. The DFID/ESRC programme created a creative space for academics to pursue policy-relevant research agendas that have increased our understanding of the nature of poverty and poverty alleviation in developing countries. Some of the grants demonstrated a significant policy impact - for example effecting a change in the policy of the International Labour Organisation. Furthermore, many of these projects were productive in generating outputs, specifically peer reviewed outputs (averages of nine and four outputs respectively). More than a quarter of the peer reviewed outputs were published in the top twenty percent of journals, according to the Norwegian Research Council classification, and our citation analysis suggested that once the studies were picked up they were widely cited, with a median of seven citations for Google Scholar, which also covers grey literature, and four for Web of Science.

The projects reviewed in this document were drawn from seven calls across three phases, including the Development Frontiers scheme for ‘blue skies’ research on poverty alleviation. We provide an overview of their research designs, themes\(^1\) and focal countries, and the background of their PIs (section 4.1). We present a thematic analysis of the methodological approaches used in all 122 grants (section 4.2), and a more detailed analysis of the research outputs generated by projects funded in phases one and two (section 4.3), as outputs were not yet available for phase three. We also analyse the impact pathways used and impact achieved by different types of projects using 15 impact reports (section 4.4), which were completed by the Principal Investigator (PI) 12 months after the end of the project (for this reason our sample is relatively small).

While we discuss differences between phases, e.g. in research design, these were not as pronounced as we would have expected given the duration of the programme. We present an example of the challenges of interdisciplinary working developed using the framework for International Social Research Methods Case Studies (section 4.3.5.1), and three illustrative case studies of interdisciplinarity, use of innovative methods and/or methodological combinations (section 5). These show the potential of new approaches or applications. Through the interdisciplinary example and case studies we identify good instances of the reporting of methodology that could be shared more widely, including reflections on the limitations of research and how this might affect analysis. We also undertake a comparative analysis of two pairs of projects to show how their respective

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\(^1\) The themes were generated inductively from a preliminary review of the grants as we felt the way in which they were grouped thematically on the website was insufficiently specific.
methodologies may have shaped the choices that they made and the impacts they were able to achieve (section 5.4). In the conclusions we appraise the scheme in relation to the quality criteria set out in sections 2 and 3 and identify opportunities for methodological capacity strengthening. The appendices contain an annotated bibliography of outputs from the projects that provides information on methodology (appendix 1), a listing of datasets available at the UK Data Service (appendix 2), and an example of a grant analysed using Spencer et al.’s (2003) quality assurance framework for qualitative research to show some of the challenges of using it in relation to missing information (appendix 3).

Our analysis of the backgrounds of the PIs demonstrated that the majority (87%) came from an academic institution. PIs from Oxford represented nearly 10% of our sample and a quarter of all PIs had an Oxbridge bachelor degree. The majority of the PIs did their Bachelor’s’ degrees in the UK (65) with 16% of PIs taking their degrees in the global South. The PIs were dominated by males (52 women, 70 men), and their ages ranged from 37-70 with an average age of 55.5. 51% of grants went to Professors. 28% of the PIs were economists. Nearly half had previously held a grant from DFID (46%), typically more than one. Slightly fewer had held an ESRC grant (37%), but again, most of these had held more than one.

The most popular research theme is poverty reduction (44), reflecting the nature of the call. Governance, aid and intervention, and health and education are also important (36, 18, 17, respectively), reflecting the priorities of the co-funders DFID. Only a quarter of the outputs used theory in their analysis which suggests a more applied orientation, although this figure was reduced by the limited use of theory in the quantitative outputs (less than one in ten). The projects are evenly divided between single and multiple country studies, mostly with two or three countries, although the multiple studies are not necessarily comparative or united by a common research design. Most projects came from South Asia and Sub-Saharan Africa were the main regions included, reflecting a focus on the regions where the majority of the poor live. Within these regions, South Africa, Kenya, Malawi, Ghana, Tanzania, and India predominated, suggesting a bias towards Anglophone or English speaking Africa and India. 41 projects worked in fragile and conflict-affected states and the majority of projects worked in rural as well as urban locations. 51% of projects analysed secondary data, often in conjunction with generating primary data. Although the majority of these projects were quantitative or mixed methods, over a third of qualitative projects also made use of secondary data. Purposive sampling predominates due to the number of qualitative and mixed methods, which often combined more than one sampling approach. It also reflects the
difficulties of getting accurate sample frames in many of the project areas which makes randomisation difficult.

One of the most striking findings of the review was the dominance of mixed methods projects which increased from 43% to 64% of projects between the first and second phases and remained at 57% in phase 3. This reorientation towards mixed methods studies reflects broader changes within development studies, for example, the increasing pressure on researchers seeking funding to present their research and research design as innovative (Travers, 2009 in Wiles et al, 2010). It may also reflect a fear among qualitative researchers that their methodologies will be considered insufficiently rigorous without a quantitative component, even though in section 4.3 we see that outputs from qualitative grants are far more likely to be published in the most prestigious journals than outputs from either quantitative or mixed methods and section 4.4 demonstrates that qualitative grants are equally effective in achieving impact.

When we look at mixed methods research designs, we find that basic surveys, interviews and focus groups predominate, suggesting that the majority are not mixing methods in a particularly innovative way (although see sections 5.2 and 5.3 for some inspiring examples). For example, one third of mixed methods grants used descriptive surveys as the only quantitative method with interviews and/or FGDs as the only qualitative method(s). We used the analysis of outputs from projects using mixed methods to look at the sequencing of qualitative and quantitative methods, which is one indicator of the genuineness of the mixing. Nearly half the mixed methods outputs discussed this, however, a quarter did not report both qualitative and quantitative data and twenty percent of those who did reported them separately with minimal attempt at integration. Only two of the nine mixed methods studies that archived data archived both qualitative and quantitative data.

Nonetheless, our case study of White et al. provides a good example of successful archiving of mixed methods studies, as does Rea-Dickens whose study of student performance in national examinations archived data from classroom observations, ethnography, surveys, and tests/examination results. We also see impressive results from mixed methods studies in terms of generating both academic and non-academic impact (section 4.4), which in some cases can be plausibly attributed to their research design. To increase the value of similar schemes, we recommend providing more support in the area of mixed methods and for researchers who are early career and/ or from Southern institutions, both during the project and in applying for their own grants.
2 AIMS OF THE RESEARCH SYNTHESIS

The aim of this ESRA was to review and synthesise evidence on research methods from the portfolio of research funded through the Joint Fund in order to draw out commonalities and contrasts, assess the research’s existing and potential contribution to the overall scheme’s aims, and identify key gaps for consideration in the development of future scheme research calls. In doing so it supports the scheme’s objective of improving the quality of social science for development and increasing its diversity. The review focuses on DFID-ESRC’s priorities of promoting greater attention to and reporting of methodology, investing in a diversity of methods, and encouraging multi/inter-disciplinary research. In so far as this is possible, given that some of the grants were awarded fairly recently, it aims to identify trends in how, in what contexts, and with what success and challenge quantitative, qualitative and mixed-method approaches have been utilised by scheme research. For example, in section 4.4 we use 15 ‘impact reports’ provided by completed studies to explore how the impact pathways and the extent of impact achieved varies according to the type of study (a theme we return to in section 5.4).

Another question we were asked to address was ‘What can we learn though this ESRA about the ways in which methodology (both as theoretical framing and practical conduct of research) shapes, influences or informs the outcomes, findings and potential impact of research?’ We addressed this through further qualitative analysis in section 5.4 where we selected two pairs of projects on similar topics in similar contexts that nonetheless took very different approaches. While for a researcher the idea that methodology shapes results is a given rather than a question, the analysis of these projects suggests how this can happen, which may enable us to assess what will and will not be learned from particular types of study.

We engaged directly with the question of the quality of the research funded by the scheme, recognising that this is hard to capture, as discussed in the following section. This involved using a number of proxy indicators which taken as a whole present a positive picture of the quality of research funded by the scheme. For example, Spencer et al.’s (2003) widely used framework for quality assuring qualitative research highlights the importance of conveying the ‘detail, depth and complexity (i.e. richness) of the data’ (p15), something most project outputs did very well. We recognise, however, that some of the indicators are double-edged, for example, having PIs who previously received funding increases confidence in the quality of their work and suggests they have made good use of funding received in the past. However, it may also indicate that applications from early career researchers or researchers based in Southern institutions have not been funded (7% of PIs in the portfolio are based at Southern institutions, although the scheme was open to ‘non-UK
organisations with recognised research capacity’). We report on these indicators in the concluding section (section 6).

3 METHODS USED IN THE RESEARCH SYNTHESIS

In this section we discuss and situate our understanding of quality in development research, describe the studies we have included in our research synthesis, and outline the methodology for data extraction, quality appraisal, and synthesis.

Within development studies, as in other social science fields, there is widespread agreement that the quality of research is important and this is carefully assessed when deciding which studies to fund and in evaluating the impact of funding. Nonetheless, there is less agreement on what quality consists in, particularly when considering qualitative and quantitative studies, and the appropriate weighting to be given to different ‘goods’ such as supporting early career researchers and maximising output, or communicating findings to local actors and publishing in prestigious journals (some of these tensions can be seen in section 4.4 as few projects were able to do both). As we discuss below, we used different criteria for quantitative, qualitative and mixed methods studies, but all shared common elements such as transparency and reflexivity as without this it is hard to judge quality. Lincoln and Guba (1985) have suggested criteria for research quality which potentially apply to both qualitative and quantitative research, for example, credibility (internal validity — the level of confidence we can have in the findings), confirmability (objectivity — the extent to which the findings were influenced by the research process, including the biases of the researchers), dependability (reliability or replicability — whether if the research were repeated it would produce similar results), and transferability (external validity — the applicability of the results to other contexts). These have value because, as the ‘risk of bias’ assessment we report in section 4 demonstrates, even good quantitative research does not fully comply with existing guidance on quality (e.g. the Cochrane Collaboration guidelines), which could lead to its exclusion from systematic reviews. For the qualitative research we trialled Spencer at al.’s (2003) framework (appendix 3) and also drew on DFID’s internal standards which highlight Transparency, Bias, Richness of data and presentation of diversity, Triangulation of analysis, Limitations, Systematic analysis, and Ethics. These bring together what Reynolds et al. (2011) characterise as output and process oriented approaches to assessing research quality, with the former focused more on validity and rigour and the latter on responsibility and reflexivity (for example, ‘being explicit about the methodological choices made and the theoretical reasons behind them’, ibid, p7). We also considered sequencing
and integration of data in mixed methods research, following Pluye et al. (2013), and discuss this in section 4.3 in relation to the reporting of mixed methods research in research outputs.

While we were not able to consistently gather this information from the project documentation or outputs, other potential indicators of quality would be the trajectories of early career researchers employed by the project, evidence of capacity strengthening among research partners (for example, independent applications for funding, which were mentioned in a number of impact reports), usage statistics for project websites and resources, including data sets, and any follow-on funding received as a result of the original collaboration (also discussed extensively in impact reports). Following Wiles et al.’s (2010) review of innovation in qualitative research, we aimed to ‘explore authors’ claims only and to minimise the influence of our assumptions, interpretations and opinions in extracting data from papers (ibid, p6), which meant that where data was missing, for example, on methods of analysis, we noted this rather than use our ‘common sense’ to fill in the blanks. This may have introduced a downward bias in our assessment, as we could not tell whether, for example, researchers had reflected on limitations, but considered these too obvious to report.

In the next section we describe the studies we have included in our research synthesis. As noted above, 122 ESRC-DFID research projects were initially identified from three phases of funding through the DFID-ESRC poverty alleviation scheme, including one phase of funding through the Development Frontiers call which was ‘broadly defined as involving pioneering theoretical and methodological innovation, and/or research based on the engagement of a range of disciplinary and interdisciplinary perspectives’ (Call Specification 2012-13). However, many of these projects did not provide sufficient methodological information, in part due to the timing of the review. We were able to analyse the background of the PIs, the research themes, the research design and the countries covered for all projects on the basis of their proposal (see section 4.1 which provides analysis at the level of the scheme). However, for the more in-depth analyses of, e.g. analytical approach, we had to exclude 47 research projects which resulted in a sample of 75 ESRC-DFID research projects covering the time period 2005 to 2011 (see section 4.2. which provides analysis at the project level). We randomly selected 159 individual outputs across the 75 research projects and discuss these in section 4.3.

The following section describes our approach to research synthesis which borrows elements from the established systematic review (SR) process following general SR guidelines set out by the Cochrane and Campbell Collaborations. In doing so we draw on experience of reviews of interventions in microfinance (Duvendack et al, 2011) and child protection (Walker et al., 2013). These are summarised in Mallett et al. (2012), which discusses the benefits and challenges of SR for
international development. This section introduces the elements we will be borrowing from the SR process, namely validity and quality assessment as well as synthesis methods.

Our search strategy for outputs is largely based on information from ‘My ESRC’ (the profile page for ESRC grants where PIs upload research outputs, replaced by Researchfish in October 2014). However, we also verified this information by screening the CVs and institutional webpages of grant holders. This further stage enabled us to include, on average, at least one extra output per grant. If in the course of our searches we identified available data sets archived in UKDS\(^2\), then we assessed their quality, using principles outlined in Camfield and Palmer-Jones (2013) (e.g. archiving of both quantitative and qualitative information, quality of the metadata, comprehensiveness of the project information, presence of raw data as well as data summaries or estimation data sets). We also counted the citations of a sample of 159 working papers and journal articles from the 75 research projects to gauge the usage and impact of the work. Our sampling strategy was to randomly select 20% of the empirically focused articles and working papers from each grant, or at least three, if the number of outputs was smaller. In the absence of a large-scale bibliometric study, we felt that exploring the citations for a representative sample of empirical outputs might indicate which methodological approach has been most widely cited and is thus most likely to be influential, although any conclusions will be provisional given the differing lengths and start times of the different studies. Sampling outputs would also enable us to look at how data was analysed and presented, e.g. the extent of integration of qualitative and quantitative data and discussion of ethical issues. We use both Web of Science and Google Scholar databases to count citations as the former captures works from approximately 10,000 journals, whereas Google Scholar captures both a wider range of journals and citations in grey literature. In the next section we look at data extraction, validity and quality appraisal, and synthesis of extracted data.

### 3.1 Data extraction
The output from the search process was compiled into an Excel database, which listed all studies to be included in the synthesis stage (available on request). We extracted descriptive information from each of these studies using an adaptation of the data extraction form designed by Boaz et al. (2002) (table 1).

\(^2\) Only one project had archived data in their institutional repository rather than UKDS so absence from UKDS can be seen as an indicator that the data is not publically available, although it may be possible to access it by contacting the PI.
Table 1: Basic data extraction tool

<table>
<thead>
<tr>
<th>Details of publication</th>
</tr>
</thead>
<tbody>
<tr>
<td>Grant reference number</td>
</tr>
<tr>
<td>Number of outputs for each research project</td>
</tr>
<tr>
<td>Author</td>
</tr>
<tr>
<td>Title</td>
</tr>
<tr>
<td>Year</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Publication type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Norwegian Research Council publication classifications — was the article in a peered review journal?</td>
</tr>
<tr>
<td>was it in the top 20% of journals in its field?</td>
</tr>
<tr>
<td>Citation counts for World of Science and Google</td>
</tr>
<tr>
<td>Methodological focus — yes or no</td>
</tr>
<tr>
<td>Included — yes or no</td>
</tr>
<tr>
<td>Reasons for exclusion</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Theme and regions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Single or multiple countries and whether there is a comparative dimension</td>
</tr>
<tr>
<td>List of countries</td>
</tr>
<tr>
<td>Fieldwork location (rural/ urban)</td>
</tr>
<tr>
<td>Fieldwork done by authors or others</td>
</tr>
<tr>
<td>Themes (three columns provided)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Study design</th>
</tr>
</thead>
<tbody>
<tr>
<td>What was the overarching study design?</td>
</tr>
<tr>
<td>What specific research designs and methods were used? (e.g. ethnography, behavioural games)</td>
</tr>
<tr>
<td>Secondary data analysis — yes or no</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Research tools</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information on translation and/or piloting of tools?</td>
</tr>
<tr>
<td>Information on the sequencing of qualitative and quantitative methods?</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Theory</th>
</tr>
</thead>
<tbody>
<tr>
<td>Was any theory referred to in the research?</td>
</tr>
<tr>
<td>Give details if theory referred to.</td>
</tr>
</tbody>
</table>
Ethics

Is there any mention of ethics?

Analysis

Sampling approaches adopted
Statistical techniques used
Qualitative analysis techniques used

Data archiving

Was data reported to be archived?
Is there a UKDS study number evidencing this?
What sorts of data were archived?

Reporting

Was both qualitative and quantitative data reported?
If so, are they reported separately?
Is there a section reflecting on limitations?

Source: Adapted from Boaz et al (2002).

The content from the data extraction for each study fed into the validity and quality appraisal outlined in the next section.
3.2 Validity and Quality Appraisal of Included Studies

The most successful SRs have criteria for assessing each piece of evidence according to whether it is reliable within its own methodological paradigm and aims (e.g. whether in the form of an evaluation employing an RCT or qualitative research approaches). The quality appraisal process can and should be used to validate what constitutes evidence in relation to the specific question(s) that a particular study seeks to find answers to. Assessing the validity and quality of 75 highly diverse research projects is a challenging task, thus we proposed to do this by using different approaches depending on the nature of the evidence, i.e. evidence from qualitative, quantitative and mixed methods studies are assessed differently. Criteria for judging validity used in this synthesis are adapted from the Cochrane Handbook (2008) and EppiCentre (Gough, 2007; EppiCentre, 2010). We use these criteria to guide our validity and quality assessment of the 75 research projects and their outputs. These assessments differ by type of evidence:

1.1.1. Qualitative evidence: Having considered the appraisal tools discussed in our proposal, we planned to use an adaptation of Spencer et al.’s (2003) quality framework which employs 18 questions relating to nine key areas (findings; design; sample; data collection; analysis; reporting; reflexivity and neutrality; ethics and auditability). This is by far the most comprehensive of the available appraisal tools and has been used widely in applied research and evaluation, including by DFID (c.f. DFID How-to-note, 2014). It has, however, been critiqued by Torrance (2011, p574) for ‘presenting a council of perfection’ that overlooks the ‘contingencies, political pressures and decisions that have to be made’ as part of research. In fact, we did not use this as an additional tool in assessing the qualitative publications as an initial pilot – reported in Appendix 3 - demonstrated that despite having selected one of the best documented qualitative studies we could find for the pilot, we did not have all the information that was required to complete the tool. We felt that while it was a useful tool for structuring analysis of qualitative research as part of a rigorous case study, it could not be used for the systematic analysis of multiple research grants, due to the large amount of time required, the subjectivity of a number of the indicators, and, related, the limited capacity for meaningful comparison of performance between grants. This tends to support Torrance’s conclusions on operability. However, these questions informed the structure of

See appendix 3, where we use it to assess the quality of a qualitative study of the impact of HIV/AIDS transmission, which was one of the most comprehensively documented projects in the sample.
our data extraction spreadsheet (table 1), for example, reflexivity became ‘discussion of limitations’ and auditability became ‘archiving of data’.

1.1.2. Evidence from mixed methods studies: Critical appraisal of mixed methods studies is a relatively new area, as we discussed in our proposal. We had planned to adapt the Mixed Methods Appraisal Tool (MMAT) which looks at fit (whether the mix of methods is appropriate), integration of concepts, methods and analysis, and awareness of limitations (Pluye, 2013; Pluye et al, 2013). However, as we describe above, the studies do not have the level of information that would allow us to use this. We do look, however, at whether the methods have been sequenced in a way that allows them to inform each other (although again, there is little information on this), and in section 4.3 we check whether the different types of data are integrated in analysis and reporting in a random selection of empirical outputs.

1.1.3. Quantitative evidence: Given that the Cochrane Collaboration which represents the gold standard in systematic review methodology explicitly discourages the application of scales in quality appraisal (Cochrane Collaboration Handbook, chapter 8.5), we adapt the scoring scheme developed by Duvendack et al (2011). We use this scheme to categorize each of the studies by scoring their reported research design and analytical method; these scores are then combined into an index. The studies are scored 1-6 depending on their reported design and 1-3 based on their analysis technique:

Research designs

- **Randomised Control Trial (RCT):** potential beneficiaries are randomly assigned to so-called treatment and control groups so that outcomes are not contaminated by self-selection into treatment;
- **Pipeline** compares a representative sample drawn from the population that has had, or will have, access to the treatment with a sample drawn from an equivalent population that is about to receive the treatment for the first time;
- **Longitudinal survey (panel)** with measures taken before/after & with/without the intervention or **Longitudinal study with multiple measures over time**, which is not explicitly focused on an intervention (longitudinal studies reduce the need

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4 The tool builds on the GRAMMS criteria for reporting of mixed methods studies (O’Cathain et al, 2008; O’Cathain, 2010)
to control for unobservables such as personality as this can be assumed to be constant over time);

- **Natural Experiments**: exploit a difference between treatment and control groups to identify impact of a programme on the assumption that the difference is between equivalent domains; and

- **Basic survey**

**Analysis**

- **Instrumental Variables (IV)/Two-stage least squares/ Limited-information maximum likelihood (2SLS/LIML)** are related approaches which identify a variable, or a set of variables, known as instruments, that influence the decision to participate in a programme, but do not affect the outcome;

- **Propensity Score Matching (PSM)**: participants are matched with nonparticipants on a set of observed covariates to improve comparability;

- **Difference in Difference (DID)** takes changes between the baseline and follow-up in mean comparisons accounting for changes over time,

- **Regression discontinuity (RD)** elicits the causal effects of interventions by assigning a cut-off or threshold above or below which an intervention is assigned and comparing observations lying closely on either side of the threshold; and

- **Multivariate analysis and tabulation**

Drawn from Duvendack et al, 2011, pages 16-23

An arbitrary cut-off of 2.6 has been set, i.e. studies with scores of 2.6 and above are considered to have a high risk of bias (for example, basic surveys, RCTs that are analysed using simple descriptive tables) and thus suffer from high threats to validity. A score of less than 2.6 indicates low risk of bias (e.g. RCTs analysed using econometric methods) and thus low threats to validity. We decided to focus on the purely quantitative research projects as these were the ones that provided more easily accessible information that allowed us to assess the methodological quality of some of their outputs. Nonetheless, we recognised the potential limitation that this schema was designed to assess the quality of evidence on the effects of interventions, which was not the focus of all the quantitative studies. A further limitation in relation to capturing bias is that the scores are merely based on research design and analytical method and there are biases beyond these two categories that commonly affect studies. This tool requires further development and is now often combined with the
3ie tool (set out in Duvendack et al, 2011) to account for a number of other biases that can also occur.

3.3 SYNTHESIS OF EXTRACTED DATA
For a review to effectively present results the findings from all included sources of evidence must be synthesised cohesively. Given the volume of evidence this can pose substantial practical and methodological challenges. Having reviewed the numerous synthesis methods as set out by Barnett-Page and Thomas (2009), we took a narrative synthesis approach. Narrative synthesis is the most commonly applied method in the social sciences, as it accommodates both quantitative and qualitative information. It puts forward ‘exemplary cases’ in a narrative, textual analysis of the evidence, as we have done throughout the text and in the four examples in section 4.3 and 5 (Boaz et al., 2002).
4 FINDINGS OF RESEARCH SYNTHESIS AT SCHEME, PROJECT AND OUTPUT LEVEL

The findings section has three sub-sections: the first is at the programme level and reports data on the background of the PI, the research themes, the focal countries, the research design, and use of secondary data, from an analysis of all projects. The second is at the project level and reports data from a sample of projects who had completed fieldwork and produced outputs (see p29 for sampling criteria), given that decisions around aspects such as sampling were probably made during the course of the research and not specified in the proposal. It covers sampling design, attention to ethics, analytical strategies, publication, and archiving. The final section is an analysis at the output level which looks at integration of qualitative and quantitative data in mixed methods research design, attention to ethics, clarity of analytical approach, discussion of limitations, and citations across a sample of 159 outputs.

4.1 SCHEME LEVEL SYNTHESIS

4.1.1 Background of the PIs

The majority of the PIs came from an academic institution (87%, 106), although thirteen percent were from an independent research or policy institute (16). We could not see any trends in terms of particular institutions getting grants, although PIs from Oxford represented nearly ten percent of our sample (10)\(^5\) and around a quarter of all PIs had an Oxbridge bachelor degree (30). We used location of first degree as an imperfect proxy for country of origin. The majority of the PIs did their Bachelor’s’ degrees in the UK (65), followed by North America (17) and Europe (14). 16% of PIs took their degrees in the global South, mainly South Africa (5), India (2), China (4) and Colombia (2). The PIs were dominated by males (52 women, 70 men), and their ages ranged from 37-70 with an average age of 55.5\(^6\). The average age is less surprising when we consider that 51% (62) of grants went to Professors (table 2).

\(^5\) Other frequently funded institutions were UEA 5, Manchester 5, University of London 5, University of Sussex 5, and LSE 5.

\(^6\) We only had age information for 53 PIs so created a proxy variable based on an average age of graduation of 23. This only reduced the age estimate slightly (53.83) so we have left the original age in the text.
Table 2: PIs by position

<table>
<thead>
<tr>
<th>Position of PI</th>
<th>Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Professor (honorary, emeritus, director, leader and similar included)</td>
<td>62</td>
</tr>
<tr>
<td>Reader</td>
<td>15</td>
</tr>
<tr>
<td>Senior Lecturer</td>
<td>15</td>
</tr>
<tr>
<td>Lecturer</td>
<td>11</td>
</tr>
<tr>
<td>Senior Research Fellows/Associates</td>
<td>10</td>
</tr>
<tr>
<td>Research Fellows/Officers</td>
<td>9</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>122</strong></td>
</tr>
</tbody>
</table>

28% of the PIs were economists (34), followed by geographers (16), anthropologists (12), sociologists (11), educationalists (9), political scientists (7), and public health specialists (7). This is broadly representative of the composition of development studies departments in the UK and also reflects the fact that development studies as a degree is relatively recent (Sumner and Tribe, 2008). In relation to the link between the main disciplines and methods, as might be expected, of the 34 economists, the majority engaged in quantitative studies (19), followed by mixed methods (13), and qualitative (1). Of the mixed methods studies (68), the disciplines of the PIs varied: 13 mixed methods studies were led by economists, 11 by geographers, nine by anthropologists and six by educationalists. No anthropologists or geographers did purely quantitative work, however, two of the sociologists were quantitative (six sociologists were qualitative and three used mixed methods).

Slightly less than half of the PIs had previously held a grant from DFID (46%, 56), and more than half of these had held more than one (the number of grants held ranged from 1 to 8). Slightly fewer had held an ESRC grant (37%, 45), but again, most of these had held more than one (numbers ranged from 1 to 5). We have a Scopus h-index score for 120 of the 122 PIs which range from 1-117 with a mean of 12.23 and a standard deviation of 12.79. We calculated the Scopus h-index score for the dominant disciplines as well (table 3), which suggests that on average PIs from more quantitative disciplines have larger numbers of citations. This may reflect number of publications as in section 4.4 where we calculated the mean score per publication for qualitative and quantitative PIs there was little difference.

7 The remaining disciplines were Communications, Demography, Ecology, Epidemiology, Linguistics, Political Ecology, Psychology, Urban Planning, Law, Water, Security.

8 The Scopus h-index score represents the level of influence of the PI within their research field, based on the extent to which their work has been cited.
Table 3: Scopus h-index by academic discipline of PIs

<table>
<thead>
<tr>
<th>Academic discipline</th>
<th>Range</th>
<th>Mean</th>
<th>Standard deviation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Economics</td>
<td>1-30</td>
<td>11.44</td>
<td>7.86</td>
</tr>
<tr>
<td>Geography</td>
<td>2-28</td>
<td>10.5</td>
<td>7.26</td>
</tr>
<tr>
<td>Anthropology</td>
<td>2-16</td>
<td>7.58</td>
<td>4.32</td>
</tr>
<tr>
<td>Sociology</td>
<td>4-16</td>
<td>8.55</td>
<td>3.50</td>
</tr>
<tr>
<td>Education</td>
<td>5-12</td>
<td>8.11</td>
<td>2.37</td>
</tr>
<tr>
<td>Political Science</td>
<td>1-15</td>
<td>7.57</td>
<td>4.35</td>
</tr>
<tr>
<td>Public Health</td>
<td>2-34</td>
<td>16.29</td>
<td>10.31</td>
</tr>
</tbody>
</table>

4.1.2 Research themes

As might be expected, the most popular theme was poverty reduction\(^9\) (44), reflecting the nature of the programme. The multiple dimensions of poverty reduction were captured by combining codes (e.g. a study of poverty-related malnutrition would be coded ‘poverty reduction’ and ‘health (nutrition)’). Poverty reduction mainly co-occurred with Governance (5), Education (2), Employment (2), Wellbeing (2), and ‘Other’ (7) (e.g. infrastructure, global markets). Governance, inequality and growth, and aid and intervention are also important (36, 14, 18, respectively), reflecting the priorities of DFID. Health (total 22) and education (17) continue to be important, and there is growing interest in newer themes such as urban development (10) and employment (15). A number of grants produced outputs that navigated multiple themes; for example one project on ‘Averting New Famine in Southern Africa,’ investigated the relationships between environment, nutrition and HIV prevalence amongst young people in Malawi and Lesotho (section 5.4).

The themes clearly reflect the ‘mature’ or well-established’ research foci of development studies identified in the report from the Development Studies sub-panel in REF 2014. The examples given by the report are analysis of poverty and inequality, usually micro based (38 of the projects in the Poverty Alleviation call addressed this), environment and development, especially climate change and use of resources such as water (19 projects), migration, within and between countries (4 projects), agriculture and livelihoods, and science, technology and innovation in development (1 project on mobile phone use, 1 on ICTs ). The report also noticed the ‘reinvigoration’ of work on health which was a component in 22 of the 122 studies.

\(^9\) ‘Poverty reduction’ was defined as explicit engagement with forms of economic and/or social poverty (the word ‘poverty’ had to be in the research aim and/or questions).
The themes were also shaped by the nature of the calls in the different phases. For example, in phase one there was a broad focus on issues with potential impact on policy/practice for poverty reduction, while in phase two six themes were highlighted (cities and development; development in a changing world; economic crisis, poverty and growth; inequality and development; population and development; security, conflict and development), although projects addressing other themes could also apply. Phase three was more specific as it required grants to address one of three overarching questions focused on the ‘factors shaping pathways into and out of poverty, and how policy can create sustained, replicable and scalable routes out of poverty, the political and institutional conditions associated with effective poverty reduction, and how domestic and external actors can promote these; and measures to reduce the risks and impact of violence and instability on the poorest, and to increase the effectiveness of development interventions in fragile and conflict-affected situations’.

Table 4: Included projects by research themes

<table>
<thead>
<tr>
<th>Theme</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Poverty reduction</td>
<td>44</td>
</tr>
<tr>
<td>Governance/participation</td>
<td>36</td>
</tr>
<tr>
<td>Other</td>
<td>36</td>
</tr>
<tr>
<td>Aid/intervention</td>
<td>18</td>
</tr>
<tr>
<td>Education</td>
<td>17</td>
</tr>
<tr>
<td>Health (disease/other)</td>
<td>17</td>
</tr>
<tr>
<td>Employment</td>
<td>15</td>
</tr>
<tr>
<td>Environment (land/resource use)</td>
<td>15</td>
</tr>
<tr>
<td>Inequality &amp; growth</td>
<td>14</td>
</tr>
<tr>
<td>Gender</td>
<td>14</td>
</tr>
<tr>
<td>Urban development</td>
<td>10</td>
</tr>
<tr>
<td>Conflict</td>
<td>10</td>
</tr>
<tr>
<td>Wellbeing</td>
<td>8</td>
</tr>
<tr>
<td>Children &amp; young people</td>
<td>6</td>
</tr>
<tr>
<td>Health (nutrition)</td>
<td>5</td>
</tr>
<tr>
<td>Minority groups</td>
<td>5</td>
</tr>
<tr>
<td>Environment (climatic/disaster)</td>
<td>4</td>
</tr>
<tr>
<td>Migration</td>
<td>4</td>
</tr>
<tr>
<td>Law</td>
<td>2</td>
</tr>
</tbody>
</table>
4.1.3 Country and regional coverage
The projects are evenly divided between multi-country projects (60), which might offer greater potential for generalisation, and single country ones (60)\(^{10}\), although the multi-country projects are not necessarily comparative or united by a common research design. Of the multi-country projects, the majority have two or three countries (26 and 16 respectively), although seven look at four countries, three look at five countries, three look at six countries, and four look at seven countries or more. There are two ‘large n’ projects, one covers 24 countries and the other 60 countries. Despite the prevalence of multi-country projects, at least twelve treat the included countries as single case studies and do not attempt any comparative analysis. There appears, in fact, to be a continuum of comparison, ranging from projects that are explicitly comparative (the large n study mentioned above), to those that are potentially comparative because the countries were sampled with a consistent, theory-based rationale and at least two had a similar research design (e.g. the four country study of the tipping point of urban violence, or the action research studies of over and under-nutrition in urban Chile and Kenya respectively), and those that appear to be entirely independent.

The 60 single country projects only cover 16 different countries, which suggests that there may be preferred countries for research, as described below (phase three was the only call to give guidance on country selection, as discussed below).

---

\(^{10}\) Two grants were excluded from this analysis as they were non-empirical.
Table 5: Number of included research projects covering the following regions and countries:

<table>
<thead>
<tr>
<th>Type</th>
<th>N</th>
<th>Countries covered by projects</th>
</tr>
</thead>
<tbody>
<tr>
<td>South Asia</td>
<td>58</td>
<td>India (26), Bangladesh (14), Nepal (9), Pakistan (3), Sri Lanka (3), Afghanistan (3)</td>
</tr>
<tr>
<td>East Asia and the Pacific</td>
<td>25</td>
<td>China (11), Vietnam (5), Cambodia (4), Papua New Guinea (1), Soloman Islands (1), Timor Leste (1), Korea (1), Fiji (1)</td>
</tr>
<tr>
<td>Sub-Saharan Africa</td>
<td>106</td>
<td>South Africa (15), Kenya (14), Malawi (11), Ghana (10), Tanzania (9), Uganda (7), Zambia (6), Sierra Leone (5), Ethiopia (4), Zimbabwe (3), Nigeria (3), Liberia (3), Lesotho (2), Rwanda (2), Niger (2), South Sudan (2), Senegal (1), Angola (1), Namibia (1), Mozambique (1), Zanzibar (1), Burkina Faso (1), Swaziland (1), Mali (1), Guinea (1)</td>
</tr>
<tr>
<td>Latin America</td>
<td>25</td>
<td>Colombia (5), Chile (5), Brazil (4), Peru (3), Mexico (3), Argentina (2), Bolivia (1), Paraguay (1), El Salvador (1)</td>
</tr>
<tr>
<td>Middle East and North Africa</td>
<td>4</td>
<td>Yemen (1), Lebanon (1), Morocco (1), Egypt (1)</td>
</tr>
<tr>
<td>Eastern Europe and Central Asia</td>
<td>7</td>
<td>Armenia (1), Azerbaijan (1), Georgia (1), Kyrgyzstan (1), Moldova (1), Tajikistan (1), Uzbekistan (1)</td>
</tr>
<tr>
<td>Global (24 and 60 countries)</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>227 (all countries)</strong></td>
<td><strong>59 (unique countries)</strong></td>
</tr>
</tbody>
</table>
Note: The number of countries add up to more than 122 as many projects work in multiple countries, although the number of unique countries studied is only 59.

27 research projects work across regions, typically South Asia and Sub-Saharan Africa, reflecting a focus on the regions where the majority of the poor live. Within these two regions, South Africa (15), Kenya (14), Malawi (11), Ghana (10), Tanzania (9), and India (26 projects) dominate, showing a bias towards Anglophone or English speaking Africa and India. India and South Africa are also countries of regional influence and significance, and where there is a relatively well-established research infrastructure and higher availability of secondary data. We also noted poor coverage of West Africa which is currently hidden in the ‘Africa’ category.

US, UK and Norway are included as countries by some large-scale projects, perhaps reflecting the guidance in the second call of phase one that “there is no prescribed list of what constitutes the ‘poorest countries and peoples’”. For example, one project looks at Pakistan, Uganda, India, China, Korea, Norway and the UK, enabling it to generalise its findings on a global scale (see the third case study in section 5.3).

41 projects worked in fragile and conflict affected states (as defined by DFID in its 2012 list) such as Afghanistan (3), Nepal (9), Bangladesh (14), Pakistan (3), Sri Lanka (3), Kenya (14), Malawi (11), Sierra Leone (3), Rwanda (2), South Sudan (2), Ethiopia (4), Nigeria (3), and Yemen (1). Fragile and conflict affected states were an explicit focus of phase 3 of the programme which had ‘the effectiveness of development interventions in fragile and conflict-affected situations’ as one of the three questions projects should address.

4.1.4 Research design
The majority of the projects were ‘mixed methods’ projects (56%, 68) that combined both qualitative and quantitative data, although 44% (54) were either purely qualitative (26) or purely quantitative (26), indicating the continued importance of these designs.

\[\text{Note: The number of countries add up to more than 122 as many projects work in multiple countries, although the number of unique countries studied is only 59.}\]

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\[\text{Here we follow the standard practice of not characterising projects that mixed multiple methods of the same type or multiple forms of analysis as mixed methods.}\]
Figure 1: Broad methodological focus of included research projects (N=120)

Note: 2 projects are of conceptual nature and do not fall in any of the categories above.

There were some changes between rounds as the first phase only had 43% of mixed methods studies (20 out of 46 grants) while phase two had 64% (35 out of 55 grants - at the expenses of the number of quantitative studies) and phase 3 had 57% (8 out of 14 grants) of mixed methods studies. Given that all of the calls state that ‘Multi- or inter-disciplinary research projects are encouraged, but this is not a pre-requisite for funding’, this may reflect a greater interest in mixed methods within development studies as a whole (e.g. see Shaffer, 2013, which summarises ten years of the ‘Q-squared movement’ promoting integration of qualitative and quantitative methods in the study of poverty).

Below we describe the research designs and methods used by quantitative, qualitative and mixed methods studies. While we would see research design as including the conceptual framing and methodologies for data generation and analysis, and a method as a specific tool for generating data within that research design, to some extent our codes conflate research designs (e.g. RCTs) and methods (e.g. basic survey). This reflects a similar confusion within project reports (e.g. semi-structured interviews are a research tool rather than a methodology, as is often claimed).
### 4.1.4.1 Research designs

Table 6: Research designs reported in included research projects

<table>
<thead>
<tr>
<th>Research design</th>
<th>N – on project level</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Quantitative</strong></td>
<td></td>
</tr>
<tr>
<td>Longitudinal survey (panel) with measures taken before/after &amp; with/without the intervention</td>
<td>26</td>
</tr>
<tr>
<td>Behavioural and experimental games</td>
<td>15</td>
</tr>
<tr>
<td>Randomised Control Trial</td>
<td>5</td>
</tr>
<tr>
<td>Basic survey</td>
<td>4</td>
</tr>
<tr>
<td>Other</td>
<td>3</td>
</tr>
<tr>
<td>Longitudinal study with multiple measures over time, which is not explicitly focused on an intervention</td>
<td>1</td>
</tr>
<tr>
<td>Natural experiment</td>
<td>1</td>
</tr>
<tr>
<td><strong>Sub-total</strong></td>
<td><strong>33</strong></td>
</tr>
<tr>
<td><strong>Qualitative</strong></td>
<td></td>
</tr>
<tr>
<td>Semi-structured interviews</td>
<td>26</td>
</tr>
<tr>
<td>Documentary/content analysis</td>
<td>23</td>
</tr>
<tr>
<td>Focus group discussions</td>
<td>17</td>
</tr>
<tr>
<td>Ethnographic</td>
<td>14</td>
</tr>
<tr>
<td>Visual/participatory methods</td>
<td>11</td>
</tr>
<tr>
<td>Narrative or life history</td>
<td>8</td>
</tr>
<tr>
<td>Other</td>
<td>5</td>
</tr>
<tr>
<td><strong>Sub-total</strong></td>
<td><strong>79</strong></td>
</tr>
</tbody>
</table>

Note: The sub-totals are larger than the actual number of projects as some projects use multiple designs – this is particularly true of the qualitative research which used more than twice as many as the quantitative, although this may reflect the confusion between methods and designs described above. Behavioural and experimental games cannot officially be classified as designs or analytical methods, but we felt it is important to capture them as behavioural and experimental games can be considered to be innovative methodologically.

The most common design for quantitative research was the panel study (45%, 15) reflecting a growing interest in the dynamics of poverty and expertise in longitudinal research (e.g. see Baulch (ed), 2011). More innovative designs included RCTs and the inclusion of social network analysis or behavioural games, although the last two examples move the quantitative studies closer to mixed methods than a purely quantitative design. The most common design for qualitative projects involved the use of semi-structured interviews (29%, 23), focus groups (18%, 14), and documentary reviews (22%, 17). For qualitative projects, the most innovative designs involved participatory or visual methods (as in the multi-country study of children’s mobility), action research (as in the quasi-comparative study of nutrition in urban Kenya and Chile), more traditional and long-term forms of ethnography, and life histories (as in a study of urban Vietnamese migrants), which are still relatively unusual (e.g. see Locke and Lloyd-Sherlock’s (2011) review paper.)
Despite the apparent diversity within the mixed methods designs (mixed methods projects employed up to 13 different designs as opposed to six for qualitative projects and seven for quantitative), we find that basic surveys (43), interviews (57) and focus groups (34) predominate, suggesting that the majority are not mixing methods in a particularly innovative way. Having said that, the combination of panel data and life histories in a secondary analysis of the performance of different interventions in rural Bangladesh is potentially exciting, as is the RCT component of the aforementioned urban nutrition project, albeit that it was only possible to do this in one of the two countries due to the resource-intensive nature of RCT research.
### Table 7: Included research projects by main research design or method for mixed method studies

<table>
<thead>
<tr>
<th>Research design</th>
<th>N – on project level</th>
</tr>
</thead>
<tbody>
<tr>
<td>Semi-structured interviews</td>
<td>57</td>
</tr>
<tr>
<td>Basic survey</td>
<td>43</td>
</tr>
<tr>
<td>Focus group discussions</td>
<td>34</td>
</tr>
<tr>
<td>Ethnographic</td>
<td>14</td>
</tr>
<tr>
<td>Documentary/content analysis</td>
<td>13</td>
</tr>
<tr>
<td>Narrative or life history</td>
<td>12</td>
</tr>
<tr>
<td>Longitudinal survey (panel) with measures taken before/after &amp; with/without the intervention</td>
<td>11</td>
</tr>
<tr>
<td>Visual/participatory methods</td>
<td>9</td>
</tr>
<tr>
<td>Longitudinal study with multiple measures over time, which is not explicitly focused on an intervention</td>
<td>9</td>
</tr>
<tr>
<td>Randomised Control Trial</td>
<td>4</td>
</tr>
<tr>
<td>Behavioural and experimental games</td>
<td>4</td>
</tr>
<tr>
<td>Other</td>
<td>3</td>
</tr>
<tr>
<td>Bibliometric/citation analysis</td>
<td>1</td>
</tr>
</tbody>
</table>

Note: The total number does not add up to 68 because all mixed method studies use more than one and often more than three different methods. The category ‘other’ contains value chain analysis, life cycle assessment and econometric analysis of World Bank data.

#### 4.1.5 Use of secondary data

Given that researchers are encouraged to make use of secondary data (data collected by someone other than the user) to extend and contextualise their analyses and potentially reduce the burden on respondents in a particular location/sector, we analysed the extent to which the projects had analysed secondary data and how this varied across different types of research design (figure 2).
Overall, 51% (67) of projects analysed secondary data, often in conjunction with generating primary data. This suggests that the ESRC’s promotion of existing datasets, e.g. through the Secondary Data Analysis Initiative, has been successful (in fact one project, on poverty reduction and interventions in Bangladesh, was entirely based on secondary data, albeit previously collected by the same authors). Although the majority of these projects were quantitative or mixed methods, nearly a third of qualitative projects also made use of secondary data. For example, two conducted a discourse analysis of media reporting on particular issues (e.g. business development related to the arrival of high-speed internet), which provided a basis against which the qualitative data they generated could be compared. Another project used data from a national health survey to contextualise material gathered from ethnographic work inside organisations in the pharmaceutical industry. Finally, one multidisciplinary project included analysis of historical literature and creative writing in its analysis of the relationships between poverty and shame (see case study 5.3).

4.2 Project level analysis
In this sub-section we report on sampling design, attention to ethics, analytical strategies, publication strategies, and data archiving for the 75 projects who had completed fieldwork and generated outputs (20 were quantitative, 18 were qualitative, and 37 were mixed methods).
Our three criteria for including projects in the analyses reported in this section were a) the existence of empirical content (fieldwork activities), b) the completion of fieldwork activities and c) the generation of research outputs (reports, papers, working papers, etc.) (see Tables 8, 9). The cut off point for inclusion was 01/10/2014, when we began our analysis. Of the 47 excluded grants, 21 were from recent funding cycles (phase 3 and Development Frontiers) and therefore still in their infancy. However, the remaining 26 grants were funded in phases 1 and 2.

Of the two grants excluded from phase 1, one was excluded as it was not empirically focused (it did not conduct fieldwork) and the other because we were unable to identify any research outputs either through searching the ESRC database or through contact with the PI directly. The remaining 24 exclusions were all grants from phase 2. Of these, 18 were yet to complete fieldwork, five had no outputs and one was not empirically focused. Finally, it is worth noting that of the 47 grants excluded either for non-completion of fieldwork or non-creation of research outputs, five had passed their contracted end dates (though this figure does not take into account possible extensions).

Table 8: Grants not included in Section 4.2 by funding scheme

<table>
<thead>
<tr>
<th>Funding scheme</th>
<th>Year(s) of call</th>
<th>Total grants</th>
<th>Total excluded</th>
</tr>
</thead>
<tbody>
<tr>
<td>Poverty phase 1</td>
<td>2005-2007</td>
<td>46</td>
<td>2</td>
</tr>
<tr>
<td>Poverty phase 2</td>
<td>2009-2011</td>
<td>55</td>
<td>24</td>
</tr>
<tr>
<td>Poverty phase 3</td>
<td>2013</td>
<td>14</td>
<td>14</td>
</tr>
<tr>
<td>Development Frontiers (phase 3 only$^{12}$)</td>
<td>2014</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>TOTAL</td>
<td></td>
<td>122</td>
<td>47</td>
</tr>
</tbody>
</table>

Table 9: Grants not included in Section 4.2 by reason

<table>
<thead>
<tr>
<th>Reason for exclusion</th>
<th>Total grants</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fieldwork incomplete</td>
<td>39</td>
</tr>
<tr>
<td>No outputs available (post-fieldwork)</td>
<td>6</td>
</tr>
<tr>
<td>No empirical content (no fieldwork)</td>
<td>2</td>
</tr>
</tbody>
</table>

$^{12}$ Development Frontiers is a sub-set within phase 3 – while the first two phases only or largely had the main annual calls, Phase 3 has several different strands, including the small/medium annual grants call, the Research Programmes, and Development Frontiers.
4.2.1 Sampling

The rigour of the sampling strategy affects the quality of the project’s findings and the extent to which these can be generalised (for example, to conditions in the country as a whole, or to other urban environments). While probability or random sampling is considered to be the most rigorous as it gives all the individuals in the population an equal chance of being selected, non-probability or purposive sampling predominates among the projects analysed due to the number using qualitative, or mixed methods. These projects often combined more than one sampling approach (e.g. a probability sample for the survey and a purposively selected subsample for the individual interviews). The predominance of purposive sampling also reflects the difficulties of getting accurate sample frames in many of the project areas which makes randomisation difficult.

Figure 3: Sampling approach taken by research project (N=89)

Note: The total figure does not add up to 75 as some projects use multiple sampling approaches, for example, randomised for the survey and purposive for subsequent qualitative interviews. 5 projects used secondary data so have not been included here.

4.2.2 Ethics

As discussed in section 3, another dimension to quality is sensitivity to the ethical implications of research and the balance of risks and benefits (see, for example, the ESRC Framework for Research Ethics 2015, http://www.esrc.ac.uk/_images/framework-for-research-ethics_tcm8-33470.pdf). Ethics are not explicitly mentioned in the calls for the three phases of the scheme, however, the
application forms used in all three phases require consideration of ethics, or an explanation of why
this is not necessary (see example wording below from the phase two and three forms).

- Has consideration been given to any ethical matters raised by this proposal?
- Please explain what, if any, ethical issues you believe are relevant to the proposed research
  project, and which ethical approvals have been obtained, or will be sought if the project is
  funded? If you believe that an ethics review is not necessary, please explain your view

While we were not expecting lengthy discussions of ethics in either the outputs or end of project
reports, two thirds of the projects did not even mention having received ethical clearance, although
this is a condition of funding so would undoubtedly have occurred. The lack of attention to ethics is
despite the fact that, as noted earlier, more than half of the projects worked in fragile and conflict
affected states, suggesting that they faced considerable ethical challenges. Perhaps for this reason a
question on ethics was included in the End of Award Reporting template for awards ending on or
after 2009 (‘Please also note any ethical issues that arose during the course of the work, the effects
of this and any action taken’). We also noticed that contrary to a growing awareness of ethics in
the broader development research community, framed in part around the aforementioned ESRC
Framework for Research ethics, there appeared to be declining enthusiasm within this sample as
whereas 48% (21) of grants provided ethical information in phase 1, only 23% (7) provided ethical
information in phase 2. This may, of course, be random variation and seems counterintuitive in the
light of changes in End of Award reporting templates to make it easier for PIs to do so.

Two good examples of reporting on ethics were studies of wellbeing in India and Zambia and
children’s mobility in Sub-Saharan Africa, both of whom had specific papers discussing ethical
dimensions of their work. Nonetheless, in the case of latter this meant that ethics did not tend to be
discussed in the other outputs as readers were referred to the earlier output.

13 There is no heading for ethics in the previous end of award report template, however, the new template was
only used by three projects.
We also noted that very few studies critically reflect on their limitations in an explicit way – only 8 (11%) of the 75 included research projects. This is despite the fact that the final report template invites them to do so under ‘project changes’ and this would be considered good practice in most journal articles (this point is discussed further in section 4.3, which presents the findings of an analysis of randomly selected outputs).

### 4.2.3 Analytical approach

The majority of studies use multiple analytical approaches reflecting the mix of data described earlier (by analytical approach we mean the approach taken to analyse the data, for example, econometrics for quantitative data or discourse analysis for qualitative data). Table 10 summarises the main analytical approach a project has reported taking. We also report the results of the risk of bias assessment described in section 3.2 which is an important indicator of quality in quantitative research.

![Comparison of phases 1 and 2 on provision of ethical information (N=75)](image)

**Figure 4: Comparison of phases 1 and 2 on provision of ethical information (N=75)**

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Table 10: Included research projects by analytical approach

<table>
<thead>
<tr>
<th>Analytical approach</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quantitative</td>
<td>20</td>
</tr>
<tr>
<td>Multivariate analysis (Ordinal Least Squares/regression based approaches)</td>
<td>9</td>
</tr>
<tr>
<td>Econometric approaches (IV/2SLS/3SLS/Heckman, PSM)</td>
<td>6</td>
</tr>
<tr>
<td>Unspecified</td>
<td>4</td>
</tr>
<tr>
<td>Other</td>
<td>1(^{14})</td>
</tr>
<tr>
<td>Tabulation/basic descriptive statistics</td>
<td>0</td>
</tr>
<tr>
<td><strong>Sub-total</strong></td>
<td>20</td>
</tr>
<tr>
<td>Qualitative</td>
<td>18</td>
</tr>
<tr>
<td>Unspecified</td>
<td>12</td>
</tr>
<tr>
<td>Content or framework analysis</td>
<td>5</td>
</tr>
<tr>
<td>Grounded theory or Interpretive Phenomenological Analysis</td>
<td>1</td>
</tr>
<tr>
<td>Discourse</td>
<td>1</td>
</tr>
<tr>
<td><strong>Sub-total</strong></td>
<td>19</td>
</tr>
</tbody>
</table>

Note: The sub-total is 19 as one project used more than one approach.

The main analytical approach for the quantitative projects is multivariate analysis such as Ordinal Least Squares or regression (9), followed by econometric approaches such as propensity score matching or instrumental variables (6). None of these projects just present basic statistics. In contrast, nearly one third of the 37 mixed methods projects use basic descriptive analysis (11). This is not surprising given many of the mixed methods project collect basic survey information (27 projects) which is not amenable to more sophisticated statistical analysis. Nonetheless, it suggests a certain lack of ambition in the mixing of methods. While there are potentially good examples of mixed methods, for example, a combination of ethnography and experimental games to explore conjugal relationships in India, Nigeria and Uganda, our analysis at output level shows that analyses of the different types of data were never reported in the same paper (see also 4.3). We had anticipated that there might be differences across phases as forms of quantitative analysis became more sophisticated (reflecting the growing influence of econometrics), however, as there were so many different analytical approaches, it was hard to detect any real trends. Nearly two thirds of the qualitative approaches do not specify an analytical approach. Of the six who do, almost all of them

\(^{14}\) The ‘other’ approach was to create an axiomatic characterization of internally constrained decision-making.
use content or framework analysis (5), a deductive approach that originated in applied research on health and social policy.

**Risk of bias/validity assessment for quantitative projects**

We intended to assess all 20 quantitative projects, however, six were excluded from the analysis due to lack of information on their analytical approach\(^\text{15}\) which is important in establishing ‘risk of bias’ (whether there are any biases in the study that need to be taken into account). Table 11 indicates that of the 14 studies where we could assess the risk of bias of their approach, 50% (7) had successful dealt with threats to validity, evidenced by their low score for risk of bias (i.e. the combined score for research design and analytical method ranges from 2-2.6). However, 21% (3) of studies had a high score (around 3.8) which in a systematic review setting would cause them to be excluded from further synthesis.

\(^{15}\) This was the case for four of the panel studies and two where it wasn’t possible to classify their research design.
Table 11: Distribution of quantitative outputs by research design and statistical method of analysis

<table>
<thead>
<tr>
<th>Research Design</th>
<th>Statistical Method of Analysis</th>
<th>Scores</th>
<th>1</th>
<th>2</th>
<th>3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Randomised Control Trial (RCT)</td>
<td>IV, PSM, 2SLS/LIML, DID, RD</td>
<td></td>
<td>1</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Pipeline</td>
<td>Multivariate Tabulation</td>
<td></td>
<td>2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Longitudinal survey (panel) with measures taken</td>
<td></td>
<td></td>
<td>3</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>before/after &amp; with/without the intervention</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Longitudinal study with multiple measures over</td>
<td></td>
<td></td>
<td>4</td>
<td></td>
<td></td>
</tr>
<tr>
<td>time, which is not explicitly focused on an</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>intervention</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Natural Experiment</td>
<td></td>
<td></td>
<td>5</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Basic survey</td>
<td></td>
<td></td>
<td>6</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Legend**

- Low risk of bias: 7
- Medium risk of bias: 4
- High risk of bias: 3

Source: Adapted from Duvendack et al, 2011.

Note: The cells contain the numbers of studies that fall into these categories – some of these combinations do not apply to the quantitative studies we have in our sample which is why not all the cells have numbers. A border indicates studies with a high risk of bias.

4.2.4 Data archiving

Data archiving is both an indicator of quality in itself – well-organised projects produce archival quality data sets – and a way of verifying quality by rerunning quantitative analyses (Duvendack and Palmer-Jones, 2013) and checking the interpretation of qualitative data (Camfield and Palmer-Jones, 2013). There is also an important ethical dimension in that the use of secondary data can reduce the burden on future respondents and make more effective use of research funding. Data archiving is not explicitly mentioned in the calls for the first two phases of the scheme and the calls are clear that 'capacity building elements (including ... research resources such as datasets) should be subordinate to the main intellectual focus of the research project' (this text is present in all three calls). However, the application forms used in all three phases required consideration of archiving, and the requirement became stronger over time (for example, phase two required deposit with ESDS or
Qualidata rather than an equivalent data centre and phase three warns PIs that their contact information will be given to UKDS (the new name for ESDS/Qualidata):

*If you do not state to the contrary, it will be assumed that you (as principal applicant) are willing for your contact details to be shared with the affiliated data support service (UK Data Service) working with the Research Councils.*

*It is a requirement to offer data for archiving. Please include a statement on data sharing. If you believe that further data sharing is not possible, please present your argument here justifying your case.*

*Please outline costs of preparing and documenting the data for archiving to the standards required by the affiliated data support service (UK Data Service) working with the Research Councils.*

Extract from the grant application form used in phase three

The calls for the third phase mark a departure from previous practice in that there is an explicit requirement for data to be open access, in compliance with recently revised DFID and ESRC policies on this. The End of Award Reporting template for awards ending on or after 2009 asks whether ‘Datasets arising from this grant have been offered for deposit with the Economic and Social Data Service. OR Datasets that were anticipated in the grant proposal have not been produced and the Economic and Social Data Service has been notified’. Given the enthusiasm for secondary analysis, we would expect to see a similar commitment to data archiving. Superficially this seems to be the case, with over half of the projects (51%) reporting that they have archived their data. However, when we checked the UK Data Service where datasets generated from ESRC funding are archived, we could only find a UK Data Service study number for 16 studies (21%) – less than half of those said to be archived. Nine of the deposits were from the first phase and seven from the second, probably reflecting the time it takes to prepare data for archiving. It may also reflect waning enthusiasm for

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16 The ESRC has required data deposit ‘within three months of the end of an award’ since 2000 with withholding of the final payment ‘until data has been deposited in accordance with the requirements’, ESRC data policy, 2000:3.

17 There is no heading for data deposit in the previous end of award report template, although it could potentially have been included under outputs or impact, however, this template was only used by three projects.

18 One project claims to be in the process of archiving a panel dataset on education in China, and another, which used ethnography and experimental games to look at conjugal relationships, tried to archive their data, but said that they had no response from UKDS.
data deposit, given that 57% of grants said they would archive data in phase 1, but only 42% in phase 2. Informal conversations with PIs suggested that the key word was ‘offered’ – if they emailed UKDS offering their dataset and did not receive a response, they felt that they had fulfilled the requirements.

Of the 16 projects who had UKDS study numbers, two were quantitative, five were qualitative and nine were mixed methods. The number of quantitative studies is surprisingly low as sharing quantitative data is relatively straightforward, and often a requirement for journal submission. However, it is time consuming as extensive explanatory material needs to be prepared so that third parties can work with these archived data sets. It was also noticeable that only two of the mixed methods studies had archived a full dataset of both qualitative and quantitative data (the archive for one of these studies was not in good order so it was hard to see whether the data was complete). Additionally, only one of the qualitative projects (life histories of urban Vietnamese migrants) had archived the transcripts (raw data) as opposed to databases or data summaries, possibly due to concerns about confidentiality. One qualitative project had a study number, but had embargoed its data so it wasn’t possible to see what data would have been available. Another mixed methods project had archived an incomplete data set that nonetheless included videos and photos of participants, which made them clearly identifiable.

4.2.5 Location of publications

One obvious indicator of research quality is the volume and type of publications. The number of outputs per included research projects varies from 1-33 with an average of nine outputs (mean 8.75, Standard Deviation 6.23). 73% of projects had peer reviewed journal articles (total 229, mean 4.16, standard deviation 3.82, range 1-16), which are considered by many quality rankings to represent the most prestigious output. We analysed the articles using the Norwegian Research Council’s Register for Scientific Journals, Series and Publishers (https://dbh.nsd.uib.no/publiseringskanaler/Forside.action?request_locale=en), which excludes journals without a peer review process and independent editorial board and identifies the top twenty percent of journals. This classification scheme is used to allocate funding across Scandinavia and has formed the basis of other quality schema. Overall 27 percent (76) of the peer reviewed outputs were published in the top twenty percent of journals and these were distributed across 33 projects or 44% of the sample.

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19 This project also produced the most comprehensive set of metadata to support secondary analysis.

20 We excluded 21 articles on this basis, 8.4% of the sample of journal articles.
The majority of outputs were journal articles (229 – adjusted total, see footnote 13) or working papers (148) (in quantitative grants these were usually on the same topic). However, there were also five books (four of which come from our two case studies, White and Walker) and 63 briefing papers\(^{21}\). There are only two PhD theses, possibly because the duration of most of the grants is less than four years or because they are not seen as a project output (the analysis of the impact reports in 4.4 mentions at least three PhDs who submitted their theses during the course of the project). The figures in table 12 may also be skewed by a small number of highly productive studies which generated as many as 16 articles, albeit not all published in the top twenty percent of journals. Given the long timelines for academic publication, particularly in prestigious journals, time lags of up to four years are not unusual, which supports the decision of some projects to concentrate on reports and briefing papers. Since PIs usually stop uploading papers after the grant is officially over, it was important to check their CVs to be sure we had captured all the outputs and then carefully check those outputs to confirm that they were generated through the ESRC-DFID funding.

\(^{21}\) We excluded presentations from our analysis as not every project had reported these and it was hard to assess quality.
### Table 13: Type of publication – by number of outputs of included projects

<table>
<thead>
<tr>
<th>Source</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Journal articles</td>
<td>250</td>
</tr>
<tr>
<td>Working paper</td>
<td>148</td>
</tr>
<tr>
<td>Other (e.g. reports)</td>
<td>96</td>
</tr>
<tr>
<td>Policy brief</td>
<td>63</td>
</tr>
<tr>
<td>Final report</td>
<td>61</td>
</tr>
<tr>
<td>Book chapter</td>
<td>20</td>
</tr>
<tr>
<td>Proposal</td>
<td>10</td>
</tr>
<tr>
<td>Books</td>
<td>5</td>
</tr>
<tr>
<td>Conference proceedings</td>
<td></td>
</tr>
<tr>
<td>PhD thesis</td>
<td>2</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>680</strong></td>
</tr>
</tbody>
</table>

Note: We have 680 outputs (including the randomly selected ones) for the 75 included grants.

<table>
<thead>
<tr>
<th>Source</th>
<th>Quantitative</th>
<th>Qualitative</th>
<th>Mixed Methods</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>n=20</td>
<td>n=18</td>
<td>n=37</td>
<td>n=75</td>
</tr>
<tr>
<td>Journal articles</td>
<td>69</td>
<td>65</td>
<td>116</td>
<td>250</td>
</tr>
<tr>
<td>Working paper</td>
<td>64</td>
<td>9</td>
<td>75</td>
<td>148</td>
</tr>
<tr>
<td>Other (e.g. reports)</td>
<td>21</td>
<td>31</td>
<td>44</td>
<td>96</td>
</tr>
<tr>
<td>Policy brief</td>
<td>7</td>
<td>9</td>
<td>47</td>
<td>63</td>
</tr>
<tr>
<td>Final report</td>
<td>17</td>
<td>14</td>
<td>30</td>
<td>61</td>
</tr>
<tr>
<td>Book chapter</td>
<td>4</td>
<td>6</td>
<td>10</td>
<td>20</td>
</tr>
<tr>
<td>Proposal</td>
<td>0</td>
<td>10</td>
<td>0</td>
<td>10</td>
</tr>
<tr>
<td>Conference proceedings</td>
<td>0</td>
<td>2</td>
<td>2</td>
<td>4</td>
</tr>
</tbody>
</table>

67 articles were published in the top 20% journals and these came from 33 grants, of which 10 grants were quantitative (30%), 14 (42%) were qualitative and 9 (27%) were mixed methods. Given that the proportions of quantitative, qualitative and mixed methods grants within the sample were

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22 The total number of conference presentations is higher, however, because we decided to exclude slides this figure refers to a situation where the project published a paper in conference proceedings, which could be analysed but not included as a peer-reviewed output as conference proceedings are rarely peer reviewed.
respectively 27%, 24% and 49% we can see that qualitative grants are considerably more likely to publish their outputs in prestigious journals than the other categories.

39 of the outputs are explicitly methodological and among these papers by Jackson, Brickell, Moser, White and Porter are good examples of critical methodological reflection (see annotated bibliography in appendix 1). There were other indicators of quality we wanted to explore (discussed in Camfield et al., 2014, chapter one), however, questions in the data extraction spreadsheet on fieldwork, translation and piloting worked less well than the others. It was rarely clear whether the authors had done their own fieldwork and as papers were multiply authored invariably some had and some had not which meant a simple yes/no classification was not helpful. This suggests that the contribution of Southern partners is being appropriately acknowledged, albeit that on journal articles they are rarely the lead author (see, for example, the aforementioned project on children’s mobilities where all but four of the 27 outputs have the PI as lead author). Only 14 projects (19%) provided information on translation or interpretation, despite the fact that the majority of projects generating primary data would have needed to do this.

4.3 Output level analysis
In addition to the scheme and project level information provided above, we also looked at a sample of 159 outputs. We felt this was particularly important in establishing the quality of studies using mixed or multiple methods as while a study may collect data using many different methods, not all of this will be published, or even analysed. We took a random sample of 20% or no fewer than three empirical outputs for all projects that had empirical outputs. This random sample led to 159 outputs across quantitative, qualitative and mixed methods papers. We looked at use of theory and theoretical frameworks, integration of qualitative and quantitative data in mixed methods research design, attention to ethics, clarity of analytical approach, discussion of limitations, and citations.

4.3.1 Use of theory and theoretical frameworks
Approximately one quarter of the outputs (38) used theory in their analysis, which is much lower than one would expect, given that engagement with theory is normally required for publication in

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23 Six projects were excluded as they either had no outputs or only briefing or conference papers which were not comparable to the other outputs reviewed.

24 We understand theory as an idea or set of ideas that is intended to explain facts or events, such as the theory of relativity or an economic model. For the purposes of this report we include theoretical frameworks such as the capability approach within this category.
top journals, particularly for qualitative and mixed methods studies. There were differences between the frequency of theory use in quantitative (8%), qualitative (37.5%) and mixed methods papers (41%) which partially supports this proposition. The most popular theories were gender/feminism (4), the capabilities approach (3), tipping point (3, used by a single study on urban violence), and livelihoods (2).

4.3.2 Mixed methods outputs
We found a range of methods being mixed (e.g. semi-structured interviews (85%, 41), basic (79%, 38) or panel surveys (13%, 6), focus group discussions (33%, 16), narrative or life histories (29%, 14), ethnography (12%, 6), visual/participatory methods (10%, 5), behavioural and experimental games (6%, 3), and documentary analysis (4%, 2). However, as in the project level analyses, the main design appears to be a basic survey (79%, 38) plus semi-structured interviews (85%, 41) and/or focus groups (33%, 16). In relation to the sequencing of qualitative and quantitative methods, which is one indicator of the genuineness of the mixing, the findings are more encouraging than at the project level as nearly half the mixed methods outputs (21) discussed this. 73% (35) of the mixed methods outputs reported both qualitative and quantitative data; however, 20% (7) of these reported them separately with minimal attempt at integration.

4.3.3 Ethics
Few outputs provided information on ethics (approximately thirty percent), as was the case at project level. Qualitative outputs were twice as likely to provide information on ethics as quantitative, perhaps reflecting a greater sensitivity to ethics among qualitative researchers — one third of qualitative outputs discussed ethics (21, 32%) compared to one seventh of the quantitative (7, 14%) and one fifth of the mixed methods project (9, 19%).

4.3.4 Analytical approach
As with the analysis at project level, the majority of quantitative outputs use regression or econometric forms of analysis, although three outputs also use descriptive statistics. 82% of the qualitative outputs (45) do not specify their analytical approach, compared to 4% of quantitative outputs (2). Of those who do, the majority use content or framework analysis (7), as was the case at project level. The majority of mixed methods projects (71%, 34) describe the quantitative analysis method, which is predominantly descriptive statistics (67%, 23 of the outputs that specified a quantitative approach). However, only 12.5% (6) describe the qualitative analysis method, which is always content analysis (as with the project level, where this approach predominated). This conveys the impression of a less systematic approach being taken to the qualitative analysis than the quantitative. However, this impression may be misleading if we consider that PIs were typically also the lead authors and the average age of a PI was 56. Over the last 15-20 years there has been a
reflexive turn within the social sciences and a growth of interest in methodology reflected by specialist journals, organisations, and centres (e.g. the ESRC-funded National Centre for Research Methods). However, this was probably not the case when this cohort of researchers started their research careers. While their work is undoubtedly equally systematic and rigorous, they may not see the need, or have the language to describe the process of analysis in the detail that would now be expected.

### 4.3.5 Limitations

The final point of the preceding section may apply to discussion of limitations which is now considered as a mark of quality, indicating a critical and reflexive approach to research, but was not always thought to be necessary. As with the project level analysis, few outputs mentioned limitations (less than one fifth of outputs) and this omission was particularly visible in quantitative outputs (12%, 6).

![Figure 5: Number of outputs reporting limitations (N=159)](image)

There may also be institutional pressures that militate against complete transparency; Prowse (2008, p3) describes how ‘much poverty and development research presents a smooth ex post account of research methods (often airbrushing dead ends and false starts)’ and Wiles et al. (2010, p17) note that ‘few authors in our sample identified failures’. Nonetheless, in contexts where perhaps it feels as though there is less at stake PIs will reflect on the limitations of their studies and particularly on the structural barriers to effective multiple methods research. Below we present a case study of a large interdisciplinary research project, compiled from information gathered from official project documents and conversations with the PI (structured using the framework for International Social...
Methods and locations
The proposed integration of different methods was a key innovation in the study’s research design. While experiments were designed to test theories of household cooperation, follow up interview exercises were included to provide a feedback loop; investigating the external validity of the

Reflections on the potential limitations of research with multiple methods: The experience of the intra-household allocation of resources grant (RES-167-25-0251)
This was a 3-year multiple methods research study investigating the unequal distribution of welfare that results from intra-household allocation processes. It set out to investigate the validity of the assumptions made by economic models of the household and explore the extent to which social and cultural norms shape the allocation of resources between spouses in different settings. The idea for the study emerged out of a pilot conducted by several of the Co-investigators (CIs) in 2005, which explored household decision making through a combination of experimental economics and interviews with spouses in rural Uganda. This study was funded by an internal departmental budget and culminated in a publication in World Development (Iversen et al. 2011). The success of the pilot formed the basis of two DFID-ESRC poverty grants: the first (discussed here) is an up-scaled version of the study proposing to test its findings in eight new fieldwork locations, and the second an ethnographic investigation building on the results of the experimental games in Uganda. Although named as a CI, the lead author of the initial publication dropped his involvement in the grant application as he felt the project had achieved most of its goals during the pilot phase. Below we illustrate the challenges of research with multiple methods and disciplines through looking at Methods and locations, Management and coordination, Obstacles and delays, Impact, dissemination and issues of co-authorship before drawing some Conclusions and

Fieldwork was conducted at eight sites (two urban, six rural) across India, Ethiopia and Nigeria, selected for their provision of a variety of cultural and socio-economic contexts across which household relations are known to differ. Sites in a fourth country (Burkina Faso) were dropped to allow for greater focus on inter-regional comparisons in the other three. Five villages (or urban wards) were purposively sampled in each site according to size (over 80 couples), typicality of conjugal relations for the site as a whole, and distance from other locations. Eighty couples were randomly selected from each of these locations to take part in public good games comprising thirty different treatments, and a socio-economic survey. A sub-sample (200 couples per site) was then selected to take part in life history interviews. The upshot of these choices is that the project worked
in 40 locations with over 7,000 participants – a fieldwork program that the PI admitted was ambitious in the context of a 3-year grant.

Management and coordination
The research team comprised four economists and two anthropologists, reflecting the dual methodological focus outlined above. The economists designed the experiments and socio-economic surveys, while the anthropologists took responsibility for devising the interview guidelines. All six team members had at some stage been resident at the same department, and five of them were involved in the Uganda pilot study. They met regularly during the research design phase and expressed a desire to work and publish across their respective disciplines. It was agreed that the PI would be responsible for coordinating fieldwork activities and communicating with ESRC, with the assistance of the CIs. The initial PI moved jobs after the first year of the project and so two other team members agreed to share the position for the remaining two years.

The research team had strong connections to research institutions and assistance in India and Ethiopia but not in Nigeria, where finding a local partner proved more difficult and involved delays. Contracts were drawn up with local institutes in all three countries and two research managers (RMs) hired to manage fieldwork activities. Ethical approval for the project was attained from the ethics board of the School of International Development at UEA, while the local partners were responsible for ensuring compliance with in-country ethical guidelines and procedures. The interviews indicated that the experiments did not create any significant intra-household conflict. One of the economists in the team supervised the training of the experiments and survey exercises in each country, while the anthropologists managed training for the interviews.

Obstacles and delays
Fieldwork activities went smoothly in India and Ethiopia after some initial difficulties in North India related to the management of the local research team, partly due to the inexperience of the Research Manager. Generally speaking, data collection was most efficient in the locations in which the research team had the most experience and contacts (Ethiopia, South India). Work with the local partner in Kano state in Nigeria proved particularly difficult, with frequent setbacks and breakdowns of communication and trust, particularly after the UK team had departed. These setbacks meant that the PI and CIs were required to invest much more of their time in research management than anticipated, and that fieldwork activities spilled over into the third year of the project. The large size of the team also made grant reporting difficult, as reporting templates often required input from 5-6 different members of the team.
Impact, dissemination and issues of co-authorship

Overcoming the above delays and setbacks, the study generated a unique data set, comprising detailed surveys, interviews and experimental results from households in a number of challenging research environments. These results were offered by email to UKDS but never uploaded, possibly due to a backlog of UKDS submissions (also, the End of Award template only requires PIs to ‘offer’ data for submission so the PI felt he had complied with the requirements).

The experimental results revealed inefficiencies in the allocation of household resources across all research sites, but significant variation in levels of cooperation between sites (Kebede et al. 2013; Munro et al. 2014). Meanwhile, the qualitative data threw light on the ways in which household relations are shaped by gendered ‘performances’ in different cultural settings (Rao 2012). The findings of the grant attracted attention in policy and donor circles, demonstrated by invited presentations at DFID, the Bill & Melinda Gates Foundation and the World Bank.

However, despite these considerable achievements, the grant largely failed to deliver on its objective to generate multi-disciplinary research output. This shortcoming is acknowledged by the PI and reflected by the fact that none of the papers produced combined the experimental and the qualitative data. It is possible to identify three main reasons for this, two practical/financial and one structural. Firstly, although efficient in terms of time and resources, the division of methodological tasks between two sub-teams (quantitative instruments to the economists and qualitative guidelines to the anthropologists) may have restricted team members’ understandings of the data generated by the other sub-team and hence their incentive to use it.

Secondly, the delays involved in data collection meant that the team had considerably less time available for writing than anticipated in the initial budget. For this reason, team members prioritised the data they were most familiar with and the papers most valued in their respective disciplines over multidisciplinary work. Thirdly, and perhaps most tellingly, the team’s ability to work across disciplines was restricted by the contrasting cultures of co-authorship in economics and anthropology. While it is common for economics papers to be co-authored by multiple researchers, single-authored publications are valued more highly in anthropology, and collaboration is therefore perceived to incur a higher reputational cost. As a result of these constraints, the economists and anthropologists in the team agreed to publish separately. So, in the case of this grant, the production of co-authored, cross-disciplinary research was restricted by the double burden of requiring additional researcher input in return for lower disciplinary impact and recognition.

Conclusions and lessons learned
This case study has outlined a number of challenges associated with large, cross-country multiple method research projects. The research team involved successfully overcame a number of practical obstacles in order to generate an original data set on the intra-household allocation of resources in multiple settings. However the project did not generate the multiple method research insights that it anticipated for reasons that may be significant for the funding of future research.

Firstly, the scale of the project was such that majority of the team’s time was taken up by data collection, management and administration activities, reducing time for analysis and writing. The PI asserted that he would address this in future grant applications by reducing the number of researchers and field sites. This is something that funders can also help to advise when confronted with grant proposals involving ambitious schedules of fieldwork. Furthermore, access to information on in-country organisations in areas with sparse research infrastructure (such as Kano, Nigeria) may assist fieldwork collaborations in future grants. Finally, the investigators were constrained by the contrasting publishing incentives of their respective disciplines. Although a different constraint to overcome, the allocation of additional resources for the (early) planning and production of co-publications may help alleviate this in future mixed methods grants.

4.3.6 Citation count

Having presented an example of the sorts of challenges that could be reflected on under ‘limitations’ in the preceding section, our final indicator of quality was the extent to which specific articles had been cited in Web of Science and Google Scholar (see section 3 for an explanation of the rationale behind choosing these databases). This would give us a sense of the influence of the work and how it was regarded by its peers. Of the 159 outputs that were randomly selected, we had no citation information in Web of Science for 79. 20 outputs had zero citations, while the remaining 60 had a range of 1 to 41 citations with an average of 6.58 citations and a standard deviation of 7.59. The median value is 4.

If we analyse these figures by phase 1 and 2, then we can see that 50 outputs for phase 1 have a citation count while only 10 have one for phase 2. The average for phase 1 is 7.46 (range: 1-41, standard deviation 8.01) while it is 2.2 (range: 1-5, standard deviation 1.48) for phase 2. This is not surprising as citations grow over time and it also suggests that the overall citation count may have been lowered by more recently published articles that have been cited in publications as yet unpublished. If we analyse the citation count by type of study we find the following across phases:
Table 14: Analysis of citation count by type of study for Web of Science:

<table>
<thead>
<tr>
<th>Type of study</th>
<th>Range</th>
<th>Mean</th>
<th>Standard deviation</th>
<th>Total outputs*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quantitative</td>
<td>1-41</td>
<td>7.7</td>
<td>9.4</td>
<td>51</td>
</tr>
<tr>
<td>Qualitative</td>
<td>1-32</td>
<td>6.7</td>
<td>7.6</td>
<td>55</td>
</tr>
<tr>
<td>Mixed Methods</td>
<td>1-21</td>
<td>5.3</td>
<td>5.5</td>
<td>48</td>
</tr>
</tbody>
</table>

Notes: *Not all outputs had a citation count.

The quantitative outputs are more highly cited in journals indexed in Web of Science which may be explained by WoS’s indexing strategy and a slightly different culture of citation within economics. Nonetheless, the qualitative and quantitative mean citation scores are similar and the standard deviation for the quantitative score is higher, suggesting that there is greater variation in citation levels among the quantitative outputs. The mixed methods outputs are less widely cited in WoS, which may be because they are more practice focused, or simply that they are published in a wider range of journals which are not all indexed in WoS. This seems to be confirmed when we look at google scholar where the differences in citation between qualitative and mixed methods are much smaller. Google scholar includes working papers, which partially accounts for the higher level of citation for quantitative outputs. Nonetheless, we again observe a high standard deviation, which suggests great variations in the level of citation between quantitative outputs. The scores for Google scholar are much higher than for WoS as it includes all the journals indexed by WoS plus working papers and other grey literature.

And for Google Scholar:

<table>
<thead>
<tr>
<th>Type of study</th>
<th>Range</th>
<th>Mean</th>
<th>Standard deviation</th>
<th>Total outputs*</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quantitative</td>
<td>1-88</td>
<td>14.6</td>
<td>17.8</td>
<td>51</td>
</tr>
<tr>
<td>Qualitative</td>
<td>1-57</td>
<td>9.3</td>
<td>11.9</td>
<td>55</td>
</tr>
<tr>
<td>Mixed Methods</td>
<td>1-46</td>
<td>9.4</td>
<td>9.7</td>
<td>48</td>
</tr>
</tbody>
</table>

Notes: *Not all outputs had a citation count.

For this reason, only 18 of the sampled outputs had no information on citation. 26 outputs had zero citations, while the remaining 115 outputs had a range of 1 to 279 citations with an average of 15.89 citations and a standard deviation of 34.79. The median value is 7. If we analyse these figures by phase 1 and 2, then we can see that 82 outputs for phase 1 have a citation count while only 33 have
one for phase 2. The average number of citations for phase 1 is 21 (range: 1-279, standard deviation 40.11) while it is 3.18 (range: 1-11, standard deviation 0) for phase 2.

Finally, if we look solely at the citation rates of articles published in the top 20% of journals to see whether these are higher than the rates for the sample as a whole, we find that the mean value for citations in Web of Science is 8.07 (range: 0-23, standard deviation 6.71, n=14), and Google Scholar information the mean value is 17.38 (range: 0-88, standard deviation 22.74, n=21). These figures are slightly higher than the corresponding figures for the whole sample. However, given that the prestige of a journal is partially determined by its impact factor, which relies on the number of citations, this is not surprising.

Overall the picture is good – qualitative, quantitative and mixed methods outputs from the scheme are highly cited in peer reviewed and grey literature and citations grow over time, as expected. Nonetheless, there is variation in the level of citation between outputs and a quarter of outputs were either not recognised or not cited, although this percentage reduces if we look solely at outputs from Phase 1 grants, bearing in mind that Phase 2 outputs are relatively recent and may therefore not have been cited.

4.4 Analysis of Impact for Different Types of Studies

In this section we review 15 narrative impact reports (11 from studies using mixed methods, two from qualitative, and three from quantitative) that were produced by PIs 12 months after the end of the grant. We explore whether there are systematic differences in the ‘impact pathways’ (for example, in the types of activities used to engage policy makers) and the extent of impact achieved, according to the type of study.

Qualitative

Two qualitative studies reported on impact: one used life histories to explore experiences of Vietnamese rural to urban migrants and the other was a more applied study using semi-structured interviews to look at private standards initiatives in agri-food chains. Both projects had four peer-reviewed outputs, with at least one of these published in a prestigious journal, and the average citations per paper ranged between 5 and 15. The projects also engaged in substantial amounts of stakeholder engagement — the migration project published policy briefs in English and Vietnamese

26 Our sample is small as impact reports or ‘Impact records’, as they were originally called, were only required for grants finishing after 2010. While there were originally 16 impact reports, one mixed methods study had no publications so we excluded it as we could not look at the relationship between outputs and different types of impacts.
and organised a public seminar in Hanoi, while the standards project published a briefing paper and participated in numerous retailer, donor and NGO standards workshops throughout the project. Both projects built relationships that would enable sustained impact: the standards project engaged in ongoing dialogue with ETI, a key ‘boundary organisation’ in their sector, who later supported an ESRC application for follow-on work. Two senior researchers on the migration project were part of the Vietnamese Academy for Social Sciences that advises the Government of Vietnam (for example, by providing material for an address to the Assembly of the Government of Vietnam on ‘free migration’).

While it was too early to assess the extent of non-academic impact, there were numerous indicators of academic impact, for example, the research methodology and conceptual framework of the standards project was used by other researchers in a proposal to the Danish Research Council and a PhD thesis, while the migration project developed two grant applications and informed thinking around both the CHAMPSEA dataset (migration in South-east Asia) and DFID’s ‘Migrating out of poverty’ Research Programme Consortium.

Quantitative

The three quantitative studies that reported on impact were a panel survey of children and families in rural China, an experimental analysis of group formation for collective action, and a more theoretical study on chronic poverty and aspirations failure. As with the qualitative studies, the average citations per paper ranged between 5 and 15. There was greater variation in the number of peer reviewed publications as the survey, which had a much larger team, had 10, while the others had 2 and 1 respectively. All projects had at least one paper in a prestigious journal. The reports also noted other indicators of quality such as being the most downloaded paper from the SSRN archive, and conducted analyses of the location and career stage of researchers who had cited the papers.

Two of the three projects created policy briefs (one also blogged) and two projects contributed to national media in the PI’s country of origin (radio and print). All of the projects resulted in proposals for follow-on funding and two of the projects described their successful engagement of postgraduate researchers (the survey project created an interdisciplinary cohort of students interested in poverty and child welfare, while the project on chronic poverty saw one of the Co-Is complete his PhD and gain a tenure track position at a European university). One of the projects archived the data from their survey and reported considerable use by other scholars, which boosted their publications total (they had 31 in total, albeit that a substantial number of these were working papers). Another described the use of their methodology in other studies.
While all three projects clearly had substantial academic impact, not all of them aimed beyond this; for example, one project concentrated on getting two working papers out within 12 months of the project, which increased its potential academic influence, however, it did not produce briefing papers, engage with policy makers, or share information through the media. This may in part relate to its being less obviously grounded within a particular context and so not having a ready-made policy audience in the same way as the survey, which had engagement from the Chinese Academic of Social Sciences (a government advisory body) and the Ministry of Education in Beijing. The other two projects achieved substantial non-academic impacts through a RCT on vision defects, which raised awareness of an unmet need for glasses, and two pilot projects on raising aspirations initiated with the Ministry of Education in Argentina and a sex-workers’ cooperative in Kolkata, India.

Mixed methods

There were 10 mixed methods studies covering topics ranging from land distribution in South Africa to poverty and shame worldwide. Three of the projects discussed how their mixed methods design enabled them to achieve greater impact, for example, generating data on the role of social networks and experiences of minority groups enabled policy makers to more effectively take these into account, and enabling demographers and economists to share concepts and techniques they would not otherwise have learnt created substantial academic impact. The third project showed that contrary to the findings from their systematic review, women’s engagement in the informal sector in Tanzania did not visibly impact on gender roles and expectations in the household or reduce the likelihood of Intimate Partner Violence, which had implications for planned interventions in this sector.

The mean number of outputs produced per project was 15 (range 1 to 25). 7 of these were peer reviewed articles (range 0 to 16, 20% of projects didn’t have any peer-reviewed articles27) and 2 were published in prestigious journals (range 0 to 4, 50% of studies did not have any publications in prestigious journals). The mean number of citations per paper was 12 (range 0 to 23). Novel pathways to impacts included an education pack for schools and creative art events for children (two projects), engagement with popular media, for example, inclusion of data in storylines for a primetime African soap opera and an article in the London Review of Books (two projects), and presentations to international donors and/ or INGOs (9), including feeding into ongoing work such as a World Bank study of social pensions and in two cases the World Development Report. Two

27 This are slightly better than the figures for the sample as a whole which was 27% for peer-reviewed articles and 56% for articles in the top 20% of journals, see section 4.2.5.
projects reported establishing country consultative groups and using networks of in-country academics to bring together key stakeholders and five made presentations to senior officials in country. Four projects fed back through workshops in the study areas, which is an ethical requirement as well as a communications one, and two projects organised meetings for practitioners, including youth club leaders. While it is hard to generalise given the relatively small numbers of qualitative and quantitative reports, it does seem that the mixed methods studies were more focused on generating non-academic impact and used a wider range of methods to do so (only one project had a briefing paper, which can be the entirety of stakeholder engagement in more academic projects). There was surprisingly little reported use of IT/social media to share information – one blog and one podcast – but this may be because these were not considered to be the best means to reach stakeholders in the countries where the projects took place.

In terms of academic impacts, six projects generated follow-on funding or studies and two influenced existing or forthcoming studies, for example, the addition of questions to the ESRC Poverty and Social exclusion and Understanding Society surveys, or the inclusion of violence questions in the next Demographic and Health Survey. Two claimed they had developed novel methodologies such as dynamic panel models in demography and another that it had introduced two new concepts to the field: 'tipping points' and 'violence chains'. One project reported influencing public opinion by shifting the perception that land reform in Zimbabwe had been a social and economic disaster. There were also contributions in the area of capacity strengthening, for example, three projects reported creating a network of young researchers, four used project materials in teaching and curriculum design (for example, to develop a formal qualification for teachers on guidance and counselling), and three noted that early career researchers on the project had obtained PhDs or post doctorates as a result of their participation.

There were also an impressive range of non-academic impacts, including the adoption of the principle to respect the rights and dignity of recipients of social protection by the ILO (historic recommendation 202, see section 5.3) and the citation of work on albino killings in the UN General Assembly Human Rights Commission and a report of the Office of the UN High Commissioner for Human Rights entitled ‘persons with albinism’. Three projects reported changes in donor policy, for example, DFID now plans to take stigma and self-efficacy into account in planning the delivery of social protection and DFID India will integrate project findings on alcohol into its alcohol and violence strategy. Four projects reported that they were consulted by civil society and the private

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28 One project gave a personal copy of their edited volume to a senior minister.
sector, e.g. in developing national mining codes for East and Southern African countries, or advising on a funding strategy for intra-household research for the Bill and Melinda Gates foundation. Two projects also reported influence at ministerial and district levels in the study countries, for example, the use of findings on children’s travel to school in district level school planning in Malawi and on ODFL by the Chief Education officer for Curriculum and Assessment from the Ministry of Education in Lesotho to raise its profile and make provision for its wider application. Three projects also reported micro-level pilot projects or initiatives emerging from their work: developing an intervention that will result in the provision of gender training to several hundred women enrolled in a micro-finance programme, supporting a ‘walking bus’ pilot in South Africa, and engaging Patna police to implement the researchers’ suggestion that mobile women’s officer teams go around slums. A final and very specific output from the project on children’s travel was that one year later the 70 child researchers who participated continued to report strong positive personal impact, evidenced by employment with NGOs and the government employment and applications to university. For projects that in most cases lasted no longer than three years, these are striking achievements.

In conclusion, the extent and range of academic and non-academic impacts generated by the grants is impressive, and this is particularly true of the mixed methods grants, despite having a smaller proportion of outputs published in peer-reviewed and prestigious journals. Where differences exist, they may be partially due to different reporting styles as students obtained their PhDs and post-docs secured academic positions in the majority of grants, but this is only explicitly reported in four or five. As might be expected, grants with larger teams and pre-existing links within the sector and in-country report more impact. This is partially due to a more active role taken by researchers’ in-country. One grant elected to focus solely on academic impact, but this was certainly not the norm, reflecting a recognition of the value of impact among academics and a more creative approach to generating it.

5 Case studies

In the penultimate section we present three examples of more innovative research designs and describe what makes them distinctive, as a counterpoint to the omissions we describe in the preceding overview of projects and outputs.

5.1 Human Development and Poverty Reduction in Developing Countries - Attanasio et al (2009)
Introduction

The broad focus of this research project is to investigate issues around human capital accumulation, specifically investment decisions made in relation to nutrition, health and education. The regional focus is primarily Latin America, however, the cases of Indonesia and Nepal are also explored to illustrate returns to education and the link between social networks and health seeking behaviour. The project has not only been funded by ESRC-DFID but also received co-funding from a range of other organisations, which makes it challenging to attribute outputs correctly. The ESRC-DFID funded component of this project aims to “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.” (Attanasio et al. 2009: 14).

To explore these issues numerous methodological approaches have been adopted. Primary and secondary data sources have been used, randomised experiments and quasi-experimental designs have been dealt with, innovative approaches to measuring unmeasurable concepts have been explored using experimental games, and the value of structural models has been examined to simulate policy choices. The diversity of methodological choices makes this a very rich case study.

Methodological innovation – Trying to measure the unmeasurable using innovative methodological approaches such as games is in our view one of the main contributions of this research project and highly relevant to the research and policy community. Many of the econometric approaches available to economists today fail to capture so called unobservables such as attitudes. To address these unobservables econometric models are based on strong assumptions which often do not hold in practice. Thus, developing measurement tools to capture these unobservables and measure the unmeasurable is critically important to advancing economic research.

The research team recognised that many topics such as social capital, empowerment, and expectations cannot be observed and captured by standard approaches to surveys. In the case of this project the team proposed to pursue data collection strategies drawing on surveys but to incorporate experimental games to collect information on variables that otherwise cannot be observed.

Data archiving – Of the primary data sources collected as part of this project, only data for the Nepal project has been archived in the UK data archive (http://www.data-archive.ac.uk/find/archive-catalogue). An estimation dataset as well as the questionnaire and a codebook are available to download from the data archive. Given the renewed interest in replication and data sharing, it is
somewhat surprising that few of the data sources were made publicly available. Related to this is the lack of explicitly addressing issues linked to research ethics as part of this research.

**Policy impact** – Impact evaluation was an important theme of this research project and thus we explore the potential policy impact of these evaluations. Impact evaluations are expected to generate knowledge on strategic interventions that inform policymakers on what works, for whom and under what circumstances. Such information is important not just for policymakers but also for others who may be considering adapting particular interventions for their purposes and circumstances. For these reasons, it is of interest to take a closer look at the impact of the impact evaluations generated by this research project.

Given the diversity of outputs generated by the research team, we focus on exploring the impact of the PROGRESA programme as this was featured in many of the outputs. We use the Context-Evidence-Links (CEL) framework (ODI, 2004) to identify the critical factors that contributed to impact. The framework is centred on three broad areas that can explain research uptake:

- **Context**: The level of demand for research-based evidence and new ideas among policymakers, and political will to make changes.
- **Evidence**: The credibility of the evidence and the source, and how it is communicated.
- **Links**: How the evidence gets into the policy process. Who are the key stakeholders? Who are the experts? What links and networks exist between them?

The research team drew on secondary data sources to explore different aspects of the PROGRESA programme. PROGRESA is a conditional cash transfer scheme that was initiated by the Mexican government to respond to calls for tackling extreme poverty. This programme was one of the first in a developing country to be introduced with regard to its rigorous evaluation, and its example has done much to popularise the use of conditional cash transfers as an approach to poverty reduction, which have now been replicated widely across the globe.

PROGRESA’s objective was to alleviate poverty by giving short-term cash subsidies (provided certain criteria were met) to eligible households with the purpose to strengthen women’s role in the household decision-making process. The cash was directly given by the government to avoid elite capture and corruption. To evaluate the impact of PROGRESA, a randomised control trial was conducted comparing treatment and control villages. Data were collected through surveys and interviews and a difference-in-difference approach was employed. Numerous studies have found that PROGRESA successfully alleviated poverty, improved health and nutrition outcomes, led to better school attendance and empowered women.
The team around Attanasio et al. decided to re-investigate the impact of the PROGRESA programme; in one of their outputs they specifically look at the impact of education grants that are offered as part of this programme. They do not find any meaningful impacts and make specific suggestions for a re-design of this policy.

The CEL framework

Context: The PROGRESA programme was initiated by the Mexican government as a response to a sharp rise in poverty. The government recognised the importance of rigorous evaluations and their potential role in ensuring the long-term survival of the programme and thus they commissioned the International Food Policy Research Institute (IFPRI) to assess the impact of PROGRESA. As a result of the IFPRI led evaluations of PROGRESA, conditional cash transfers have become a widely publicised approach to successfully tackling poverty which might explain the interest of other researchers to engage with this programme and re-investigate its impact.

Evidence: The evidence generated by IFPRI is of high quality and carries a lot of credibility. This has partially to do with IFPRI’s reputation but also with the fact that the evaluation team worked very closely with the policy maker and thus could increase the influence of their evaluation. The research team around Attanasio made use of this high quality evidence to re-investigate certain aspects of PROGRESA’s impact and then publish peer-reviewed journal articles to further add to visibility and credibility of this programme.

Links: The initial PROGRESA evaluations have been influential because they were commissioned by the Mexican government and the IFPRI researchers closely interacted with the policymakers. Furthermore, the research was perceived to be rigorous and credible and as a result this case shaped the Mexican policy landscape and beyond. PROGRESA was replicated and scaled up in Mexico and across the globe. Thus, subsequent research teams engaging with these data and related evidence on conditional cash transfer schemes exploited the widely publicised nature of PROGRESA and conditional cash transfer schemes more broadly which can explain why their work has been taken up widely by policy makers.

Conclusion – The output generated as part of this research project has been very rich in terms of methodological innovation and potential policy impact. This project has pushed methodological boundaries and has explored how methodological innovations can improve measuring development outcomes. This is an important contribution given we find ourselves in an environment where donors increasingly focus on demonstrating impact drawing on rigorous evidence.
5.2 Wellbeing and Poverty Pathways - White et al. (2010-14)

Introduction – The case study aims to identify pathways of wellbeing and poverty within rural communities in Zambia and India using an approach that draws on the sociology of development and psychology. Its research design is mixed method, cross-cultural and longitudinal, with qualitative and quantitative data collection across a two year interval, involving 700 respondents. Statistical tests are used to assess the validity and reliability of their model of wellbeing, combined with in-depth case studies to gain a deeper sense of people’s own understandings and experience. Perhaps unusually, a separate methodological component has been undertaken alongside the research involving supporting NGOs working to incorporate wellbeing into their programmes.

Methodological and conceptual innovation – The project used psychometric methods which are rarely used within development research to validate a multi-dimensional model of wellbeing. The model comprises seven inter-correlated domains that span material, relational and personal factors (economic confidence, agency/participation, social connections, close relationships, physical/mental health, competence/self-worth, and values/meaning) (Gaines and White, 2012). The seven domains bring together dimensions identified as important in the psychological wellbeing literature (e.g. autonomy, competence and relationship, Ryan and Deci 2000) and in the literature on empowerment and social development (e.g. Rowlands 1995). For example, one of the items in the social connections domain is, ‘Do you know the kind of people who can help you get things done?’ This reflects the fact that in many societies in the global south people’s access to key resources depends on personal brokerage (e.g. Devine 2002). Two previous research projects were particularly influential in developing the inner wellbeing approach. The first was the ESRC funded Wellbeing in Developing Countries ESRC Research Group (WeD), which identified three interlinked dimensions of wellbeing: the material — what people have or do not have; the relational — what people do or cannot do with it; and the subjective — what people think or feel (Gough and McGregor 2007; White 2010). The second was the Colombo-based Psycho-social Assessment of Development and Humanitarian Intervention (PADHI) and their ‘social justice approach to wellbeing’ (PADHI, 2009). This provided five of the seven domains in the inner wellbeing Scale. To these were added two more (on close relationships and values and meaning) which had been shown to be important in the WeD research and in a DFID funded project on religion and wellbeing, respectively (Devine and White, 2013). The model was pre-piloted by the PI in Zambia in 2009 to ensure it was appropriate for use with participants with low literacy and had high face validity (i.e. was obviously relevant to their concerns) (White, 2010). Again, this is unusual as within development studies measures are more usually adapted than developed for particular contexts. Further qualitative and quantitative data
collection in Zambia (Chiawa) and India (Sarguja, Chhattisgarh) with 700 respondents across a two year interval ensured the validity of the model, which was also refined through numerous psychometric iterations and changes to their methodology. The latter involved recognising that “wellbeing approaches assume a culture of questioning that is by no means generally shared” (Gaines and White, 2012, p. 84) and redrafting the items to make them less abstract, e.g. by replacing a list of declarative statements with an agree-disagree scale format with questions.

Extent of integration of methods – The project demonstrates the contribution of mixed methods to wellbeing research, e.g. by showing how constructions of wellbeing are shaped by the location and methods of investigation (White and Jha, 2014; a forthcoming edited Palgrave volume Wellbeing: culture, methods, politics). Two empirical examples are that through the quantitative analysis they find that better socio-economic status is matched by higher inner wellbeing scores, which is confirmed by qualitative evidence, suggesting that more secure livelihoods have a broader impact on people’s confidence and experience of quality in life. They also found that gender significantly affects both wellbeing scores (quant) and people’s constructions of wellbeing. Although there are some good examples of integration in papers from this project (e.g. White, 2013), there are also examples where the quant model is presented independently from the qualitative research (Gaines and White, 2012, White, et al, 2014) which may reflect the demands of particular journals/audiences.

Ethics – the outputs from this study show a high degree of reflexivity, albeit that there could be more information about responding to ethical challenges in individual outputs (see White and Jha, 2014, a blog for ODI http://www.developmentprogress.org/blog/2014/02/17/policy-and-people%E2%80%99s-voice, downloaded 08/12/14, and a forthcoming ESRC ethics case study for more information on ethics).

Data archiving – Data is accessible via UKDS study number (851274).

Policy impact – The project produced detailed policy briefs which were shared through meetings with key organisations in the policy community. The influence of these on government policy and local politics can be seen through two examples: after the return of the PI to Zambia in December 2013 the government announced a ban on the sale of customary land, which was one of the project’s main recommendations. They subsequently heard that one of the villages in Chiawa had won a dispute with the large agro-industry conglomerate that had encroached on their land — a key issue the project had raised in meetings with local officials. The PI recalls that when the Vice President (whom they had lobbied directly) opened the new bridge to Chiawa he was reported in
national newspapers making the link between the bridge and people’s land rights; and between the safari industry and local people’s employment — both key arguments in their briefing paper (Sarah White, pers. Comm. 07/12/14). The project also had more diffuse impacts, as described below, which can be described using the Context-Evidence-Links framework (ODI, 2004):

**Context**: A growing demand for data on wellbeing and arguments framed in terms of wellbeing from international and national policymakers (e.g. OECD). A willingness to experiment with policy and intervention on the part of the Zambian government (e.g. in relation to the child grant programme) and a consequent demand for context-specific evidence.

**Evidence**: The credibility of this evidence was enhanced by the triangulation of qualitative and quantitative data, the reputation of the authors, the longitudinal dimension and long periods spent in the field by a single research officer, and the fact that it was communicated via face-to-face meetings as well as two topical briefing papers.

**Links**: In addition to the Zambian and Indian governments, the project has undertaken collaborative action research on wellbeing with World Wildlife Fund (2013) and Traidcraft (2011-12) piloting wellbeing measures for their use in monitoring and evaluation. The PI runs an annual short course on wellbeing assessment and has advised professionals wanting to work with wellbeing in the UK and internationally, and even in the private sector (e.g. an ethical consultancy working with the multinational Mondelez). They have established a broader network with NGOs working on wellbeing and quality of life through their website and events for academics and practitioners. They have also written a book with NGO partners: *Wellbeing and Quality of Life Assessment: A Practical Guide*, which was published in October 2014 by a practice-focused publisher.

**Conclusion** – In addition to generating an above average number of outputs in a range of formats (reports, briefing papers, articles, chapters and books), they have successfully reached academic, practice and policy audiences through numerous targeted events. By inviting other academics and practitioners to co-author or contribute to edited volumes they have been successful in bringing a range of actors on board and getting their implicit agreement on a distinctive conceptualisation of wellbeing. They have also been able to speak to fields as diverse as psychology, development studies, impact evaluation, and anthropology. In creating this impact, the PI has built on earlier ESRC funding received as part of the Wellbeing in developing countries ESRC research group (2002-2007).

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29 Context refers to factors outside the project’s control that nonetheless may have influenced the way in which the research was used.
5.3 SHAME, SOCIAL EXCLUSION AND THE EFFECTIVENESS OF ANTI-POVERTY PROGRAMMES: A STUDY IN SEVEN COUNTRIES (WALKER ET AL. 2009)

Introduction - Walker et al.’s study comprised a two-year investigation into the nature and consequences of the relationship between shame and poverty in seven settings around the world: rural Uganda and India, urban China, Pakistan, Korea and the United Kingdom; and small town and urban Norway. The study set out to a) explore the social construction of shame in public discourse, b) identify its coincidence with poverty, and c) explore how people living with poverty and shame recognise connections between them. The broad selection of countries — rare in development studies — was underpinned by an understanding of poverty-related shame not as a developing world problem but a universal phenomenon with significant consequences for anti-poverty policies and programmes worldwide. The research design provided a strong test of this universality, and a basis for establishing concepts and relationships that could be widely applied.

The key findings of the project supported the thesis that shame is always associated with poverty, demonstrating that this association may ‘reduce personal efficacy’ and ‘contribute to the duration and prevalence of poverty’ (EOAR: 2). Furthermore, results emphasised the severe consequences of poverty-associated shame, including psychic pain, loss of self-esteem, social isolation and even attempted suicide. Such findings were made possible by an inductive methodological approach that allowed participants to frame their own perceptions of shame and poverty.

Methodological innovation - The study presents several areas of methodological innovation. Conducting activities in seven different countries, it sought to strike a careful balance between standardisation and conceptual equivalence that is difficult to achieve in multiple-country studies. As a starting point, local literary scholars sampled 30 examples of creative writing from the secondary school syllabuses of each country spanning a period of 150 years together, as appropriate, with proverbs and films. This material was then analysed using the New Historicism approach to critical literary analysis, involving discourse analysis techniques. Critical discursive analyses are usually reserved for policy documents and media articles in the social sciences. The inclusion of historical literary material here provided the study with a unique insight into the ways in which popular ideas around poverty and shame have changed over time in different country settings. In Uganda, for example, an analysis of proverbs revealed that poverty had lost its association with misfortune and solidarity and become more closely connected with shame and individual culpability (Bantebya-Kyumuhendo & Mwiine, 2014).

The literary analysis provided a backdrop for insights provided from about 300 in-depth interviews.
(50-60 in each country) conducted with adults and children experiencing poverty, as defined by local standards. Interestingly, small group discussions were also held with people not in poverty in each setting, providing the study with information on the contemporary position of poverty in broader society. Information on the sampling of interviewees was provided in (Chase & Banteby-Kyomuhendo, 2014) and the sampling of discussion participants is described in the final synthesis report. Interviews were conducted, transcribed and thematically analysed by local research teams in the native language of each country in order to maximise reliability. Interview guidelines were open, reflecting the study’s grounded approach to investigating poverty and shame (Chase & Banteby-Kyomuhendo, 2014).

Ethics - Outputs from the grants note that the research design received ethical approval from departmental (Social Policy and Intervention) and inter-departmental research ethics committees at the University of Oxford (Chase & Walker 2012: 4). The End of Award report outlines the ‘principal ethical issue’ of the study: the obtaining of written consent from participants who were functionally illiterate, and/or in settings in which the written word ‘provokes concern about personal safety’ (EOAR: 5-6). Oral consent was deemed to be appropriate in these cases. The study could provide more information on the ethical implications of researching vulnerable children in different country contexts, though it notes that children’s and parents’ consent was always sought and obtained and care taken to avoid all chances of stigmatization (Chase & Bantebya-Kyomuhendo, 2014).

Data archiving - Of the primary data collected as part of this project, interview and discussion transcripts from India, the UK and Norway have been stored in the UK Data Service (number 850820).

Impact - Walker et. al.’s study arguably demonstrates the most successful policy engagement of all the ESRC-DFID poverty grants. Results were disseminated through public meetings and seminars attended by policy makers in five countries and through direct contacts with donor organisations and INGOs — including seminars at the World Bank which were organized by the World Bank to promote their work and the European Commission. The results presented in one workshop led to change in research priorities by DFID and a re-focusing on reducing poverty-associated stigma. Most notably, however, the research informed the decision to add a principle that governments should

have ‘respect for the rights and dignity of people covered by the social security guarantees’ to the International Labour Organisation (ILO) Recommendation 202 agreed in June 2012.

Following on from these successes, two follow-up projects have received funding from the ESRC and the Norwegian Research Council. These projects aim to develop a web-based shame-proofing toolkit to inform the shaping of the MDGs in 2015, and to evaluate global antipoverty programmes in light of the new ILO recommendation respectively. Finally, the project produced three books: *The Shame of It*, published by Policy Press, and *The Shame of Poverty and Poverty and Shame: Global experiences*, both published by OUP; a film: *Rich Man Poor Man* shown on the Compass Series of the Community Channel; and provided story line material for an international edutainment soap opera — Makutano Junction — and a theatre in education programme — The Heap (see [http://povertyshamedignity.spi.ox.ac.uk](http://povertyshamedignity.spi.ox.ac.uk); this was funded by a related ESRC Knowledge Exchange Grant).

It is useful to refer to the Context-Evidence-Links (CEL) framework (ODI, 2004) to explore the critical factors that contributed to the impact of the project:

**Context:** The starting point for the research was Amartya Sen’s assertion that shame lies at the ‘irreducible absolutist core’ of poverty. By setting out to test this assertion, the research programme was of high relevance to donors, governments and NGOs engaged in social welfare and poverty-reduction programmes. Furthermore, the research team identified a number of additional stakeholders including national and international statistical agencies and research institutes, the media and the general public. These stakeholders were invited to policy workshops and public meetings, organised to coincide with project planning meetings. As such, stakeholders were invited to provide input into the project at an early stage. In particular, the research team were able to draw upon strong, pre-existing relationships with DFID and the World Bank.

**Evidence:** By demonstrating that shame was linked explicitly to poverty across such different settings, the project generated powerful evidence supporting relative conceptions of poverty and the need to connect debates about poverty in the global North and South. The effective combination of research methods contributed to the strength of the evidence: for example the literary analysis provided a context against which to situate people’s qualitative experiences of poverty. Taken together, these findings enabled the project to construct a powerful argument: that people defined as being poor according to local norms felt similarly about themselves and their circumstances, irrespective of objective living standards.
Links: The impact of the project’s findings was strengthened by the connections established during the initial stages of research planning. After the completion of fieldwork, direct contact was made with DFID, ILO, the World Bank, Oxfam and ATD Fourth World, extending invitations to delegates to dissemination workshops, which were held across the seven selected countries and beyond. The media in several of the countries took up the research findings following a briefing seminar in 2012, supported partly by an ESRC Knowledge Exchange grant. Finally, and most significantly, the ILO amendment came about when the PI became aware that the ILO were considering Recommendation 202 on social policy during a workshop in Oxford in 2012. He subsequently wrote a briefing paper, which reached Wouter van Ginneken, representative of the specially constituted grouping of NGOs, who included the amendment in their ‘Autonomous Recommendation on the Social Protection Floor.’ As such, this outcome resulted from a combination of the effective timing and attendance of the workshops, the legitimacy established within the NGO community during the early stages of the project and the personal intervention of the PI.

Conclusion - The Shame grant provides a very good example of the potential rewards of an ambitious, methodologically innovative research project. Its design demonstrates the benefits of incorporating a grounded, contextual approach to poverty within a multi-country research design, reconciling local conceptual relevance with comparability. Furthermore, its selection of a broad range of country settings provides a powerful basis for generalisation and relevance to global policy agendas — as demonstrated by ILO’s adoption of Recommendation 202. Finally, the success of the project emphasises the importance of local forms of knowledge — including material from literature and popular culture — within research projects seeking to understand the relevance and application of a particular concept (e.g. poverty) across very different settings.
5.4 **Analysis of Two Pairs of Projects on Mining and HIV/AIDS to Assess the Influence of Methodology on a Range of Outcomes**

In the following section we compare two pairs of projects on similar topics in similar locations, but with very different methodological approaches. This enables us to show the ways in which methodology influences not only research design, but also the outputs and evidence produced and the level of impact.

**Pair 1: The socio-economic impacts of mining projects**

**Overview and approach**

Two ESRC-DFID grants set out to explore the social and economic impacts of mining projects in the global south. These were: ‘Mining, social networks and rural livelihoods in Bangladesh,’ funded during the first phase of the call, and ‘Urban growth and poverty in mining Africa,’ funded during the second phase. The PI for the first grant (Bangladesh) was an anthropologist (Scopus h-index score of 6) with long-term experience in the chosen field setting but no previous experience of work on mining. Conversely, the PI on the second grant (Africa) was a Geographer (h-index score of 14), with country- (rather than local) level field experience, but significant prior experience of work on mining in the region, including several publications. The second grant named a co-investigator — a lecturer from the same department.

Both grants were concerned with the socio-economic impact of mining projects in a particular setting. However, they approached the issue at different scales. For example, the Bangladesh grant set out to explore ‘the impacts of the gas field on the livelihoods, social networks and relative impoverishment of different groups’ adjacent to the gas field, while the Africa grant was instead concerned with ‘processes of urbanization at local, national and continental levels in Africa where mining is already or is in the process of becoming a major sector of the national economy.’ These points of departure led the projects down different methodological paths.

The first grant’s concern with livelihoods and social networks at the local level lent itself to a qualitative enquiry, based on two in-depth case studies located close to a major gas plant. In a summary report, the PI asserts that they decided not to pursue statistical techniques as the focus was to ‘listen to people’s accounts of their experiences and to understand their everyday struggles’ in a context where little was previously known about the impact of mining projects. As such, they relied on household surveys, semi-structured interviews, focus group discussions, and 12 months of participant observation in the two field settings focusing on livelihood and coping strategies. One
innovation was the inclusion of interviews with migrants from one of the field sites, now resident in the UK. One of the selected locations was the site of long-term fieldwork by the PI, offering the study a longitudinal perspective, while the second site was selected due its association with anti-mining resistance movements. Rather than an explicitly comparative case study design, the second case study was designed to provide ‘a backdrop to the detailed empirical data produced by case study 1.’ The PI led fieldwork activities for the first case study (including UK interviews), assisted by two Research Officers recruited from a local university, and a PhD student was recruited to lead activities in the other. Plans for formal collaboration with a local NGO were dropped due to ethical concerns that the organisation was partly funded by Corporate Social Responsibility grants from the mining company that was under research investigation.

In contrast, the second grant’s concern with the structural relationship between mining, urbanisation and the economy required the generation of data at a larger scale than that permitted by interviews and observations. As such, the project set out a spatial and temporal comparative approach, situated within the context of international political economy. This approach aimed to open a new area of enquiry in-between the literatures on African mining and African urbanisation. Field sites were selected in different countries (Ghana, Angola and Tanzania) in order to reflect different stages of resource extraction (or ‘mineralisation’) in relation to the world economy.

Fieldwork then took place in distinct phases: 1) the holding of an international kick-off workshop on the impact of mining on urbanisation in Africa, with a focus on statistical demographic approaches, 2) key informant interviews, focus groups and surveys in small and large-scale mining settlements in the three countries, 3) interviews with policymakers about their perceptions of mining, and 4) a ‘Digging deeper’ participatory programme, in which youth groups shared their experiences of working in mining settlements in various art forms. A local postdoctoral Case Study Coordinator with experience of research in the mining sector was recruited in each of the three countries. It was hoped that these positions would help to build local academic capacity with regard to the analysis of urbanisation and mineralisation in Africa.

Evidence and outputs

The data generated by the first project in Bangladesh took the form of household survey data, field notes and interview transcripts (transcribed carefully to ensure that key phrases were kept in the local language). Field notes acquired through participant observation usually require analysis by the participant observer themselves, which can slow down data analysis in team projects. The second grant (Africa) generated a more generic data set, including transcribed interviews and discussions, but also large-scale socio-economic and demographic surveys, and macro-economic data acquired.
from statisticians present at the international conference. According to the final report, data from the Bangladesh grant was submitted for data archiving, but was not available on the UK Data Service (UKDS) at the time of analysis. From the Africa grant, a number of household surveys were available for download from UKDS, in addition to site photos and short recordings of the performances of youth groups during the participatory exercises. In particular, the household surveys from the Africa grant may be useful for future research (for example, as part of panel exercises tracking changes in the settlements), however, neither of the grants reported third party use of their datasets so far.

The two data sets provided distinct bodies of evidence. The value of the evidence generated from the first grant cannot be divorced from the experiences of the research team (in particular, the PI’s 20+ years of local research), where fieldsite exposure — and the related issues of rapport and legitimacy — is a key criterion of quality in anthropological research. Drawing on these experiences, the data generated by the grant provided a compelling base of evidence on which to formulate an argument about change in the two settings in Bangladesh (see e.g. Gardner et al. 2014). However, the relatively narrow scope of the data restricted this argument to two local settings in the country, with the generalisability of the findings reliant on comparisons with other studies and literatures.

Conversely, the broader scope and diminished depth of the data generated by the second study provided a less convincing basis on which to discuss change, but a stronger claim to generalisability. As such, the outputs produced by the study restrict their analysis of change to the sphere of national economics and demographics. However, the generation of data across different scales and countries provided a strong base of evidence for arguments about the situation of mining communities in Africa today — for example, showing that relationships between men and women within these communities are characterised by a number of arrangements and welfare outcomes that contest the conventional focus on prostitution (Bryceson et al. 2014).

At the time of analysis (September 2014), there was a significant difference in the published outputs of the two grants. The first grant (Bangladesh) produced one multi-authored article in a regional journal (Gardner et al. 2014, as yet uncited), and a monograph for a non-specialist audience (‘Discordant Development,’ Gardner 2012), which connects the data collected by the grant to the PI’s previous work in the area and has been praised by leading theorists of the anthropology of development, such as David Mosse. Conversely, the second grant (Africa) has published in a policy journal (Jønsson et al. 2012, 4 citations in the World of Science database and 8 in Google Scholar), in Development and Change — a leading journal in Development Studies (Bryceson et al. 2014, 1 citation in Google Scholar), and two regional journals, including a special issue on mining (Bryceson
et al. 2012, 1 citation in WoS, 1 in Google Scholar). Furthermore, the PI has published two edited volumes on mining in Africa (Bryceson 2013, 2014).

Impact

The impact strategy of the Bangladesh grant focused on the creation of Networking Forums for ‘the exchange of knowledge and options between opposing groups’ on mining and CSR activities in Bangladesh. However, the efficacy of these activities were restricted by the political environment in the country, which was far more acute than anticipated in the proposal. Despite this, the project held a number of workshops in London and Dhaka, including the first event in the country to bring together representatives of government, civil society and multinational mining firms in Bangladesh. Of the named stakeholders of the project – CSR Directors, local NGOs, local civil society activists, transnational political leaders and activists – uptake of the research findings was reported greatest among local civil society activists, who used them to lobby against increased involvement of multinationals in the country. The study’s single-country focus arguably restricted international uptake of the research (by media and INGOs), related also to the fact that international attention on resource extraction is focused primarily on the African continent. A report was written specifically for the multinational involved, which subsequently increased financial support for a local NGO as part of its CSR activities, however the longer-term impact of the research on its activities is unclear. In the Impact Report, the PI places much emphasis on the book produced from the research (outlined above) as the key legacy of the project, which has been well received by peers in Anthropology and Sociology (see reviews by Davidov 2014, Seeley 2013, recommendation on the cover by Mosse).

In the Africa grant, networking within both academic and policy circles started at an early stage in the project cycle with the organisation of the international kick-off workshop, followed by several collegial workshops with urban and mining experts, a book launch in Tanzania and a CIFOR-funded workshop on Mine-led Migration. One of the published books from the project was disseminated to the Tanzanian President during a Foreign office function in 2014. Evidence of broader infiltration and uptake of the research findings was provided by various approaches to the research team from students and academics in Europe and the Americas (with requests for information and collaboration), from journalists for international publications, from consultants working on the drafting of mining codes in Southern Africa, and from international donors interested in further workshops on the management of mining and urbanisation. More spontaneously, an article written by the research team reflecting on the murder of albinos in Tanzania in 2009 was cited twice in the
UN General Assembly, Human Rights Council, and has contributed to recent new medical and humanitarian awareness and research interest in albinos.

It is difficult to isolate the influence of methodology on the impact of a research project, where so many other factors — resources, networks, reputations, and even luck — play an important role. Nevertheless, it is possible to identify three ways in which the methodological choices made by the two grants may have affected confidence in, and uptake of the results. Firstly, with regard to the academic alignment of the two studies, the Africa grant positioned itself between two established bodies of literature (and associated methodological practices) on urbanisation and mining in Africa, while the Bangladesh grant instead represented the first empirical exploration of the impacts of mining in a particular country. As such, from the offset, the Africa grant identified a larger, better-established audience and set of stakeholders. Secondly, the generalisability of the evidence generated by the methodology enabled it to contribute to a larger number of discussions both in academic and policy circles — related to both the structural and the local impacts of mining in Africa. Conversely, the Bangladesh grant was restricted to discussions on one particular gas field (and associated CSR practices) in two local settings. Finally, the decision of the Africa grant to establish inter-disciplinary networks as part of the project’s methodology (as opposed to a post-fieldwork dissemination activity) helped to establish its relevance across different disciplines in the Social Sciences. In contrast, the Bangladesh grant restricted its audience largely to anthropologists and sociologists.

**Pair 2: HIV in Africa**

**Overview and approach**

For the second paired analysis, we identified two grants looking at HIV in Africa: ‘Demographic and poverty dynamics in an African population with high AIDS mortality,’ and ‘Averting 'New Variant Famine in Southern Africa: building food-secure livelihoods with AIDS-affected young people.’ Both grants were funded during Phase 1, with start dates in October 2006 and May 2007 respectively. The PI from the first grant was a Professor in Demography (Scopus h-index score of 14) with a strong publication record on HIV in South Africa. He headed an international team of researchers, including two other Professors (in demography and poverty economics) — one of who held another ESRC-DFID Poverty grant. The PI from the second grant (New Variant Famine) was a Lecturer in Geography (h-index score of 15), assisted by two co-investigators (Lecturers) from the same department. The PI had previously held a DFID grant on children’s AIDS-related migration in Southern Africa, and published widely from the findings.
The starting point of the first grant’s enquiry was to explore the effects of demographic change, including the AIDS epidemic, on poverty dynamics across the life course in KwaZulu-Natal, South Africa, focusing particularly on the effects of adult deaths. The second grant instead concerned itself with the impacts of the AIDS pandemic on the livelihoods of young people in rural Malawi and Lesotho in the context of a supposed ‘New Variant Famine,’ exploring how they are incorporated into (or excluded from) household livelihood strategies. As such, the two grants conveyed an interest in different concepts — poverty dynamics versus livelihood strategies — and scales — an entire adult population versus a sample of young people living in rural areas. Such choices were grounded in the disciplines of the PIs, Demography and Geography respectively. While the first grant posed a ‘What?’ question — What is the impact of the AIDS epidemic on poverty dynamics? — the second instead asked ‘How?’ — How does the AIDS pandemic effect young people’s incorporation into household livelihood strategies? In order to answer these questions, the two grants were required to make different methodological choices.

The methodological approach of the first (demography) was highly dependent on data generated by two panel studies in South Africa (KIDS and ACDIS), which provide information on the membership, characteristics, activities, and expenditure of panel households, in addition to updates relating to household illnesses and deaths. This data was subjected to standard econometric analyses for panel study data, including fitting difference-in-difference and Poisson regression models and focusing on the temporal sequencing of events in order to identify causal relationships (for example between deaths and household expenditure). This approach was taken in order to examine the bidirectional relationship between demographic and socioeconomic change in the context of AIDS (where demographers and economists had conventionally focused on one aspect at the expense of the other). The three investigators led the analyses, assisted by three junior researchers, two of which were affiliated to South African universities. Furthermore, a PhD student was recruited to conduct 20 in-depth interviews with panel households, designed to investigate inter-linkages between demographic and socioeconomic change effected by AIDS. These interviews were the only data generated by the grant, which is a much smaller amount of primary data than other grants employing mixed methods.

In contrast, the second grant (New Variant Famine) adopted a qualitative methodology, designed to generate a significant primary data. This methodology was situated within a sustainable livelihoods approach (SLA), adapted to give sufficient prominence to macro-level policies and micro-level inequalities (for example relating to kinship and gender). Research activities were planned in two rural villages of 40-50 households in Malawi and Lesotho. The activities were divided into three
stages: 1) community and household profiling, designed to provide a contextual understanding of livelihood responses to sickness and death; 2) participatory research with 10-24-year-olds in each community to explore their aspirations, means of accessing livelihood opportunities, and decision-making processes; and 3) semi-structured interviews with key informants to explore the linkages with macro-level policies and processes. The investigators conducted these activities themselves, assisted by a post-doctoral researcher affiliated to Uppsala University. Meanwhile a research associate was recruited from the University of Malawi to assist with both research and publications. The research team planned to work with local stakeholders from the outset of the project through the establishment of a National Steering Group in each country.

Evidence and outputs

The ready availability of data for the first study (Demography) enabled the investigators to move quickly into the analysis phase of the project. However, the econometric challenges involved in estimating the impact of AIDS deaths on household expenditure in the two panels proved more challenging than anticipated by the investigators. Both omitted variable bias (unobserved heterogeneity) and simultaneity bias (reciprocal causation) turned out to be major issues related to the analysis of the data sets. In the end, the investigators were able to address these issues by adopting a ‘first difference instrumental variables approach’ developed in the literature. These challenges provided an additional research finding in the shape of a practical critique of the conventional econometric models used by previous researchers to estimate the household impacts of adult deaths (May 2012). Although the grant generated life history interview data, nothing was submitted to the UKDS archive.

The evidence drawn upon by the study provided a strong basis for both cross-sectional and longitudinal comparison, owing to the reputation and scale of the two panel surveys. Recent panels were compared earlier panels in order to assess, for example, progress in child nutrition (May & Timaeus 2014). Meanwhile comparisons across the panel provided a strong basis to assess the school performance of AIDS-affected orphans (Timaeus and Boler 2007) and the socio-economic impact of child support and disability grants (Eyal and Woolard 2010; Knight et al. 2013). However, while these studies provide strong assessments of the performance of particular groups and the impacts of particular interventions, they were restricted in their ability to identify the causal pathways. Only one of the published outputs made use of the life history interview data and was therefore able to draw upon participants’ own understandings of the impact of disability grants in order to make sense of the survey data (Knight et al. 2013). At the time of our analysis, the grant had produced five published journal articles: two in AIDS-specific journals (with 14 and 9 citations in
WoS, and 30 and 36 in Google Scholar respectively), and three in Development Southern Africa (no WoS citations, 5, 0 and 2 citations in Google Scholar). However, the paper specifically analysing adult mortality — one of the key questions posed by the study — remained unpublished.

The second study (Averting New Famine) generated a broad qualitative data set, comprising five main forms of data: observed behavior, reports of facts, perceived causal relationships, attitudes/values, and discourses. This data was recorded in the form of notes, transcripts and diagrams from nine participatory exercises and 47 semi-structured interviews with young people within the two field sites, and 95 stakeholder interviews with people from government and non-government agencies. Data analysis was an iterative process in which the investigators created matrices, charts and codes in order to build logical chains of evidence and identify differences between communities and categories of people. The two National Steering Groups each met three times, providing input on prevailing food security and livelihood situations, relevant policies and programmes, ethical questions and on the preliminary interpretations of the research findings. Interview and exercise transcripts were submitted to UKDS in the form of NVIVO bundles, although as yet there has been no reported use of this data by a third party.

The evidence generated by the study was narrower in scope but greater in depth than that analysed in the first grant. As such, it did not allow for large-scale statistical comparisons, however it enabled the generation of strong arguments about the livelihood impacts of AIDS grounded in the particular contexts of the two study sites. For example, in a publication in Progress in Development Studies, the research team is able to argue convincingly that the effects of AIDS on food security are not confined to the household level, but also include processes such as social relationships, relations of age and gender, colonial inheritance and contemporary national and international political economy (Ansell et al. 2009: WoS citations: 5, Google Scholar: 14). A further article was published in International Development Planning Review (no citations as yet), and five others in prominent Geographical Journals, including Transactions (WoS citations: 2, Google Scholar: 3) and Environment and Planning A (WoS citations: 9, Google Scholar: 8). Furthermore, the team published a series of accessible Briefing Notes on a variety of themes on an official project website.

Impact

The impact strategy of the Demography grant was focused on an end-of-project dissemination workshop in addition to the pre-existing networks and channels of the investigators, which included the Centre for Population Studies, the ID21 portal and the Office of the President in South Africa. Research findings were disseminated widely within the academic community, presented at the
International Population Conference in Morocco, the Brooks World Poverty Institute in the UK and the biennial South African AIDS conference. Although no specific policy impact is noted, the PI reported that the project findings contributed to the ‘mainstreaming of HIV and AIDS issues across government’ following a period of relative neglect during the Mbeki administration. Furthermore, by working across Demography and Economics, and overcoming a number of econometric challenges, the research team built significant capacity as a result of their involvement in the project.

The second grant integrated participation and dissemination activities within its research methodology. Participatory dissemination activities were undertaken with young people and their communities in the two case study villages to develop policy recommendations. Policy workshops were then held in both field localities, building on the outcomes of these activities. Three larger workshops were then held with representatives of government, NGOs and UN agencies to feedback the findings of the overall project. Since the completion of the project, the research team have been awarded a second DFID-ESRC grant looking at the relationships between social cash transfers, generational relations and youth poverty trajectories in the same field settings. Although awarded by the same body, the attainment of this funding is a strong indicator of confidence in the research findings (including the methodology through which they were generated), and their identification and exploration of new areas for academic enquiry.

Conclusion

Methodology cannot be meaningfully isolated from the variety of other factors that affect the translation of research design into outputs and impact. Furthermore, methodological choices are always dependent on the type of research question being asked. Nevertheless, there are two ways in which it is possible to assess the methodologies proposed by grant applicants, with academic and policy impact in mind.

Firstly, the above comparisons have shown that academic impact can be assisted by i) the early identification of specific literature(s) to be addressed by the research project and ii) the selection of a coherent methodology that has credibility within the selected literature/s. This is a particular challenge for mixed methods grants, which often end up writing to two separate literatures (and splitting publication accordingly).

Secondly, the presented studies have shown that policy impact can be assisted by i) the early identification of specific stakeholders for whom the research may be relevant, ii) the incorporation of these stakeholders in research planning, including the research methodology, and iii) the connecting of methods with dissemination exercises — for example through the holding of
participatory workshops. Nonetheless, certain methods and scales may simply be more appealing to national policy makers than others, and this needs to be taken into account in assessing non-academic impact.

6 CONCLUSIONS AND IMPLICATIONS

If we return to the quality indicators outlined in the sections 2 and 3, we see some very positive indications as to the quality of research funded by the scheme. For example, the three institutions most funded by the call — Oxford with seven grants, Manchester with four, and UEA with four — were also judged the top three within international development for research quality in REF 2008 and 2014. There was a large number of outputs of different sorts — a median of nine per project — and four of these were peer reviewed journal articles, which are considered by HEFCE and other funding bodies (e.g. the Norwegian Research Council) to be the most prestigious form of output. While not all articles and working papers were cited, those that were cited were on average cited four times in peer reviewed journals (Web of Science) and seven times in journals and grey literature combined (Google Scholar). The PIs of funded projects tended to be experienced researchers — 51% were Professors and 46% had previously received funding from DFID and 37% from ESRC (typically more than once).

Half the studies made use of relevant secondary data and this was true for qualitative studies as well as quantitative. While few studies had an overarching theoretical framework, a quarter of sampled outputs used theory to do what the REF 2014 panel for Anthropology and Development called ‘situat[ing] the analysis in a wider contextual frame’. Nonetheless, there were challenges Integrating concepts and methods across large-scale projects (see section 4.3.5.1), evidenced by the fact that more than one third of the multi-country studies treated the countries as single case studies.

The analytical techniques used by quantitative projects were sophisticated — mostly econometric or multivariate — although most mixed methods studies mainly used descriptive analysis. Concerns as to the rigor mixed methods analysis are relatively new within international development and this is an area where DFID/ESRC can play a leading role. 21% of studies archived some data, enabling a more comprehensive assessment of their contribution, and, in the case of the quantitative studies, the possibility of replicating their findings.

While, as described above, the ‘output oriented’ indicators of quality are strong, the ‘process’ indicators are less easy to interpret (see section 3 for an explanation of these terms), in part due to different understandings of the reporting requirements. For example, fewer than twenty percent of
sampled outputs and 11% of final reports contained a reflection on limitations and only 30% of outputs discussed the ethical implications of the research, with marked differences in reflection on this point between qualitative and quantitative papers. Finally, while there was evidence of collaboration with Southern partners in analysis as well as data generation, lead and co-authorship were less common on peer reviewed publications (for example, one study with 24 papers had the PI as lead author for every one).

Southern partners were, however, engaged in generating an impressive level of academic and non-academic impact, in specific fields and settings, as well as at the country and international levels. This was achieved through early and focused stakeholder engagement, recognising the different needs and interests of different groups of stakeholders and the opportunity to creatively tailor forms of communication to those interests (for example, feeding information into the storylines of television dramas or creating learning resources).

Based on this data, our conclusion is that the DFID/ESRC Joint Fund created a creative space for academics to pursue policy-relevant research agendas that have increased our understanding of the nature of poverty and poverty alleviation in developing countries. To increase the value of similar schemes, we would suggest the following:

- Greater attention to data archiving, including support for the process, given that only one out of five projects archived their datasets and some of the datasets were not comprehensive or accompanied by sufficient metadata, which would have made replication challenging.

- More support for projects engaging in mixed methods as we observed some weaknesses in this area, for example, lack of reporting on the sequencing of mixed methods, limited integration in publications or publications entirely focused on one type of data, methodologies that typically combined survey with interviews or focus groups and used less rigorous forms of analysis such as descriptive statistics, and the fact that only two mixed methods projects archived qualitative as well as quantitative data. While this problem reflects a broader problem in development studies as a whole (e.g. see Roelen and Camfield, 2015), we suggest that a focus on skills and integration of different data types could be included in guidance for reviewers and become an indicator for internal reporting. The ESRC's National Centre for Research Methods provides considerable guidance and training on this issue, however, we were not able to establish whether grant holders had taken advantage of this.
• Greater clarity on the analysis techniques used, especially for qualitative data, which sometimes made it hard to understand how findings were generated. This was a problem that affected other aspects of reporting, potentially reducing transparency. For example, we noted that despite the fact the final report explicitly requires reflection on ethics and limitations, there was a lack of explicit consideration of these in both reports and papers. Given the importance of ethics, it may be helpful to ask PIs to submit copies of documentation relating to their ethics application and a separate report of ethical challenges encountered and how these were dealt with, which could become one of the ESRC case Framework for Research Ethics case studies.

• In relation to division of labour within research teams, we noted that PIs tend to dominate as authors and particularly lead authors, which may reflect the dominance of Professors as PIs or the lack of a clear authorship protocol. We suggest that applicants should reflect in their proposal as to how space can be created for writing by more junior researchers and researchers in-country, who have many other demands on their time, and this should be a criterion in evaluating the success of the grant.

• While the involvement of so many academics at professorial level is a strength of the scheme, perhaps greater attention should paid to supporting early career applicants and those who have not yet held ESRC funding within mainstream funding calls. This might include support in finding local collaborators and guidance on the appropriate scale of the project, given a common tendency not to build in sufficient time for analysis and writing.

• Very few projects failed to produce any outputs, however, there was great variations in the number of outputs produced, which might be worth further analysis to identify underlying factors (e.g. experience of the PI, nature of the research design).

• In section 4.4 we highlighted some impressive examples of impact generation and our hope is that these impact ‘case studies’ and the methods used can be shared more widely. More experienced researchers might even be prepared to act as ‘Impact mentors’ in supporting PIs engaging with this requirement for the first time.
7 References


Shaffer, P., 2013. Q-Squared: Combining Qualitative and Quantitative Approaches in Poverty Analysis. Oxford University Press


8 APPENDICES

8.1 APPENDIX 1: ANNOTATED BIBLIOGRAPHY LISTING ALL REFERENCES

Rather than include all references, which would be over 650, or only those cited in the document, we have focused on those that our initial review identified as methodologically interesting and informative. The selection includes, but goes beyond the relatively small number of publications focused on methodology.


Gender stratification in education is declining in China, but some recent research suggests that girls’ schooling is still vulnerable in poor rural areas. This paper investigates girls’ educational vulnerability in Gansu, one of China’s poorest provinces. Specifically, it analyses the Gansu Survey of Children and Families, a multisite survey that interviewed 2,000 rural children, along with their families, teachers, principals, and community leaders — once in 2000 (when children were 9–12) and the second time in 2004 (when children were 13–16). The analysis includes education indicators, child aspirations, child and family background characteristics, family wealth, child age, child school performance, teacher characteristics, the teacher-child relationship, teacher expectations for the child, and the classroom environment.


Using matched student-teacher data, the paper investigate what kind of teacher attributes make a difference for student achievement in resource-constrained rural communities in northwest China. Results from a series of random-effects models controlling for student background and community economic and social resources identifies several teacher attributes that are associated with student mathematics achievement in the early years of schooling. Students who are taught by teachers who have official credentials, high levels of motivation to improve practice, commitment to the profession, and strong interpersonal skills have higher math achievement, on average. In addition, students who are taught by teachers with 3-5 years of teaching experience have the highest performance, on average, controlling for other student, family, and community characteristics. Importantly, the analyses indicate that teacher attributes are a distinct dimension of community inequality in rural Gansu, rather than an immediate link between community resources and student achievement. The findings provide a complex picture of the influence of a wide range of teacher characteristics on achievement, and carry important policy implications for teacher recruitment, retention, and professional development in rural disadvantaged communities in China and around the world.

For generations, cyclones and tidal surges have frequently devastated lives and property in coastal and island Bangladesh. Without in-depth understanding of the underlying vulnerabilities to natural hazards, the basis of local people’s perceptions and behaviour, and the goals that they set, disaster reduction strategies are considered unlikely to succeed. This study explores vulnerability to cyclone hazards using first-hand coping recollections from prior to, during and after these events. The field research compared a combination of participant observations and non-participant external interactions with coastal communities. During the April 1991 cyclone, Edris Alam (first author of this paper) was 15 years old and resided on Sandwip Island. Witnessing the catastrophic event from a distance of some five kilometres in the Bay of Bengal provided him an opportunity to observe island communities’ cyclone hazard response processes pre, during and post cyclone. This qualitative and personalised data reflection has significance in the sense that it is able to use the experiences of others in order to acquire social knowledge. Andrew Collins (the second author of this paper) has visited Bangladesh frequently since 1999 as well as other parts of the world following coastal disasters. Edris Alam’s observations and experiences of cyclone hazards have in this instance helped with analysing the opinions of Bangladesh coastal and island communities. Some of these were verified earlier through questionnaire surveys and focus group discussions (FGDs). In addition to participant observations and subsequent visits to the coastal areas, a combination of 120 semi-structured and open-ended questionnaires, and eight FGDs were conducted to collect data over a three month period. Before administering the questionnaire survey, a list of households from the selected study areas was prepared. The accounts helped to generate clear insights into the vulnerability context, hazard responses, and coping with cyclone disasters.


Over the past few decades, Zimbabwe, Namibia and South Africa have pursued redistributive land reform as a means to address rural poverty. The Livelihoods after Land Reform (LaLR) study, for which the fieldwork was carried out between 2007 and 2009, sought to understand the livelihood and poverty reduction outcomes of land reform in South Africa, Namibia and Zimbabwe. In that study, thirteen detailed case studies were prepared, involving up to six different fieldwork activities, namely: land-use mapping, household surveys, in-depth individual interviews, focus group discussions, enterprise profiling and key informant interviews (including, where possible, with the former owners of the land). A specific aim was to identify how the livelihood outcomes of land reform are conditioned by policy-makers’ and ‘implementers’ conceptions of ‘viability’. This paper summarizes some of the main findings from the South African component of the LaLR. A secondary purpose is to compare these with the findings for the other two countries in the study. Both commonalities and differences are identified and briefly discussed.


This paper provides a summary of the experiences of the Kenyan team in initiating the Nutritional Improvement for children in urban Chile and Kenya (NICK) project in Mombasa. NICK uses
participatory action research to broaden stakeholder participation at municipal level to change the social determinants of child obesity. The author reflects that establishing an Urban Nutrition Working Group (UNWG) in Mombasa was a critical entry point that helped to make NICK activities an integral and sustainable part of local initiatives. As part of community service, the UNWG members weighed and measured over 900 children in Chaani (intervention site) and Kongowea (control site). A household baseline survey was conducted (between June and July 2011) during which 800 households were interviewed. The main issues addressed were child nutrition, health seeking behaviour and coping mechanisms. NICK introduces a mechanism of working in partnership at the community level.


Obtaining a diagnosis of tuberculosis (TB) is a prerequisite for accessing specific treatment, yet one third of estimated new cases are missed worldwide by National Programmes. This study investigated economic, geographical, socio-cultural and health system factors hindering adults’ attendance and completion of the TB diagnostic process in Yemen, to inform interventions designed to improve patient access to services. The study employed a mixed methods design comprising of a cross-sectional survey and In-Depth-Interviews (IDIs) and Focus Group Discussions (FGDs) among patients registering for treatment as well as those who had dropped out of the process. Adults with cough of two or more weeks, attending a large governmental referral centre in Sana’a between 2009 and 2010, were eligible to participate. Nearly 1000 participants were surveyed during two days of attending the services and 48 IDIs and 12 FGDs were also conducted. The majority of patients were disadvantaged and had poor literacy, had travelled from rural areas and attended with companions. All participants were asked to provide informed consent to participate. For illiterate participants, the purpose of the study was explained, the information sheet read out and oral consent requested in the presence of a witness, who was asked to sign the informed consent form.


Economists usually focus on the nuclear family as the unit of analysis from which to study household behaviour. In this article, the authors present evidence on whether and how a household’s behaviour is influenced by the presence and characteristics of its extended family. Using data from the PROGRESA program in Mexico, the authors exploit information on the paternal and maternal surnames of heads and spouses in conjunction with the Spanish naming convention to identify the inter and intragenerational family links of each household to others in the same village. Combined with information from household rosters that identify extended family members that co-reside in the household, this provides an almost complete mapping of extended family structures in the villages under research. They then exploit the randomized research design of the PROGRESA evaluation data to identify whether the treatment effects of PROGRESA transfers on secondary school enrolment vary according to the characteristics of the extended family. They find PROGRESA only raises secondary enrolment among households that are embedded in a family network. Eligible but isolated households do not respond. The mechanism through which the extended family influences
household schooling choices is the redistribution of resources within the family network from eligible households who receive de facto unconditional cash transfers from PROGRESA, towards eligible households on the margin of enrolling children into secondary school.


In this article, the authors reflect on their experience of using participatory methods to explore the sensitive topic of (indirect) impacts of AIDS on young people’s livelihoods in Malawi and Lesotho. They examine how different methodological approaches (e.g. community profiling workshops; household profiling; drawing mental maps; daily and weekly activity charts and seasonal calendars; photography; guided transect walks; life maps; socio-spatial network and knowledge transfer diagrams; asset matrices and problem trees; emotional storyboards; and videoed drama performances) generate varying knowledges of children's lived realities (i.e personal individual vs. collective general accounts). They also looked at challenges of using ‘insider’ and ‘outsider’ research assistants; the place of group-based approaches in participatory research; and ethical issues. The conceptual contribution to the methodology of participatory research with children lies in the recognition that researchers should take full account of the relationship between epistemology and methodology in selecting and employing methods appropriate to particular research questions.


In this paper, the authors examine how time–spaces of AIDS-related sickness and death intersect with the time–spaces of young people and, importantly, those of their relations with others to produce differentiated outcomes for young people. Time-space is understood as heterogeneous and relational, kaiological (or experiential, as distinguished from chronological ‘clock time’) and topological, rather than Cartesian or linear. Drawing on interviews and lifemaps produced by young people from Malawi and Lesotho, the authors explore how time-spaces of AIDS-related sickness and death (the timing, duration, sequencing, location, associated mobilities) intersect with the time-spaces of young people’s lives (age, stage of schooling, marital status, location, mobilities) and of their relations with others to produce differentiated outcomes for young people. Using one young man’s life as a case study, the authors further examine how those outcomes, and young people’s responses to them, in turn produce new time-spaces. A relational time-space analysis of the impacts of AIDS on young people helps explain the diversity of those young people’s experiences and allows AIDS to be contextualised more adequately in relation to everyday life and young people’s wider lifecourses and their relationships with others. Moreover, the research points to the significance of the time–space structuring of society in shaping the outcomes of familial sickness and death for young people.

This paper examines the effect of conflict on agricultural production of small-farmers. First, the authors develop an intertemporal model of agricultural production in which the impact of conflict is transmitted through two channels: violent shocks and uncertainty brought by conflict. The model shows how conflict induces sub-optimal agricultural decisions in terms of land use and investment. The authors test the model using a unique household survey applied to 4.800 households in four micro-regions of Colombia. The survey collects detailed information on households’ economic conditions, incidence of violent shocks, and presence of non-state armed actors. The results show conflict affects agricultural production through different channels.


All rulers awaken opposition and rebel rulers are no exception: civilians disagree with, disobey, and even openly confront armed combatants who rule their communities. Yet, academic research has largely ignored different forms of civilian resistance against armed groups, blinding our understanding of civilian agency, rebel behavior, and civilian-combatant relations. In an effort to contribute to filling this gap, this paper investigates when, and why, different forms of resistance to rebel rule are more likely to emerge. The author relies on quantitative and qualitative evidence gathered in two samples of local communities. The first is a random sample of municipalities throughout Colombia, which includes 38 communities and 106 community-armed group dyads. The second sample includes 15 communities that were chosen following more complex criteria, and are not necessarily representative of all Colombian municipalities. Together, these samples include cases in 17 of the 33 departments of the country. All quotes and descriptions of civilian-combatant relations come from interviews conducted in both samples; all quantitative data comes only from the random sample. The unit of analysis is the community-year.


The grouping of men and women together (‘assorting on gender’) is often observed in developing countries and is now systematically built into many group-oriented development interventions. In this paper, the authors explore the mechanisms underlying the emergent gender assorting, using an experiment in which African villagers could form groups to share risk. The experiment involves a simple gamble choice game. The authors varied the extent to which grouping arrangements were enforced and, hence, the importance of trust and social enforcement as supports for group formation. Gender assorting was significant and considerable whether grouping was perfectly enforced or depended on social enforcement. There was significantly less gender assorting when grouping depended on trust. Exploratory analysis suggests that this reduction in gender assorting may be owing to family ties and shared religious identities.


This paper explores two hypotheses concerning the role of status in relationships between rich and
poor in traditional communities by analysing who goes to whose funerals in six Zimbabwean villages. Funeral attendance is relational in the sense that one household hosts a funeral and the members of other households decide whether to attend. For this reason, the authors derive their hypothesis testing strategy from the literature on dyadic regression analysis. Dyadic regression analysis was developed to investigate risk-sharing networks, i.e., who gives or receives assistance from whom, and has more recently been used to study group formation. However, it has not until now been applied to the study of funeral attendance. The empirical model of funeral attendance is estimated using data on funeral attendance in six Zimbabwean villages that was collected specifically for this purpose.


This paper evaluates the impact of Paying for performance (P4P) on the use and quality of prenatal, institutional delivery, and child preventive care using data produced from a prospective quasi-experimental evaluation nested into the national rollout of P4P in Rwanda. Treatment facilities were enrolled in the P4P scheme in 2006 and comparison facilities were enrolled two years later. The incentive effect was isolated from the resource effect by increasing comparison facilities' input-based budgets by the average P4P payments to the treatment facilities. The data were collected from 166 facilities and a random sample of 2158 households.


The primary purpose of this paper is to determine the relative welfare position of different ethnic groupings in Vietnam using data spanning a twelve-year period corresponding to radical economic transformation in Vietnam. Previous studies for Vietnam, using a per capita household expenditure measure, have investigated the gap in living standards between majority and broadly defined minority groups at specific points in time using mean regression analysis in conjunction with standard Oaxaca (1973) decompositions. Although the aggregation of distinct groups is necessary and inevitable in such an exercise, the simple majority-minority dichotomy used in these studies may distort important differences that may exist between individual ethnic groups. Therefore, this paper exploits a different empirical approach to the analysis of inter-ethnic differences in living standards and uses information on seven different ethnic groupings, six of which could be interpreted as relatively homogenous in composition. The authors refine the mean-based deviation approach popularized by Krueger and Summers (1988) and Haisken-De New and Schmidt (1997), and estimate a set of conditional quantile functions that allows for a more detailed portrait of the relationship between the welfare measure and selected covariates (including the ethnic controls) than that provided by the mean regression function. According to the authors, the methodology has not been applied before, to interrogate the magnitude or persistence of ethnic differentials in living standards.

With the use of data from the Tajikistan 2007 Living Standards Survey (a nationally representative cross-sectional survey of 4860 households across 270 clusters), logistic regression modelling is applied to examine the impact of fathers', mothers', siblings', and other household members' migration on the school enrolment of secondary school-aged children. Fieldwork took place between September and October 2007. The paper focuses on children of secondary school age — 12–18 years at the time of survey, hence 11–17 years at the start of the 2006–2007 school year. Migration information on current household members was recorded in the household roster.


The theoretical case for universal pre-primary education is strong. However, the empirical foundation is less so as little is known about the benefits of standard preschool programs. In this paper, the authors contribute to the empirical case by investigating the effect of a large expansion of universal pre-primary education on subsequent primary school performance in Argentina. Using an identification strategy similar to Rozensweig and Wolpin (1988), Card and Krueger (1992), and Duflo (2001), among others, they exploit the variation in treatment intensity across regions and cohorts to estimate the effect of expanding pre-primary school facilities on subsequent achievement in primary school. They estimate that one year of pre-primary school increases average third grade test scores by 8% of a mean or by 23% of the standard deviation of the distribution of test scores. They also find that pre-primary school attendance positively affects student's self-control in the third grade as measured by behaviors such as attention, effort, class participation, and discipline.


This paper investigates whether the religious identity of state legislators in India influences development outcomes, both for citizens of their religious group and for the population as a whole. The authors employ an instrumental variables approach derived from a regression discontinuity. They construct a unique data base on the religious identity of candidates for state legislators. They obtained data on state legislative elections from the databases of the Election Commission of India that contain information on the name, party affiliation and votes obtained by every candidate in every state election held in India since Independence. Religious identity is inferred from candidate names. The political data are available at the candidate and constituency level, and then aggregated to the district level. Health indicators at the mother and child level are drawn from the National Family Health Survey of India (NFHS), and education Indicators from the 55th round of the nationally representative National Sample Survey (NSS).


Despite a long-standing interest of economists and demographers in the relation between childhood mortality and reproductive behaviour, there are few complete microdata analyses of all inter-
relations of these variables. The main contribution of this paper is to use micro panel data on 30,000 childbirths in India and dynamic panel data models, to analyse causal effects of birth-spacing on subsequent neonatal mortality and of mortality on subsequent birth intervals, controlling for unobserved heterogeneity. Right censoring (when a subject leaves the study before an event occurs) is accounted for by jointly estimating a fertility equation, identified by using data on sterilization. The authors find evidence of frailty, fecundity, and causal effects in both directions. Birth intervals explain only a limited share of the correlation between neonatal mortality of successive children in a family. They predict that for every neonatal death, 0.37 additional children are born, of whom 0.30 survive.


Building appropriate levels of trust in pharmaceuticals is a painstaking and challenging task, involving participants from different spheres of life, including producers, distributors, retailers, prescribers, patients and the mass media. Increasingly, however, trust is not just a national matter, but involves cross-border flows of knowledge, threats and promises. Data for this paper comes from the project ‘Tracing Pharmaceuticals in South Asia’. The project was designed to integrate the insights of discussions in anthropology of global assemblages and in political economy of global commodity chains; and by integrating ‘bottom-up’ and ‘top-down’ approaches to the local and global contexts through specific case-studies. The authors selected three key generic drugs (Oxytocin, Rifampicin and Fluoxetine) on the basis of their prior knowledge of patterns of use in three regions of South Asia (Nepal, West Bengal and Uttar Pradesh). The selected drugs provided contrasting patterns of production, distribution, marketing and retail sales. Existing knowledge suggested 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. While the three drugs provided contrasting insights into many aspects of supply chains, they provided similar information on the role played by trust and mistrust in the overall pharmaceuticals context. Through semi-structured interviews with people throughout the production chain, with representatives of donor agencies, government personnel and some observation of particular settings (such as TB clinics and maternity wards) the authors established a clear picture of these pharmaceuticals in use. Three case studies demonstrate how issues of trust intervene within relationships in the medicine supply chains in India and Nepal. These case studies were selected to illustrate processes at different points in the supply chain, and are examples where the authors were able to draw upon evidence from a variety of viewpoints to contextualise and triangulate the argument. Whereas in some areas — such as prescribers’ trust in particular pharmaceuticals companies and their products — trust relationships are strong and regularly reinforced through gift-giving, social events, and medical representatives’ activities, in these cases (and others) trust is threatened, undermined or regularly needs to be renegotiated and re-established.


In this paper the authors share insights from four participatory video (PV) workshops held in Cambodia as part of a three-year project on domestic violence and legal reform. The PV workshops
formed a key part of the larger mixed-method study. PV was chosen as a means to understand men and women’s collective perspectives on what is normatively considered a private family matter in Cambodia. In respect to the overall research design, and the place of PV within it, the first phase of the project in spring 2012 comprised a household survey of 1,177 villagers organized by the project’s quantitative expert and his university students across 4 rural and 4 urban communes in two case study provinces – Siem Reap and Pursat. Author 2, the qualitative lead, together with Author 1 and NGO project coordinator, followed this research with the PV workshops across a period of six weeks in summer 2012. The participatory video workshops included a standard programme of PV activities over three days, where participants were invited to participate in return for a day rate. Highlighting discrepancies between ‘gold standard’ participatory ideals and practice, the authors argue through three vignettes that greater acknowledgement is needed of intermediaries whose statuses and behaviours, like those of researchers, heavily mediate community engagement in participatory action research.


‘Plates in a basket will rattle’ is a Cambodian proverb which infers that for those who live in the same household, collisions and conflicts between one another are to be expected. Focusing on marital dissolution as one consequence of such discordance, this paper draws on in-depth qualitative research conducted in 2004–2005 and 2011 with ever-married women who have experienced abandonment, separation or divorce in Siem Reap Province. Research conducted between 2004 and 2005 was based, in part, on 100 oral history interviews conducted on the broad theme of changing household gender relations in the post-conflict period. Oral histories were chosen for their emphasis on free-ranging, open-ended interviews around a series of issues, drawing chronologically on direct personal memory of the past and experience of the present as well as their capability and effectiveness in researching sensitive issues surrounding conflict and interpersonal violence. This formative research provided the basis for a later project focusing on marital dissolution. Returning to Krobei Riel in January–February 2011, the author carried out (with the aid of a female translator) a total of 22 in-depth interviews with ever-abandoned, separated or divorced women (each woman received $US2 for her time). The paper contends that the paucity of scholarly and policy understanding surrounding marital dissolution in Cambodia can also be witnessed in Geography as a disciplinary neglect of theories and empirical instances of domestic rupture. The paper contributes to rectifying this lacuna by reading experiences of marital dissolution through material and symbolic dimensions of domestic space and by opening up discussion on the politics and practices of home ‘unmaking’.


Normative approaches to urban governance and planning and idealised visions of city space too often result in relocation or forced eviction of street traders and other informal economy workers from public spaces. Often a response to a short-term political imperative, clearances take place with little understanding of the interconnected nature of the urban informal economy or widespread poverty impacts that result. As a result, street traders feel ostracised and often describe themselves as refugees. Drawing on a property rights perspective, and the ‘legal empowerment’ paradigm, this
paper compares the major clearances of street traders that took place in Dar es Salaam in 2006–2007 and Dakar in 2007. The research is based on fieldwork in Senegal and Tanzania, undertaken in 2010–2012 as part of comparative studies on law, rights and regulation and street trade. The comparison is useful because, despite many contextual similarities in the two countries – stable political systems, an emphasis on private-sector-led growth, and land legislation that upholds customary land rights – the outcomes of clearances for street vendors were very different. Finally it argues that the conceptualisation of public space as a hybrid ‘public good’ would allow for a more appropriate property rights regime for the urban informal economy.


Tanzania, along with several other African countries, is experiencing a national mining boom, which has prompted hundreds of thousands of men and women to migrate to mineral-rich locations. At these sites, relationships between the sexes defy the sexual norms of the surrounding countryside to embrace new relational amalgams of polygamy, monogamy and promiscuity. This article challenges the assumption that female prostitution is widespread. Employing qualitative interviews in 2009 with women living in artisanal gold-mining settlements in southern Tanzania, the authors delineate six ‘wifestyles’, namely sexual-cum-conjugal relationships between men and women that vary in their degree of sexual and material commitment. In contrast to bridewealth payments, which involved elders formalising marriages through negotiations over reproductive access to women, sexual negotiations and relations in mining settlements involve men and women making liaisons and co-habitation arrangements directly between each other without third-party intervention. Economic interdependence may evolve thereafter with the possibility of women, as well as men, offering material support to their sex partners.


There has been intense debate over what role openness to trade in food might play in mitigating or exacerbating the mortality impacts of weather shocks. Results from the theoretical and empirical international trade and famine literatures are both ambiguous and inconclusive as regards this issue. In this paper the authors employ a colonial era Indian district level database for the period 1875 to 1919 to provide some preliminary insights into how trade changes the weather-to-death relationship.


With reductions in development funding, public sector budgetary constraints, and a growing emphasis on the importance of indigenous resources in the HIV response, international policy allocates schools a key role in ‘substituting for families’ (Ansell, 2008) in supporting child health and well-being. The authors explore children’s own accounts of the challenges facing their HIV-affected
peers and the role of schools in providing such support. Contextualised within a multi-method study of school support for HIV-affected children in rural Zimbabwe and regarding children’s views as a key resource for child-relevant intervention and policy, 128 school children (10–14) wrote a story about an HIV-affected peer and how school assisted them in tackling their problems. Draw-and-write exercises were carried out in July 2012 with 128 primary school children (58 boys and 70 girls) aged 10–14 in rural Zimbabwe. The draw-and-write approach aims to enable children to articulate their experiences, understandings and feelings through a range of media. These were analysed using thematic content analysis. The findings challenge glib assumptions that schools can serve as a significant ‘indigenous’ supports of the health and well-being of HIV-affected children in the absence of a very significant increase in outside training, support and additional resources.


Social movements offer an alternative vision of the struggle for development and poverty reduction compared to mainstream NGOs, one that is politicised, emerging from those who are marginalised, and enables poor people to engage in efforts to turn this vision into action. Neither the social psychology of collective action nor community psychology have given much attention to the processes through which social movements have an impact in society, or how social movements create an environment in which the demands of marginalised people are heard and acted upon. The authors discuss three successful pro-poor social movements: the Brazilian Landless Workers’ Movement, the Indian wing of the People’s Health Movement and the South African Treatment Action Campaign. They discuss the three case studies in the light of the review of the published academic literature on each one and some personal experience (one co-author has participated in an internship with one of JSA’s leading constituent NGOs and another has worked as a volunteer for the TAC in South Africa). The authors present their discussion of each case study around four themes in turn: the aims and achievements of the group, strategies for building the voice of its members, strategies for building receptive social environments, and key challenges faced by the movement. [No further methodology provided.]


Despite conditional cash transfer programs being widely implemented in developing countries, little is known about the effects of the single components, the cash subsidy and the conditionality requirement. The authors study a cash transfer program implemented by the Colombian government since 2002, Familias en Acción (FeA). In this program, cash transfers are conditional to a certain schedule of preventive health care visits to those children who were born before the mother registered to the program. Children born after the registration to the program are not subject to this conditionality. The study seeks to understand whether the conditionality of the cash transfer affects the behaviour of mothers; whether they bring their children to more regular health care visits. The study analyses the FeA survey data collected for program evaluation in 2003, 2005, and 2006. Exploiting exogeneity in eligibility rules, the authors focus on the effects that excluding a child from the conditionality requirement would have on the child’s preventive care and health status.

Against a backdrop of development policy, this is the first report of a systematic study of multi-country remunerative differences, and their management, in poverty reduction work. Project ADDUP (Are Development Discrepancies Undermining Performance?) surveyed 1290 expatriate and local professionals (response rate 1/447%) from aid, education, government, and business sectors in (1) Island Nations (Papua New Guinea, Solomon Islands), (2) landlocked economies (Malawi, Uganda), and (3) emerging economies (India, China). Difference in pay was estimated using purchasing power parity from the World Bank’s World Development Indicators 2007. Psychological measures included self-reported pay and benefits (remuneration), self-attributed ability, remuneration comparison, sense of justice in remuneration, remuneration-related motivation, thoughts of turnover and thoughts about international mobility. The authors included control measures of candour, culture shock, cultural values (horizontal/vertical, individualism/collectivism), personality (from the “big five”), job satisfaction and work engagement. Controlling for these and country and organization effects, which were respectively small and medium in size, (a) pay ratios between international and local workers exceeded what were perceived to be acceptable pay thresholds among respondents remunerated locally; who also reported a combination of a sense of relative (b) injustice and demotivation; which (c) together with job satisfaction/work engagement predicted turnover and international mobility. These findings question the wisdom of dual salary systems in general, expose and challenge a major contradiction between contemporary development policy and practice, and have a range of practical, organizational, and theoretical implications for poverty reduction work.


This paper reflects on what is meant by an impact evaluation for the Nutritional Improvement for children in urban Chile and Kenya (NICK) projects, and emphasises the need for clearly defined measures of outcome and precise protocols for measurement. The paper also considers some options for routine monitoring. The central question guiding this study is ‘Can child malnutrition amongst families living in poverty in informal settlements and slums in Mombasa and Valparaíso be reduced through broadening community and stakeholder participation to change the social determinants of nutritional status?’ Each of the intervention and control groups included 400 participants. A major problem that the author considers for impact analysis is that the time period for the intervention might be insufficient to observe any substantial changes in the levels of malnutrition. Instead, the project will consider difference-in-difference analysis for a range of intermediate outcomes for children (assessments of energy levels among children), process measures involving families and households (behaviour change of families in cooking and eating patterns; attitude changes of parents towards consumption), and process measures involving communities (communal gardens; increased collaboration between parents).


This paper focuses on the challenges that have emerged in relation to the development of the urban
nutrition working group — established by the in-country researchers on the Nutritional Improvement for children in urban Chile and Kenya NICK Project. In Chile this working group is known as the Participatory Action Reflection Learning Group (PARL). The PARL was established to support changing the social determinants of child obesity in a low-income neighbourhood in Valparaiso. Local municipal policies do not encourage or provide access to healthy eating opportunities and adequate physical activity. The aim was to join different groups and sectors to enable the necessary mind shifts for cross-sectoral dialogue and in order to overcome the ‘siro mentality’ (for example, the tendency of health professionals to only think in terms of their own sectors). Through dialogues and discussions the groups began to recognize their own mental models as well as the feelings and perceptions of the others. The authors state that a profound mind shift involves re-examining individual and collective beliefs and conceptions and thinking beyond the definition of the problem, strategy and desired results. It aims at thinking differently — as opposed to simply doing differently — and thus to providing long-term results.


Wellings et al. (2006) call for detailed case studies of sexual health interventions in context, based on their findings that the social context powerfully shapes sexual health interventions, and that there is limited academic literature on this relationship. Case studies of participatory HIV prevention provide individually rich illustrations of how complex social relations have shaped the implementation and degree of success of particular interventions. However, it is not always easy to extract general concepts or generalizable lessons from individual in-depth studies. As Yin (2003) suggests, comparative case studies can increase the validity and generalizability of interpretations, if those interpretations make sense of very different situations. This paper looks at two case studies using multiple qualitative methods to build up a multi-faceted ethnographic understanding of the processes through which successes or failures were produced. The research in Summertown took place between 1995 and 2000. The core data were provided by annual interviews over a four-year period (1997-2000) with approximately 20 sex workers each time. Interviews with mine workers, local residents, and a broad constituency of stakeholders helped to elucidate the context of the sex workers’ lives. In addition, project documentation was collected and analysed, including Project policy documents, minutes of monthly stakeholder meetings, consultancy reports commissioned by the Project’s funding agencies, and fieldwork diaries. The research in Sonagachi took place over 10 months between 2000 and 2005, the majority of interviews being carried out in 2001. Ten group discussions and 11 interviews were carried out with sex workers who had little involvement in the project. These were complemented by 19 interviews with sex workers employed as peer educators or otherwise involved in the project, and 20 interviews with other local stakeholders, including professional project staff, clients, boyfriends, and brothel managers. Observation of project activities took place throughout the fieldwork period and was recorded in fieldwork diaries. The authors’ comparative study adds to previously published work on the Summertown and Sonagachi projects in two ways. Firstly, the juxtaposition of the two cases flags up factors in their success or failure that had not previously been highlighted. Secondly, when the themes that the authors identify can make sense both of failures and of successes, this adds weight to their importance and validity.

In this paper, the authors examine the psychology of poverty and low aspirations. This paper contributes to the emerging literature on behavioural aspects of poverty. Closely related papers on aspirations include Bogliacino and Ortoleva (2011), Genicot and Ray (2011) and Stark (2006), all of which have a more macro focus than this paper. These authors use an econometric methodology to study the effect of aspirations on income distribution and growth. Moreover, aspirations and cognitive windows in these models are assumed to be exogenous to the individual. Banerjee and Mullainathan (2010) provide a model to understand how poverty may persist due to different behavioural constraints, such as a lack of self-control in the consumption of certain goods. However, unlike the framework in the paper, these authors explicitly assume that the poor are more susceptible to this weakness than the rich, which allows the authors to explain some seemingly irrational actions of the poor.


The paper provides an analysis of the nature and formation of citizenship in marginal areas. Based on interviews and a survey of 1200 households in four localities the authors investigated how different institutions create a range of possibilities as well as obstacles to the securing of everyday life. They also explore the practical implications to the life of the neighbourhood of forms of regulation, patronage, and resources for the poor. The paper focuses on the question of housing by comparing two different low-income settlements.


This article presents evidence on what garment workers make of the work regimes and ethical codes of labour practices under neoliberal governance, drawing on ethnographic material gathered during a year of fieldwork conducted in 2008–2009 in the garment manufacturing and export cluster of Tiruppur, located in the western part of Tamil Nadu, South India. Field research included a workers’ survey, a firms’ survey, and interviews with workers, labour contractors and company management as well as with wider stakeholders such as trade unions and industrial organizations. The material presented in the paper draws primarily on interviews and participant observation carried out among workers and labour contractors in the factories and residential areas of Tiruppur.


The purpose of this paper is to evaluate the impact of Rwanda’s national Pay-for-performance (P4P) scheme on individual and couple HIV testing and counselling (HTC). The authors use data from a prospective impact evaluation they nested into the national scale-up of P4P in Rwanda, producing evidence from an impact evaluation at scale with more external validity than closely monitored pilot experiments. The authors conducted a baseline survey of the facilities from August until November
2006 and a follow-up survey from April until July 2008. They also designed a household level survey that was administered to a sample of 1,000 households with an HIV+ positive member, and 600 randomly sampled neighbour households in the catchment area of the facility. The findings contribute to the limited but growing evidence base that paying health facilities for performance is a feasible and effective method for improving health system performance in low- and middle-income countries.


The paper discusses the implementation and challenges of the first year of the Nutritional Improvement for children in urban Chile and Kenya (NICK) project in Chile. The change of government in 2010 resulted in strikes and demonstrations, which hindered the implementation of the project. The author also describes financial difficulties and delays due to coordination problems. NICK uses participatory action research to broaden stakeholder participation at municipal level to change the social determinants of child obesity. To find out the social the social determinants for malnutrition, the study used interviews, focus group discussions, anthropometric measurements, and household surveys. A Participatory Action Research Group (PAR) was established to reflect on broadening community and stakeholder participation.


This paper explores long-term effects of microfinance, educational transfers and agricultural interventions within life-trajectories in rural Bangladesh. The study analyses 293 life-history interviews and focus group discussions in 16 villages. This approach helps to uncover particular circumstances in which observed causal regularities are likely to recur by clarifying mechanisms linking one phenomenon (for example, low income) to another (for example, ill health). By understanding mechanisms, the authors aim to uncover instances in which a causal relationship suggested by a correlation is reversed – poor health may cause low income due to physical weakness, inability to retain a job, or increased time spent on healthcare impeding income earning. The authors comment that because the interpretation of causality in life-trajectories is a complex task, this approach risks leaving small impacts of interventions in the distant past undetected because opinions on the particular interventions were not specifically prompted.


This study analyses the socioeconomic factors influencing the adoption of self-care and the role that varied asset availability plays in relation to households choosing, or being forced to implement, a coping strategy. Qualitative methods were used to collect data from three villages in Nilphamari District, North West Bangladesh, in 2004. Villages were selected on the basis of similarities in household numbers, socioeconomic status and distance to health care facilities in the local town. Each village is situated within 10km of the town with relatively good road links to it. A general
household socioeconomic condition and health-seeking behaviour questionnaire was administered to 208 respondents (93 males and 115 females). Through this quantitative process the authors succeeded to obtain information about asset availability for households affected by diarrhoeal disease. A specific range of households were then contacted from the findings generated by the questionnaire to conduct further qualitative analysis. These included participants who had adopted self-care strategies and those who had opted to access an external health facility to treat severe diarrhoea. Twenty individuals were approached to participate in semi-structured interviews and illness narratives respectively, with further information generated from additional participants in 10 focus group discussions. These methods were designed to elicit information on the range of influences, trade-offs and social structures and relations that were involved in participants’ health choices and experiences in response to diarrhoeal disease. They also included a more detailed exploration of each capital asset in determining health response behaviour to diarrhoeal disease. The findings produced a detailed picture of asset availability and its influence on household use of self-care treatment practices.


The article describes a group interview with two boys and two girls around video clips of teaching and learning in schools in Zanzibar in Africa. The study provides evidence that pupils in Zanzibar face significant difficulties with English language which contributes to their difficulties with subject knowledge of chemistry as well. However when the pupils are immersed in interesting and motivating contexts with links and referents to local culture and schooling, they are willing to and are able to contribute to discussion. Such discussions in this study illustrate how sophisticated pupils’ understanding of chemistry and pedagogy can be along with the exposure of some misconceptions about some key chemical ideas. The main aim of using video clips (demonstrated on a laptop) was to create a motivating context for pupils by viewing video clips of familiar school environments. The video acts as a deflecting point where pupils do not consider the probing questions as being targeted to them personally. When the same pupils were previously interviewed individually they had barely contributed to the conversation; they felt shy about their English and gave the impression that they did not understand the questions. The format of the video viewing and probing around video clips acted as a way to distance the focus on the pupils themselves.


The authors use multi-dimensional data from Ghana and Tanzania to find out reasons for large differentials in earnings in urban African labour markets. The study uses a three year panel survey across Ghana and Tanzania to find common patterns for both countries assuming that movement between occupations is exogenous (externally driven). The survey is novel in collecting income data on the self-employed in the urban informal sector. The data is intended to be comparable to wage data for urban employees. In both Ghana and Tanzania, the self-employed outnumber wage employees by at least 2-to-1 in the urban labour force. Understanding what determines earnings in this sector and how workers move between sectors is thus central to any understanding of labour markets and income distribution in these countries.
In this book chapter, the authors summarize the results of a programme of research undertaken concerning domains of inner wellbeing (i.e., individuals’ feelings and thoughts about what they can do and be) as experienced by individuals in villages in Zambia and India. Based on both existing models and the results of qualitative research conducted by White in Zambia in 2009, a prototypical 50-item survey of inner wellbeing measuring individual differences along seven interrelated domains was developed. The authors gradually changed their conceptualization and measurement of the domains of inner wellbeing across time in both nations. The results indicate that inner wellbeing is best regarded as a multidimensional construct with seven intercorrelated domains (i.e., economic confidence, agency/participation, social connections, close relationships, physical/mental health, competence/self-worth, and values/meaning). The authors reflect on the challenge of immersing themselves sufficiently within the social contexts of villages in Zambia and India to emerge with culturally embedded constructs of the domains of inner wellbeing.

The authors analyse the discourses and narratives which surrounded a Chevron operated gas field in Sylhet during its first years of operation, from 2008-2011. Whilst the project’s main objective was to understand the impact of the new gas field on social networks and transnational relationships in the surrounding villages, much of the authors’ work focussed upon the corporate social responsibilities programme funded by Chevron. The research involved fieldwork in two villages which focussed on household livelihoods and coping mechanisms and was carried out by Fatema Bashir and Masud Rana. Unless otherwise specified, the interviews referred to in this paper were carried out in Bibiyana by the research team in 2008-09. Interviews with leaders in Britain and Bangladesh and with transnational communities in the U.K. were carried out by Zahir Ahmed and Katy Gardner; and interviews with Chevron officials carried out by Katy Gardner. Longitudinal perspectives were drawn from Gardner’s long-term research in one of the villages adjacent to the gas field (Gardner 1995, 2012). The authors concluded that representations of the gas field and the presence of Chevron in the area were sharply polarised between those who argued that the corporation were a benign presence who would bring a particular kind of development to the villages, and those who contested their presence.

Rice feeds more people than any other crop, but each kilogram of rice is responsible for substantially more greenhouse gas (GHG) emissions than other key staple foods. The System of Rice Intensification (SRI) has recently received considerable attention for its ability to increase yields while using less water. Yet so far there has been little research into the GHG emissions associated with SRI production systems, and how they compare to those from conventional flooded-rice production techniques. This research modelled GHG emissions from SRI and conventional/intensive or ‘control’
rice production techniques from a case study site in Andhra Pradesh, India. Life Cycle Assessment (LCA) was used to determine the GHG emissions based on the standards and criteria of ISO 14040, PAS 2050, and the ILCD handbook (European Commission 2010; ISO 2006; BSI 2011). A mixture of primary and secondary data was involved to construct the quantified analysis. Primary data on farmers' practises and results were collected in the second half of 2012 for the crops of the preceding agricultural year (2011-2012). Data were collected using recall methods via an extensive (31-page) survey of selected farm households. These data were collected as part of a wider project, looking at how social, economic and environmental criteria all interact within the rice production and supply chain. Secondary data included inventory data from a range of sources. Twenty 'SRI' farms were sampled along with 10 control farms in the area. While this sample size is not large, due to the logistical limitations associated with the extensive data collection required for the wider project, the results passed a number of statistical tests and are unlikely to be due to chance. The control farms were ones using standard, intensive, flooded paddy production and ‘Green Revolution’ production methods. Individual farms for both control and SRI surveys were chosen using a semi-random snowballing technique, the semi-random aspect including selection of farms aimed to ensure that the distribution of farms sizes was representative of that in the area as reported in the Agricultural Census.


Appropriate facility-based care at birth is a key determinant of safe motherhood but geographical access remains poor in many high burden regions (regions with the highest numbers of maternal and newborn mortality). Despite its importance, geographical access is rarely audited systematically, preventing integration in national-level maternal health system assessment and planning. In this study, the authors develop a uniquely detailed set of spatially-linked data and a calibrated geospatial model to undertake a national-scale audit of geographical access to maternity care at birth in Ghana, a high-burden country typical of many in sub-Saharan Africa. The authors assembled detailed spatial data on the population, health facilities, and landscape features influencing journeys. These were used in a geospatial model to estimate journey-time for all women of childbearing age to their nearest health facility offering differing levels of care at birth, taking into account different transport types and availability. The authors calibrated the model using data on actual journeys made by women seeking care.


This is a paper about expectations surrounding a potentially highly transformative moment in East Africa’s history: the arrival of underwater fibre-optic broadband communications cables into the Indian Ocean port of Mombasa. The paper draws on material from four sources: (1) interviews conducted in 2010 with twenty managers of Business Process Outsourcing and software firms based in Nairobi; (2) a qualitative content analysis of 378 international and East African media reports of the landing of the cables; and (3) an analysis of Kenya’s national development plan (Vision 2030) and
surrounding documents and speeches. This varied material demonstrates how the expectations surrounding the cables have played a strong role in allowing a new industry to form and grow. While the role of optimism is entrenched in the way we think about financial markets, it has largely been neglected in discussions of development in Africa. To many in Kenya today, the cables and the broader ‘ICT revolution’ thought to be happening on the continent represent an opportunity to use internet mediated representations to enact change in the imaginations of others.


Because of a generous level of social welfare protection and service, poverty in Norway today most often takes shape in relative, not absolute, terms. Bringing together social science and literary sensibilities, this article employs a focused content analysis of the texts of three influential Norwegian novels for their personal portrayal of the relationship between modernisation, the new welfare state, poverty, and shame. As significant facets of public imagination, the big and little stories presented in the novels deploy a social psychology in which individual accounts reflexively relate to social life. On a personal level, the class journey trope frames the many little stories dealing with individual class journeys, especially the associated feelings of insecurity coming with changing social status. In this context, emotions such as shame are taken to be indigenous ingredients of modernisation and the welfare state. The novels analysed for this article are traditional and modern Norwegian classics within the Norwegian literary canon concerned with poverty.


The objective of this paper is to uncover the determinants of riot victimisation in India. The analysis is based on a unique survey collected by the authors in March-May 2010 in Maharashtra, with the objective of obtaining fine-grained data on social, economic and political processes associated with the persistence of civil violence, and its consequences for individuals, households and neighbourhoods. Given the high concentration of rioting in certain areas in Maharashtra and the fact that riots are a relatively rare event in such a large state, the authors followed a clustered sample approach. To assess the prevalence of rioting within the state, they used district-level data from the Maharashtra Police on Jatiya Dangali which captures ‘significant’ riots reported at the police station level for which a First Information Report was filed with a magistrate. These data, spanning the period 2003-2008, contains information on the number of communal riots for each district. The dataset reports 75 communal riots in 2006, 74 in 2007 and 186 in 2008 in Maharashtra. The authors discounted this data progressively by an order of 1/6th, so that 6 riots in 2003 equated to 1 riot in 2008. This was done in order to give a greater weight to more recent riots, thereby ensuring a good recall by those interviewed and allowing us to capture short and medium term impacts of violence. The average of the discounted data was ordered and clustered into three categories of districts: high rioting district (5 or more riots per district per year), medium rioting district (more than 1.5 and less than 5 riots per district per year) and low rioting district (less than 1.5 riots per district per year). The authors took into account the geographical spread of the state by choosing districts that represented all administrative regions and socio-cultural division in the sample. The final selection included three districts in each of the medium and low clusters, and four in the high cluster. For each of the ten
districts, the authors then collected information on the precise location of instances of civil violence in the 24 months prior to fieldwork (2008-2010). They did this through a scan of print and online media, as well as key informant interviews. The aim in doing so was to identify urban areas where violence took place (sites of interest) within which to sample neighbourhoods. In some instances, the authors were able to narrow down these urban areas to particular neighbourhoods. In others, the information they were able to gather was less specific and they could not identify sites of interest below the town level. Overall, 45 neighbourhoods were then randomly selected from the list of voting-booths zones corresponding to the sites of interest. Each voting booth zone covers roughly 200 households, which equates to approximately 1000 individuals of voting age. In spatial terms, this was equivalent to an area which our research team could walk the perimeter in approximately twenty minutes. It follows that neighbourhoods in this study are very small units. The fact that neighbourhoods are small even relative to our sites of interest had two main advantages: firstly, it allowed to generate reliable neighbourhood-level variables by aggregating a relatively small number of individual answers, and secondly, it ensured sufficient variability in the degree of exposure to civil violence across neighbourhoods while reducing the risk that relevant neighbourhoods would be missed altogether. The last stage of the sampling strategy consisted in randomly selecting households to be interviewed in each of the 45 sites/neighbourhoods. A field team began household interviews simultaneously from all starting points, working their way inwards. Household were randomly selected through a skip pattern, which for larger neighbourhoods was 7 or 8 households, while for smaller neighbourhoods was 4 to 5 households in order to ensure a sample of 24 to 25 households per neighbourhood. This corresponded to a sample of around 10 per cent of all households in each neighbourhood. Through this multi-staged sampling framework, a final sample of 1089 households was obtained, spread across forty-five neighbourhoods, in ten districts in Maharashtra. The questionnaire administered to the respondents was in part meant to inform on household characteristics associated with exposure to violence. To this end, the questionnaire included modules on income and consumption, access to services and amenities, the extent of civil violence in the neighbourhood, and the experience of household members with acts of violence amongst others. Data on community relations and trust was also gathered, with a special emphasis on relations with police and officials. To the authors’ best knowledge this is the first study to empirically analyse the foundations of civil violence in India from a bottom-up perspective. The authors adopt a multilevel framework that allows neighbourhood and district effects to randomly influence household victimisation.


Children are increasingly engaged in the research process as generators of knowledge, but little is known about the impacts on children’s lives, especially in the longer term. As part of a children’s mobility study, 70 child researchers in Ghana, Malawi and South Africa were trained to conduct peer research in their own communities. The aim of the child mobility study was to understand mobility constraints faced by girls and boys and how these might impact on livelihood opportunities and wellbeing. The underlying principle of the study is that children are not merely passive recipients of adult knowledge, but actively create meanings, understandings and ‘knowledge’. The project suggests largely positive impacts on the child researchers: increased confidence, acquisition of useful
skills and expanded social networks, which were in some cases, however, tempered with concerns about the effect on schoolwork. In a follow-up two years after, the negative impacts were largely forgotten while several participants reported tangible benefits from the research activity for academic work and seeking employment.


The question the authors raise in this paper is whether the informal economy innovates and what kind of innovations emerge from non-formal institutions. While there are no research labs in the informal economy, the authors talk about three kinds of innovation: invention, adaptive innovation and adoption or transfer in new circumstances. The authors state that the Indian informal economy, which accounts for about two thirds of India’s GDP and 90% of employment, is regulated by a socio-technical system generating hybrid institutions and practices combining both formally regulated and socially regulated behaviour. The authors highlight the importance of identifying the most significant institutions and discovering the ways in which they act as incentives or disincentives. Interviews were conducted in 2012 in Arni in Northern Tamil Nadu. The project interviewed men and women from different castes and occupations: education, banks, business associations, trade unions, and marketplace porter representatives, sanitary workers, fruit and vegetable sellers, and transport workers.


This appendix describes in details the sampling and survey design of a longitudinal study in Bangladesh. The findings on which the paper is based builds on three studies conducted from the 1990s to early 2000s by Data Analysis and Technical Assistance (DATA) Ltd and the International Food Policy Research Institute (IFPRI) in Bangladesh to evaluate the short-term impacts of microfinance, new vegetable and polyculture fish technologies, and the introduction of educational transfers. The original IFPRI evaluations surveyed 1787 households and 102 villages located in 14 of Bangladesh’s 64 districts. The study paid special attention to the design of the treatment and comparison groups, tracking of households over time, and the integrated nature of the quantitative and qualitative phases in the 2006–2007 re-survey. Phase I was a qualitative phase designed to examine perceptions of changes involving single-sex focus group discussions. 116 focus group discussions were conducted between June–July 2006. Phase II — a quantitative survey re-surveying the original households — collected data of food and non-food expenditures, transfers and social assistance received, assets, educational attainment of children, shocks, and perceptions of poverty and well-being. Phase III consisted of a qualitative study based on life histories of 293 individuals in 161 selected households in eight of the districts included in the Phase II study, and focused on the years between the original survey and the most recent survey.

Poverty studies in China used to predominantly focus on rural poverty and regional income inequality. However, the problem of new urban poverty is emerging in Chinese cities as a consequence of rapid development and economic reform. Based on a large-scale household survey conducted by a team of undergraduate students from Nanjing University in 2005, this study aims to provide a better understanding of poverty incidence in a contemporary Chinese city, as well as poverty concentration in different social groups. After undertaking training, the survey team administered 1400 questionnaires in face-to-face interviews. The survey adopted a multi-stage stratification scheme, specifically the Probabilities Proportional to Size (PPS) sampling method. To understand poverty concentration in different social groups, the cases are classified into various categories by 'hukou' (household registration) status, number of unemployed family members, age, educational attainment and occupation of the head of the household as well as housing tenure. These groups are further categorized into urban households without unemployed, urban households with unemployed, and rural migrants. Three types of poverty measures (i.e. Foster, Greer, Thorbeck indices, the sense of deprivation, and Minimum Living Standard Support coverage rate) are compared across different social groups to show different patterns of poverty concentration, in particular the variation in three types of households.


The wave of food riots since 2007 revived interest in why people protest in periods of dearth, yet research has to date failed to make sense of the political cultures of food protests. The authors explore popular political cultures of food markets. It draws on original qualitative data from eight case study research sites: one rural and one urban site in each of the study countries—Bangladesh, Indonesia, Kenya and Zambia. The data were collected in February–April 2011, just after the 2011 price spike. Staple (rice and maize meal or flour) and other food prices were high and had risen sharply in the past year in Bangladesh, Indonesia and Kenya, but not in Zambia, where maize meal prices had been stable or reduced slightly compared to the previous year. The data are from 32 focus group discussions, as well as key informant and other interviews. An average of 10 people participated in each focus group and, with additional interviews and household case studies almost 500 people were included in this research (although some groups were more interested and vocal than others). Focus groups were organised by occupation group and gender. The 2011 round was the third round of data collection, so a relatively rich picture of these communities’ experiences of the global food, fuel and financial shocks after 2008 had been built up. Data from other rounds of the research is used to help situate and explain views expressed in 2011. Interviews and focus group notes were translated and coded thematically using NVivo 10 software. The analysis undertook to identify, group and explain the main emerging themes, but did not seek to quantify these, as this would have given a false sense of their representativeness. However, the paper indicates themes on which there was greater agreement, as well as those which were minority views.


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Progress towards the Millennium Development Goals (MDGs) has been uneven. Inequalities in child health are large and effective interventions rarely reach the most in need. Little is known about how to reduce these inequalities. The authors describe and explain the equity impact of a women’s group intervention in India that strongly reduced the neonatal mortality rate (NMR) in a cluster-randomised trial. They conducted secondary analyses of the trial data. The study areas for the trial were located in three contiguous districts in Orissa and Jharkhand, two of the poorest Indian states, with large tribal (adivasi) populations, of which the majority are classified as Scheduled Tribes under the Indian constitution. Within these districts, 36 poor clusters with a predominantly tribal population were identified and randomly assigned to intervention or control. The intervention arm of the trial received an intervention with participatory women’s groups. The participatory groups met on a monthly basis, guided by a facilitator, through-out the 3-year study period. They used a participatory learning and action cycle, in which maternal and newborn health problems were identified and prioritised. Strategies to address these problems were developed, implemented, and evaluated with the support of the entire community. All births and neonatal deaths in the study areas were recorded through prospective surveillance. Local key informants, covering about 200–250 households, identified all births, birth outcomes, and deaths to women of reproductive age on an ongoing basis. Every month, the informants reported the identified births and deaths to full-time salaried interviewers, who then verified all of the reported information. At about 6 weeks post-partum, the interviewer administered a questionnaire to the mother. The interview covered socio-economic and socio-demographic background characteristics; home-care practices; use of health-care services during pregnancy, delivery, and the neonatal period; and condition of the mother and baby, including the reported size at birth and gestational age of the baby. In the event of a stillbirth, neonatal death, or maternal death, a verbal autopsy was done with the mother or a close caregiver. The verbal autopsy consisted of a standard questionnaire that also included free text for elaboration on the sequence of events before death. Clinicians assigned cause of death on the basis of the information provided by the verbal autopsy. The surveillance system has been extensively tested in trials over the past 10 years, and has been described in detail elsewhere. The authors conclude that participatory community interventions can substantially reduce socioeconomic inequalities in neonatal mortality and contribute to an equitable achievement of the unfinished MDG agenda.


Adding to a hitherto small literature using married couples as experimental participants, the authors test experimentally whether and to what extent spouses, under conditions of asymmetric information, realise cooperative gains. The authors use experimental data from two-person public good game with four stages to test for household efficiency, involving 240 couples from two villages in rural East Uganda, in which variants are obtained by manipulating the size of individual initial endowments and control over the allocation (distribution) of the common pool. Spouses frequently do not maximise surplus from cooperation and perform better when women are in charge of allocating the common pool. Women contribute less to this household common pool than men and opportunism is widespread. These results cast doubts on many models of household decision-making. Experimental results are correlated with socio-economic attributes and suggest that assortative matching (where spouses have similar levels of wealth, education, etc.) improves
household efficiency. Developing non-cooperative household models sensitive to the context-specificity of gender relations emerges as a promising future research agenda.


It is rare for researchers doing fieldwork to revisit the subjects of their research to discuss their understandings and experience of the research process, but such work that reveals the perceptions of respondents, their intentions and the meanings inherent in testimonies and observed actions, offers important insights for both the analysis of particular research projects and for wider epistemological and methodological debates. This article explores methodological lessons from detailed interviews, conducted after an experimental game, involving resource allocation within marriage, and played with couples in Eastern Uganda. It argues for more reflexive and actor-oriented methodologies and for multi-methods that combine observation with talk.


The relevance of experimental games as methods in development research depends crucially on how far the results from the games can be extrapolated to real life, i.e. the external validity of those results. The extent to which external validity matters depends on what you want to do with the data, some kinds of theory testing can arguably afford indifference, but many experiments are used as an indicator of behaviour in everyday life. This paper is focused on the 15 cross-cultural studies of Henrich et al. (2004) as the most systematic attempt by anthropologists to use experimental games in developing countries to assess the extent to which such methods can illuminate norms and social preferences in reality. This is a review paper rather than an empirical study.


The South African government has pursued a gender mainstreaming strategy within a number of government departments including the Department of Education. This article explores how the strategy is being implemented in one provincial education department. The methods include documentary analysis, interviews, observations, field notes, focus group discussions, and case study methods with an ethnographic approach. The authors noted that interaction with participants during and after time in the field permitted rich dialogue about the complex issues involved. The case studies were conducted over six months in 2009. Data were analysed looking at both the aspects of the bureaucratic arrangements made for gender mainstreaming and whether these bureaucratic formations do or do not chime well with more transformative visions for gender equality in education.

This paper uses a framed field experiment (an experiment that builds the local context into the tasks or information provided) to examine peer effects and the role of peer group composition in learning achievement in senior high schools in Ghana. The experimental methodology overcomes several common limitations of non-experimental studies by abstracting from teacher and classroom effects and by randomly assigning students to peer groups. The authors investigate group learning in the first three years of senior high school in a random sample of Ghanaian public senior high schools. 136 public senior high schools were randomly sampled from a complete listing of all public senior high schools in Ghana. The random sampling was stratified across the ten regions of Ghana. Data was collected in May and June 2011. In each sampled school, one class from each form, excluding form 4 students who were in the process of writing exams during the fieldwork, was randomly selected to participate in the research. The sample consists of 408 sampled classes. A maximum of thirty students per class were randomly sampled to take part in the field experiment. 11,115 students participated in the experiment. Furthermore, a random subsample of eight students per class were invited to be interviewed. A random subsample of 3,240 students were interviewed. The questionnaire collected socio-demographic characteristics of the student and their family, their education history, current education outcomes, and expectations of future outcomes. In addition, those students who were randomly assigned to the group treatment of the experiment answered questions about their group members and their behaviour during the activity. In the experiment, students are randomly assigned to either work individually or in groups in completing Sudoku puzzles. In a final round, all students complete a new set of Sudoku puzzles individually. The authors find that group assignment has, on average, large and significant positive effects on achievement. Moreover, heterogeneous impacts of group assignment are estimated based on measures of students’ cognitive ability, academic achievement, pre-treatment Sudoku scores, and gender. The findings show benefits from peer group work for most students, though group work does penalize many of the initially best performing group members. Finally, differential effects of group assignment based on peer group composition are examined by investigating whether students assigned to homogeneous groups show greater improvements, whether the gender composition of the group matters, and whether group size impacts learning achievement. The authors find no additional benefits of same gender groups and no significant differentials in performance between groups of size two, three, and four students. They find evidence of positive peer effects in the learning activity; within groups, peer member ability has a positive and significant impact on student achievement.


Political ecologists have considered the sociomateriality of diverse hybrids and the metabolism and circulation of urban flows such as water, food and waste. Adding alcohol to this list enhances our understanding of the geography of alcohol as well as the theory of sociomateriality. Viewing alcohol as a sociomaterial hybrid draws attention to the power-laden, dynamic processes which shape its flow, rather than considering it as already in place. The author uses a case study of alcohol in Cape Town to examine how alcohol flows, encounters friction, flows over boundaries and shapes sociability and harm in complex, indeterminate ways. Research was conducted from March 2011 to February 2012 as part of a wider project on alcohol control, poverty and development. Research was conducted by academics, students and research assistants and shared with the larger research team. This paper draws on data collected through a range of methods. Questions about flows and frictions...
were not explicitly asked; the framing for this paper resulted after the majority of fieldwork had been undertaken. Focus groups were held in the three communities. Questions were asked regarding the lived experiences of alcohol, including positive and negative impacts and strategies to reduce alcohol related harm. The intention was to find representatives in three communities to help organize four focus groups with older men/women and younger men/women. This worked in Philippi, where the research team had established research networks and an NGO helped to enrol participants. However, in Freedom Park, only one focus group with older women had been conducted at the time of writing. In Salt River, the authors were unable to locate an NGO able to help enrol participants. Instead, focus groups were conducted with members of a church group and the community policing forum. Both these groups preferred to discuss the issues in a single group rather than separated by age and gender. Such challenges indicate broader difficulties with researching such a personal, controversial topic. Future publications are anticipated from the project team with more careful attention to methodological challenges and the race, gender and age differences of the respondents.

In addition to the focus groups, the research draws on semi-structured key informant interviews conducted by a range of members of the project team. Interviewees include government officials, industry (producers and vendors) representatives, academics, health professionals, community leaders and representatives from civil society. Different questions were asked to each interviewee, however typically focusing on how alcohol is regulated and with what impacts. Site visits and participant observation were conducted by the author and team members, including to formal and informal drinking spaces, and the resulting field notes and photos were shared with the research team. Finally, media accounts were collected from the Cape Times and Cape Argus, the two local English newspapers, on alcohol policy from 2007 to 2011. The reporting is also shaped by the author’s personal experiences and interactions during many multi-year stays in South Africa.


Recent African urbanist scholarship has suggested the need to delve deeper into our understanding of the everyday lived experiences in African cities. While this is essential for our understanding of African cities, researching lived experiences is fraught with methodological and ethical challenges. This is true for any topic when the researcher-subject gap is shaped by differences in nationality, class, race, norms and education, but especially so for the study of sensitive topics such as violence, sexuality, HIV/AIDS, and xenophobia. Geographers have begun considering the ethics of researching particular sensitive issues, but they are not yet fully engaged with the international literature on the ethical and methodological challenges of researching such topics. To address this gap, the authors reflect on their experiences while researching the lived experience and policy engagement with alcohol in Cape Town. They seek to apply and adapt the literature on sensitive topics specifically to the South African context. The paper examines challenges arisen during the fieldwork and strategies to mitigate these. The authors emphasize how examining a topic with strong normative associations and bound up with illegality and community divisions, creates a need for particular attentiveness to research methods.

China’s informal settlements (villages inside urbanized areas) are seen as dirty, chaotic, and dangerous by local governments. The authors state that a number of criteria have been invoked in state decisions regarding the demolition of informal settlements; however, rarely are these places evaluated from the residents’ perspective. The authors of this paper, following a long tradition of residential satisfaction research in Western nations, conducted a household survey in 2010 to examine this topic simultaneously in Beijing, Shanghai, and Guangzhou. This temporal control is intended to provide comparability between the three sites. The survey used structured questionnaires completed during face-to-face interviews. 1,208 valid questionnaires were analysed. The questionnaire consisted of six sections: socio-demographic attributes, income and spending, housing characteristics, employment, and neighbourhood features. The authors conclude that demolishing informal settlements does not help to build a “harmonious society,” which is the purported goal of such programs. Rather, removing the social and institutional barriers for migrant integration into the city is likely the most effective way to enhance residential satisfaction and neighbourhood quality.


This paper uses detailed life history data collected in 2008 from married male and female migrants in their peak child-bearing years to explore their reflections on the impact of their migration on their left-behind children and spouses. It focuses on 76 rural-to-urban migrants to Hanoi and Ho Chi Minh who have at least one child under 8 years of age. The sample includes men and women migrating with their spouses, leaving spouses behind, with spouses migrating elsewhere as well as single, divorced or widowed mothers and fathers. The sample was drawn in each case from a single ward with a very high incidence of migrants. Of these categories only that of men with spouses ‘left-behind’ corresponds to the conventional expectations that support married men’s migration, whilst all the other categories break with these norms to varying degrees. Migrants were identified using a combination of gatekeepers, usually local women’s officers, but also migrant guest house owners, as well as through snowballing to identify migrants in these categories. The life histories involved a two part interview — consisted of a semi-structured questionnaire and a more narrative informal interview that was tape recorded, transcribed, and translated — often conducted consecutively at the preference of the migrants. The life histories need to be regarded as a narrative data that expresses the migrant’s subjectivities, which are inevitably influenced by their efforts at self-presentation, rather than as factual accounts. The data is primarily qualitative giving rich insights into how migrants experience their relations with those left-behind, but is supported by structured information about informant’s, spouse’s and children’s moves, residence and schooling. The analysis in this paper is based on a preliminary interpretation of the full dataset but foregrounds the experience of just 16 migrants which have been subject to more in-depth analysis.

The World Bank’s ‘Doing Business’ reforms were originally expected to help the growth and formalisation of small to medium (SMEs) and micro enterprises. The expectations that reforms would support the growth and development of SMEs were challenged by scholars, but the reforms’ impact on the micro enterprises of the poor has received little scholarly attention. The paper draws on a desk study of legislation, policy documents, official reports and academic critiques to understand the ‘Doing Business’ reforms and how progress on the reforms is measured, and to highlight their likely impact on micro enterprises, with a particular sectoral focus on street-vendors. It also draws on a seven-municipality survey (Arusha, Mbeya, Morogoro, Mwanza and, in Dar es Salaam, Ilala, Kinondoni and Temeke) in 2007, funded by the European Commission, which included in-depth semi structured interviews with 622 street-vendors in the seven municipalities, 10 interviews with vendor associations and 120 key-informant interviews. This was followed by a comparative study in 2011 of legal and regulatory barriers to street-vending in Dar es Salaam, funded by DFID/ESRC, which included 173 interviews with street-vendors working in marginal locations, of whom 90 respondents were asked to complete additional interviews focusing on microfinance. Key-informant interviews were undertaken with vendor associations, government administrators and other experts. This paper argues that the growth and formalisation of micro-businesses are badly served by the ‘Doing Business’ reforms.


This paper examines the challenge of housing provision in South Africa and the perspectives and contribution of social movements to addressing housing need. Relatively little attention has been paid by professional researchers and development commentators to establishing the overall significance of social movements to low-income and disadvantaged people, and understanding the strategic choices facing such grass-roots movements, their preferred strategies and the effectiveness of these strategies in given political and economic contexts. The methodology involves two principal phases. Phase one involved a ‘mapping’ of movements, tracing the main domains of movement activity, the main organisations involved in this activity, and the interactions among these domains and organisations. This phase of research involved interviews with established movement leaders, movement intellectuals and key informants as well as a published review and secondary material. The second phase involved six in-depth case studies, three in each country, combined with analysis of secondary material.


The objective of this working paper is to outline the participatory violence appraisal (PVA) methodology implemented for the sub-city level studies in the ‘Understanding the Tipping Points of Urban Conflict’ (UTP) research project. It is intended to assist researchers when designing sub-city or local level research. As such it does not provide a definitive ‘blueprint’ but rather elaborates a generic methodology that may be easily adapted to the needs of different research objectives. To successfully complete a project such as this, with the associated production of both analytical and operationally relevant findings, it is necessary to implement a sequential research process. This includes three phases, each with an associated methodology, as follows: 1. Collection of research
data relating to identified research themes using participatory violence appraisal (PVA) methodology. 2. Preliminary analysis of PVA data, including the quantification of qualitative research results. 3. Final data analysis, including comparative findings, and the identification of potential policy implications. This working paper describes each of these three phases, drawing on the UTP research process and associated results.


Using samples of polygamous and non-polygamous households from villages in rural areas south of Kano in Northern Nigeria, the authors test basic theories of household behaviour. Husbands and wives play two variants of a voluntary contributions game in which endowments are private knowledge, but contributions are public. In one variant, the common pool is split equally. In the other treatment the husband allocates the pool (and wives are forewarned of this). The experiments took place on five consecutive days in July 2009. The locations were five villages (i.e. one village per day) around 1-2 hour’s drive south along sealed roads from the edge of Kano, the third largest city in Nigeria. The villages had been pre-selected in the month leading up to the main fieldwork using local informants and prior visits by members of the research team. The major selection criteria were size (the authors needed to recruit 80 couples from each place), rural location and separation from the other sites (to limit the possibility of cross-contamination). The actual experimenters were 12 (6 female and 6 male) local researchers recruited through the advice of local partners from Bayero University, Kano. Most of them had some background in Sociology or Economics. Some of them had experience with the implementation of household surveys. All of them had very good English. The experimenters received five days of training. The first day of training was used for explaining the principles of how to run experiments (what to do and what not to do with examples) and presenting all the treatments to be played in Nigeria. On days 2 and 3 experimenters practised in Hausa (and sometimes in English so that the team leaders could understand). On day 4 the researchers ran a pilot using a small sample of subjects. The fifth day of training was used to give individual and collective feedback on the pilot, to explain the logistics for the game days and to distribute the material needed for the first 5 game days. The experiments used scripts translated into Hausa and then back-translated into English. Each experimenter was also used to compare the English and the Hausa versions of 2 or 3 treatments. Discrepancies were corrected by the experimenters during training in the Hausa version. The schedule for the 5 game days was as follows: 4 treatments in the morning and 4 treatments in the afternoon (including one polygamous treatment in the morning and one in the afternoon). In each location 16 polygamous couples and 16 monogamous couples took part in the relevant treatments. In four of the five locations, no suitable public building was available for the experiments, so maize plantations were used instead with people sitting on the ground. On the second day a village school was used. The authors speculate on the implications of this pattern of investment and reward for the sustainability of polygamous institutions.


Dyson and Moore (1983) posit that women in South India enjoy more agency than those in the
North. Their conclusions have become part of the standard picture of Indian rural society. In this paper, using experimental data from modified voluntary contribution games the authors examine the efficiency of family decision-making. They take a sample of 1200 couples from two areas in Uttar Pradesh (UP) in the north of India and one area in Tamil Nadu (TN) in the south to exemplify differences in the autonomy of women and the nature of marital relationships. The authors use extensive interviews with husbands and wives (interviewed separately) in order to verify that the sites typify the North–South contrast as it is normally held to be in the literature. In addition to choosing locations where autonomy measures vary naturally, the authors have treatments that manipulate experimentally important features of the game that are usually linked to autonomy. The key treatments allow the examination of the impact on efficiency of earning endowments (to mimic the situation of greater entitlement to one’s own resources), public endowments (to create a contrast with the baseline in which resources can be hidden), and responsibility for allocation (to measure whether inducing autonomy experimentally through transferring agency matters for male and female contributions). The authors find significant differences between North and South in the nature of marital behaviour. In the experiments they see large-scale and robust evidence of inefficiency and hiding of assets when possible. There are differences between responses to treatment but the key and striking difference between the North and the South is that in both rural and urban sites in the North household efficiency is considerably greater than in the South.


Most programmatic interventions at the village level take little account of context or preconditions, often due to resource constraints. Arguing that context analysis should be recognised as fundamental to programme design, implementation and evaluation, this paper draws on evidence from a small number of case studies, taken from 11 village contexts. It seeks to investigate complex causal relations, which are difficult to study with large samples and statistical approaches. Qualitative research methods were chosen because they provide a depth that statistically representative approaches cannot achieve, and also because the concepts of causal structures and determinants of outcomes observed do not fit well with the assumptions required to employ standard regression techniques on large samples. The context studies followed a common approach in three of the provinces (Badakhshan, Sar-i-Pul and Faryab) and were based on preliminary visits to the provinces, districts and villages. However, it was not possible to pursue them to equal depth in all provinces, with the Badakhshan study achieving the greatest penetration. In Kandahar, these visits were not possible, and a detailed discussion was instead held with a group of elders from the two villages, as well as a context-focused debriefing of the two male and female field teams that conducted the household interviews. In Faryab, the initial context study could not be followed up through the detailed household interviews due to insecurity. Instead, fieldwork focused on the village level and explored the effects of two major events of the recent past: drought and an upsurge in insurgent activity. Data on each context was collected from various sources—secondary sources, government authorities at provincial and district levels, key informants at provincial and district levels, and groups of elders in the key villages. These were supplemented by field observations on location and landscape. Data was collected on provincial, district and village history, geography and economy over the last 30 years, focusing on the pre-1978, 1978-2001 and post-2001 periods.
Discussion focused on the changing roles and actions of village authorities, provision of public goods, key actors, and relations between villages and districts. Researchers sought accounts of the dynamics of security and insecurity, means of achieving security and their effects on village lives. Discussions also explored key themes including the rise and fall of the opium economy, conflict, and issues of resource access.


This paper focuses on the work of senior high school teachers in three illustrative local authority regions of mainland China. It discusses interview and focus group data which examined notions of quality as experienced by key stakeholders (national and local authority policy makers, teachers, head teachers and students). Building on previous international literature and current Chinese education policy, this paper examines aspects of teachers’ work as experienced within the context of a fast developing emerging economy, which emphasises a clear link between individual and national development. Individual and focus group interviews were collected in eight Chinese senior secondary schools located across three local authority areas. Two local authority areas were selected from the central eastern region of mainland China and consisted of a mixture of large urban/city areas, together with small town and rural areas.


Genetically Modified (GM), Herbicide Tolerant white maize, developed in the USA to save labour, is being grown by smallholders in KwaZulu Natal, South Africa. This paper is an analysis based on surveys in KwaZulu Natal to measure the output and employment effects of new technologies. The authors aimed to find out whether GM could produce a Green Revolution in Africa and whether it would be poverty reducing, as in Asia. The authors claim that if land is poor but plentiful, planting area and output could double and labour demand for all other tasks increase substantially. Thus, a labour-saving technology need not displace labour: it depends on the factor endowments (the amount of land, labor, capital, and entrepreneurship that can be exploited for manufacturing). The paper uses panel data for Africa, Asia and Latin America to investigate the effects of factor endowments and technological change on productivity growth, labour incomes and poverty reduction. The long-term aim is to discover the countries or regions in Sub-Saharan Africa where GM would cause output expansion and those where it should be avoided as labour displacement would be the dominant effect. The authors expect that this could facilitate predicting the expected poverty impact of GM maize in Sub-Saharan Africa.


This paper draws on ongoing research from a three-year study of children’s mobility and associated
transport issues in three sub-Saharan African countries: Ghana, Malawi and South Africa. The project focuses on the mobility constraints faced by girls and boys in accessing health, education, markets and other facilities, how these constraints impact on children’s current and future livelihood opportunities, and the lack of guidelines on how to tackle them. The main aim of the project is to provide a base of evidence strong enough to substantially improve transport- and mobility-related policy and programmes for children and young people, with important developmental implications in terms of improved educational and health status. The authors utilise an innovative two-strand child-centred methodology, involving both adult and child researchers. Although the overall project was designed by adults, children were involved at an early stage in refining the shape of their own strand. Nineteen children (11 Ghanaian, 4 South African and 4 Malawian) joined adult researchers at the project inception workshop in Blantyre, Malawi, to discuss research plans and to draw up a preliminary set of ethical guidelines. Afterwards, six individual child researcher training workshops were held, two in each country, facilitated by the research collaborators and, in most cases, by locally appointed research assistants. At these one-week workshops, the children were introduced to the project in more detail, taught a range of research methods that could be used to explore transport and mobility patterns and needs, reviewed the project’s ethical guidelines, and decided in groups on the research methods they would use and the timeframe within which they would work. The majority of groups chose the following research methods: one-week activity and travel diaries, photographic journals of children’s travel to school and at work (using disposable cameras), in-depth one-to-one interviews with children and accompanied walks (with mapping or narrative description). Some children also undertook focus group discussions, ranking exercises, counting loads (along routes where heavy loads are commonly carried), and weighing loads carried by children. All methods were focused at improving understanding of the places children of varying age, gender and schooling status go, how they travel there, and the transport problems they face.


The researchers walked alongside children and teenagers in Ghana, Malawi, and South Africa and listened to their stories. The study aimed to show the potential that mobile interviews could offer in research with young people, especially in research contexts where the main focus is on mobility and its impacts. The researchers walked usually with a group of three or four young people, both girls and boys, from peri-urban to remote rural areas. The methods used were participant observation, transect walks, neighbourhood walks, videoed journeys and journeys using mobile phones linked to GPS receivers. The study reports numerous advantages of mobile interviews: the shared rhythm of walking encouraged companionability and the children felt sufficiently at ease to ask questions. Walking together enables for example avoiding unwelcome eye contact with a relative stranger and saves from the embarrassment of uncomfortable silence. The walk avoids unwanted interventions from parents and others adults who may not only listen in during stationary interviews but sometimes try to answer for the child. In an African context the walking interview has the specific advantage of enabling lengthy conversations with children and young with children and young people who are often time poor and whose labour contributions may be vital to household sustenance: the interview can be conducted even as they go about their work, without holding up tasks which the child is required to accomplish.

This mobility study in Ghana, Malawi, and South Africa used a two-strand child-centred methodology with a) a peer research by 70 child researchers and b) the development of mobile ethnographies by peer and academic researchers for improved interaction with child respondents. The research was conducted in 24 communities. All 70 young researchers and 20 postgraduate research assistants received substantial field training, gave presentations and contributed to publications. The authors conclude that the novel two-strand methodology including work directly with child researchers highlighted their enormous potential to contribute to policy and planning. The project provides the first multi-site evidence base and comparative account of children’s daily mobility and transport constraints in sub-Saharan Africa.


Although traditional medicine is believed to constitute a crucial healthcare option for poor or remote households in developing countries, the determinants of medicinal plant consumption at the household level in these countries have not been empirically studied. Therefore, the author argues that quantifying the use of traditional medicine at the household level is essential to the development of sustainable healthcare policies in the developing world. This paper quantifies household-level use of traditional medicine and identifies determinants of the choice of traditional treatment in the south central region of Burkina Faso. Structured household interviews (n ¼ 205) were conducted in nine villages of rural Burkina Faso from November 2007 to November 2008 and in November 2009 to collect data on household characteristics (e.g., income, education, demographics), illness frequencies, illness types, and treatment strategies employed. Comprehensive analysis of treatment choice was performed through bivariate analyses.


There is a general consensus among policy makers, researchers, and development practitioners that environmental resources, and particularly forests, contribute to rural livelihoods in developing countries by supporting current consumption and by providing households with a form of “natural insurance” against hardships. Based on data from 1014 households in Ghana and Burkina Faso, the authors demonstrate that non-forest environmental products (products that are not cultivated and collected from non-forest areas e.g., from agricultural land, scrubland, grassland, wetland, watercourses, lakes, and ponds) play a crucial role in rural livelihoods, especially for women and the poorest. Environmental income represents a safety net for households facing crises due to illness or death of a productive household member. The authors attribute rural people’s high reliance on non-forest versus forest products to the two countries’ restrictive and inequitable forest policies.

This paper uses two unique panel data sets to study the causal effect that different characteristics of the armed conflict have over firm exit in Colombia. Using a fixed effects estimation methodology at the plant level and controlling for the possible endogeneity of armed conflict through the use of instrumental variables, the authors find that the particular armed group operating in a given region, the level of polarization of the conflict, as well as the specific target of the attack, impact in a differential manner the probability of firm exit. This poses important implications for policy recommendations and actions in the different regions of the country. According to the authors, the special and unique characteristics of the data used as well as the estimation strategies makes the paper a contribution to the literature.


This paper examines patterns of adaptive behaviour in low-income settlements in Khulna, Bangladesh’s third largest city. It contrasts the adaptive behaviours of “squatter” households who “own” their land with those of tenants who rent dwellings from private landlords, and finds significant differences between the adaptive behaviours of owners and renters. A detailed comparison of two settlements was undertaken, and findings were triangulated with short visits to other settlements, discussions with key informants, and an analysis of the academic and “grey” literatures. The settlements were selected after a reconnaissance survey of five potential case study areas (shortlisted in consultation with Khulna-based NGOs/ CSOs) and an assessment of their suitability as case study sites, using six pre-defined criteria. In each settlement, the authors applied the same methodology for data collection:

- introduction to community leaders and explanation of research;
- introduction of the research team to each household head and conduction of a questionnaire survey of all households;
- analysis of the initial survey results and selection of 25 households for life history interviews;
- conduction of participatory exercises of settlement problems with groups from each area; and
- discussions with key informants about the findings, to check accuracy and validity.

In addition, the authors held a concluding dialogue with members of the local academic community, policy makers, civil society organizations and members of the selected settlements for a broader testing of findings (more than 50 representatives from 20 organizations).


Avon’s apparent success in using entrepreneurship to help women escape poverty as well as its staying power in circumstances where similar efforts have failed, has captured the attention of the
international development community. This study, claiming to be the first independent empirical investigation, reports that in South Africa, Avon helps some impoverished women to earn a better income and inspires empowerment among them. The authors introduce a new theory—pragmatist feminism—to integrate past work on women’s entrepreneurship and argue that feminist scholars should re-examine the histories of the market democracies for replicable innovations that may have empowered women. The study was conducted over a 3-year period (2007–2010) using multiple methods: focus groups, interviews, surveys, home visits, and participant observation in four sites: Soweto (a large urban township), Polokwane (a middle-sized city in a rural region), Vosloorus (a poor suburb of Johannesburg), and a selection of rural villages in the Limpopo region.


Ethical review by expert committee continues to be the first line of defense when it comes to protecting human subjects recruited into clinical trials. This article identifies some of the tensions that have emerged for Ethical Review Committee [ERC] members as the capacity to conduct credible ethical review of clinical trials is developed across the region. The data on which this paper is based are drawn from a study of the growth of clinical trials and human experimentation in South Asia [India, Nepal and Sri Lanka]. In this study the authors identified key actors in the conduct, management and regulation of clinical trials in a variety of settings. 337 semi-structured interviews were carried out, the vast majority of which were recorded, translated into English where necessary, and transcribed. The resulting dataset was entered into Atlas.ti for coding. The codes were generated by an iterative process at a workshop held in Mumbai with all coders present; trial codings were carried out and a selection of interviews was recoded to ensure consistency. Here, the authors draw principally on extended interviews with a small sub-set of ERC members from India, Sri Lanka and Nepal. In many respects, the sample is unrepresentative of the wider body of reviewers at work in each of these countries as it was self-selecting and therefore tended to be made up of people who were knowledgeable, articulate and keen to express their views on the rights and wrongs of clinical trials, the work of ERCs and their less responsible colleagues. They were also mostly from Institutional [hospital] and University settings. Nonetheless, consideration of their accounts of topics such as ethical review, operation and composition of committees, capacity building, training for reviewers and approaches to informed consent provides a useful indicator of the major challenges faced by committed ERC members in the settings identified. The authors also draw to a lesser extent on interviews with regulators, policy-makers, academics and investigators involved in developing ethical review infra-structure. The article draws attention to fundamental issues of scope and authority in the operation of ethical review.


This article applies an extended value chain framework for critical analysis of Private Standards Initiatives (PSIs) in agrifood chains, drawing on primary research on PSIs operating in Kenyan horticulture (Horticulture Ethical Business Initiative and KenyaGAP). The paper explores the legislative, executive and judicial aspects of governance in these southern PSIs highlighting how
different stakeholders shape debates and act with agency. There has been very little empirical analysis on how private standards affect national level institutions, public, private and non-governmental in the global South. This paper draws on preliminary findings from an on-going project on private standards in the agrifood chain in the horticulture sector in Kenya where leading European retailers and other key buyers are sourcing cut flowers and vegetables.


This editorial addresses the problems of comparability in international comparative assessment in education surveys – given that educational systems have different aims and curricula, and that there are different languages and cultures involved, thereby making comparability through translation problematic – as well as the difficulty of making policy decisions on the basis of correlational data. Particularly referring to the Programme for International Student Assessment (PISA) study, the authors contributing to the issue reflect on the validity and reliability of the outcomes of the study and the problems of test construction, as well as on the contribution of culture and cultural bias in achievement surveys. It is argued that differences between assessments are not merely technical in nature but rather reflect fundamental differences in the theoretical and philosophical underpinnings.


This paper examines maternal and paternal orphans schooling in a province of South Africa with high AIDS mortality, and contrasts it with that of both children who lived in different households from their parents and children who resided with their parents. The KwaZulu-Natal Income Dynamics Study (KIDS) is a panel of households interviewed in 1993, 1998 and 2004 providing reports on children aged between 8–20 years. The authors studied the determinants of the proportion of children who had completed two or more grades fewer than expected for their year of birth using both household fixed-effects models and difference-in-difference models fitted to children reported on twice.


The article examines how blame and disconnection from the lives of the poor feature in a nexus of ideas about implementing education policy articulated by education officials and teachers in Kenya. The authors discuss three different approaches to understanding marginality – economic, sociological, and political, each associated with a different process of setting a boundary concerning the marginalised. This differentiation is used to analyse qualitative data collected between 2007 and 2011 in three sites: the Kenyan national Ministry of Education, a provincial education office and its work in selected districts, and a government school serving a poor community in a peri-urban area. In all three sites a range of research methods were used to understand the perspectives of practitioners and the nature of work place cultures: document analysis, observing meetings, interviews and focus group discussions. The study shows how work practices in all sites entail
processes of distancing and exclusion which confirm the boundaries associated with marginalisation, rather than overcoming them.


Despite the pervasiveness of domestic violence in Tanzania, there has been limited analysis from the region about the extent to which women’s empowerment may reduce or exacerbate women’s risk of violence. The purpose of this study was to bridge this gap in evidence by using data collected from Tanzania as part of the WHO multi-country study on women’s health and domestic violence. The study in Tanzania was a cross-sectional household survey of ever-partnered (=who has ever been married, lived with a man, or currently with a regular male sexual partner) women aged between 15-49 in two sites, Dar Es Salaam; and Mbeya, a provincial region. Data were collected between November 2001 and March 2002 and the survey used a multi-stage, cluster design. Female interviewers administered the survey face to face in the local language (Kiswahili) and in private. Multivariate logistic regression was used to explore the association between lifetime and current intimate partner violence and women’s and their partners’ characteristics.


Statebuilding has risen to the forefront of international donor policies toward the security and development of fragile states, with governments now investing millions in statebuilding research every year. However, no serious study has examined the ways in which research influences policy in fragile states. This article summarizes findings from a central strand of research conducted within the context of a three-year project which entailed field visits to three fragile and conflict affected countries at different stages of recovery (Afghanistan, Nepal and Sierra Leone) to conduct 52 in-depth interviews with officials and researchers. This article begins to shed light on the central dynamics pertaining to research use and the picture that emerges is a mixed one, with evidence of extensive use of different forms of research combined with worrying practices and lingering deficiencies in some key areas.


This paper reports on research in progress from a research project to explore how university-based professional education and training might contribute to poverty reduction and human development in South Africa. The focus is on theorising and the early operationalisation of multi-layered, multi-dimensional transformation based on ideas from Amartya Sen’s capability approach. The authors argue that ‘pro-poor’ professional action, because it is grounded in capability expansion, makes people agents of their own development. The process to operationalise this theoretical approach
includes choosing comprehensive capabilities that make for a fully human life; selecting a subset of professional capabilities; identifying university transformation dimensions; and bringing these three together as a multi-dimensional scorecard. The authors drafted a provisional list of dimensions of pro-poor professionalism and professional education oriented to the human development of each and every person, both clients and professionals.


Focussing on the psychosocial dimensions of poverty, the contention that shame lies at the ‘irreducible absolutist core’ of the idea of poverty is examined through qualitative research with adults and children experiencing poverty in diverse settings in seven countries. Reflecting the maximum difference design, the settings chosen were deliberately very diverse. Interviews were conducted in rural areas in Gujarat and Kerala in India, in urban and rural parts of Norway and Pakistan and in urban China (Beijing), Korea (Seoul) and Britain (two areas of high deprivation) For the most part, the adults interviewed had dependent children, although in Beijing respondents belonged to a new class of poverty – former workers of now-dissolved state owned enterprises. Children were not interviewed in Korea, China or in Norway. In India and Uganda, respondents were accessed via village elders after detailed discussions about local understandings of poverty. In China, respondents were selected on the basis of their former employment status but were necessarily accessed through neighbourhood committees. In Britain, researchers worked with neighbourhood groups in two areas of high deprivation, where respondents who had previously received means-tested benefits were identified through a questionnaire sift. In Norway, Korea and Pakistan, respondents were recruited directly from lists of social assistance recipients. The authors note that conducting research in diverse cultural settings generates conceptual difficulties. Before entering the field, dominant values with respect to poverty and shame and their conjunction were explored in each of the settings via their representation in literature, film and proverbs.


This article examines the operation Kudumbashree, the Poverty Eradication Mission for the Indian State of Kerala. Kudumbashree operates through female-only Neighbourhood Groups aiming to contribute to their participants’ economic uplift and to integrate them with the activities and institutions of local governance. The article evaluates the programme, looking at its impacts on women’s participation in public space, its attempts to engineer participatory citizenship through engagement with the local state, and the wider consequences of its particular linking of participation and poverty alleviation for processes of exclusion within Kerala. The empirical work done for this paper was part of a wider study of the participatory governance practices in West Bengal and Kerala, and within Kerala this centred on extended semi-structured interviews in two case-study panchayats (municipalities), each of which was located in one of the state’s poorer districts. The panchayat-based fieldwork included a range of methods: interviews with local resource persons (elected panchayat and Kudumbashree office holders, administrators, and political leaders) and with purposively sampled groups of households from communities facing different forms of
marginalisation. Importantly for the purposes of this paper, whilst the former enabled an overview of the panchayat-level politics, the household interviewees were predominantly among the poorest groups within the panchayat.


This paper describes the conceptual development of a multi-domain, psycho-social model of ‘Inner Wellbeing’ (IWB) and assesses the construct validity of the scale designed to measure it. IWB expresses what people think and feel they are able to be and do. The methodology was shaped by the authors’ objective to find an approach to wellbeing that would recognise differences by culture and political economy. The research was conducted in India and Zambia. While recognising that the overall framework would need to be common to both, the authors were committed to ensuring that the specific questions asked would reflect issues of relevance to wellbeing in the particular context of the research. Therefore, the process of developing the quantitative scale to assess IWB was highly qualitative, with an on-going process of trying out different questions, listening to how people responded, adjusting and adapting. Results from research in India at two points in time (2011 and 2013) are reported.


Well-being advocates state that it provides a more holistic, humanistic focus for public policy. Paradoxically, however, well-being debates tend to be dominated by highly quantitative, de-contextualised statistical methods accessible to only a minority of technical experts. This paper argues that we need to reverse this trend. Drawing on original primary mixed method research in Zambia and India it shows the critical contribution of qualitative methods to the development of a quantitative model of subjective perspectives on well-being. Such contributions have a political, ethical and practical urgency if subjective measures of well-being are to be used in policy. The authors highlight that having qualitative enquiry alongside quantitative is particularly important in contexts that are culturally dissimilar to those in which instruments have been developed. The forms of local understandings of well-being need to be explored not assumed, and qualitative methods are vital to achieve this. Although the authors believe that they have gone further than most in this field in seeking to reflect what is important to people locally and their ways of seeing things, they recognise the challenges related to using a methodological approach requiring respondents to express themselves in ways that do not come naturally (e.g. the need to abstract and generalise).

This paper aims to understand the formation of poor neighbourhoods by examining of the transformation of the suburban industrial area Little Market (Xiaoshi) in the city of Nanjing into an impoverished neighbourhood. The notion of a poverty of transition is developed to show how such a transformation occurs in the aftermath of state-led industrialisation. The author’s purpose is to provide a quantitative basis for more intensive qualitative studies. In July 2003, a questionnaire survey related to living standards was conducted by means of face-to-face interviews, which were preceded by fieldwork in 2002 and followed by intense fieldwork in 2004. The author underlines that this case study is still a preliminary step towards this goal, as the result of logistic regression is weak and few of the variables are significant. This may result from the limited sample size (303 valid questionnaires were analysed). However, it can also reflect the complexity of urban poverty—i.e. falling into poverty is very much conditioned by particular life-history events and particular local policies (such as the informal market situation).
8.1.1 Appendix 2: Archived data sets

Table A2: Summary of archived data sets

<table>
<thead>
<tr>
<th>Grant number</th>
<th>PI</th>
<th>Title</th>
<th>Type</th>
<th>Complete?</th>
<th>UKDS no:</th>
<th>Data archived</th>
</tr>
</thead>
<tbody>
<tr>
<td>RES-167-25-0167</td>
<td>Ansell et al.</td>
<td>Averting ‘New Variant Famine’ in Southern Africa: building food-secure rural livelihoods with AIDS-affected young people</td>
<td>Qual</td>
<td>Not clear</td>
<td>850364</td>
<td>Qualitative data in NVivo databases</td>
</tr>
<tr>
<td>RES-167-25-0124</td>
<td>Attanasio et al.</td>
<td>Human development and poverty reduction in developing countries</td>
<td>Quant</td>
<td>No</td>
<td>6572</td>
<td>Estimation data set</td>
</tr>
<tr>
<td>RES-167-25-0170</td>
<td>Bebbington</td>
<td>EOAR: Social Movements and Poverty</td>
<td>Qual</td>
<td>No</td>
<td>850469</td>
<td>Analysis of qualitative data in Access database</td>
</tr>
<tr>
<td>RES-167-25-0488</td>
<td>Bryceson et al.</td>
<td>Urban Growth and Poverty in Mining Africa</td>
<td>Mixed</td>
<td>Not clear</td>
<td>850839</td>
<td>Recordings of singing/dancing youth groups, photos, survey data</td>
</tr>
<tr>
<td>RES-167-25-0473</td>
<td>Herrick</td>
<td>Proposal: Alcohol control, poverty and development in South Africa</td>
<td>Mixed</td>
<td>Not clear</td>
<td>851270</td>
<td>Interview data, notes, photos, articles, qualitative data analysed in Excel spreadsheet</td>
</tr>
<tr>
<td>RES-167-25-0110</td>
<td>Jeffrey</td>
<td>Tracing pharmaceuticals in South Asia: regulation, distribution and consumption</td>
<td>Qual</td>
<td>Not known</td>
<td>851102</td>
<td>Dataset is embargoed</td>
</tr>
<tr>
<td>RES-167-25-0028</td>
<td>Porter</td>
<td>Children, transport and mobility in sub-Saharan Africa: developing a child-centred evidence base to improve policy and change thinking across Africa</td>
<td>Mixed</td>
<td>No</td>
<td>6608</td>
<td>Survey data</td>
</tr>
<tr>
<td>-----------------</td>
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</tr>
<tr>
<td>RES-167-25-0263</td>
<td>Rea-Dickens</td>
<td>Student Performance in National Examinations: the dynamics of language in school achievement</td>
<td>Mixed</td>
<td>Yes</td>
<td>850418</td>
<td>Classroom observations and observation schedules, ethnographic field notes, surveys, tests/examination results</td>
</tr>
<tr>
<td>RES-167-25-0387</td>
<td>Theobald et al.</td>
<td>Identifying Barriers to TB Diagnosis and Treatment under a New Rapid Diagnostic Scheme</td>
<td>Mixed</td>
<td>No</td>
<td>85045</td>
<td>Survey data</td>
</tr>
<tr>
<td>RES-167-25-0428</td>
<td>Thomas et al.</td>
<td>Key finding report: Improving Teacher Development and Educational Quality in China: Examining Schools as Professional Learning Communities</td>
<td>Mixed</td>
<td>No</td>
<td>851265</td>
<td>Survey data</td>
</tr>
<tr>
<td>RES-167-25-0557</td>
<td>Walker</td>
<td>Shame, Social Exclusion and the Effectiveness of Anti-Poverty Programmes: A Study in Seven Countries</td>
<td>Qual</td>
<td>No</td>
<td>851022</td>
<td>Interview and focus group data</td>
</tr>
<tr>
<td>RES-167-25-0520</td>
<td>Walton, Mukhopadhay</td>
<td>Citizens and the state in urban India: an in-depth investigation on emergent citizenship and public goods provision</td>
<td>Mixed</td>
<td>No</td>
<td>850820</td>
<td>Survey data</td>
</tr>
<tr>
<td>RES-167-25-0507</td>
<td>White and Gaines</td>
<td>ESRC Key findings report Wellbeing and Poverty Pathways</td>
<td>Mixed</td>
<td>Yes</td>
<td>851274</td>
<td>Survey data, qualitative notes on the survey and other material on the process of data generation</td>
</tr>
</tbody>
</table>
UKDS information on archived datasets (see [http://ukdataservice.ac.uk/](http://ukdataservice.ac.uk/))

Ansell et al.
This project will examine the impacts of the AIDS pandemic on the livelihoods of young people in rural Malawi and Lesotho. Several southern African countries with exceptionally high HIV prevalence have also experienced recurrent food crises in recent years a situation that has been (somewhat controversially) labelled 'New Variant Famine'. Several reports have suggested a link between the impacts of AIDS on children and their prospects of food security in adult life: for instance, children whose parents die of AIDS may fail to inherit land or other productive assets, and transmission of knowledge and skills between the generations may be disrupted, leaving young people ill-prepared to build food-secure livelihoods for themselves. This project will be the first to empirically investigate these propositions. Employing a participatory methodology and adapting DFID’s sustainable livelihoods framework, the research will identify how AIDS-affected young people are incorporated into (or excluded from) current household livelihood strategies, the processes and practices that shape their access to livelihood opportunities, now and in the future, and how they make decisions about livelihoods. The ultimate aim is to develop, with young people, recommendations for enhancing livelihood sustainability, applicable at a range of scales from the local to national policy levels.

**Coverage, universe, methodology**

Dates of fieldwork: 01 May 2007 - 30 April 2009  
Country: Malawi and Lesotho  
Method of data collection: Case study research based in two villages, one in the mountains of Lesotho, the other in southern Malawi. Participatory methods involving 73 young people aged 10-24. Nine focused activities, mostly undertaken with single sex groups aged 10-17 or 18-24. Semi-structured interviews with 47 young people aged 18-24. Approximately half the participants were deemed 'AIDS-affected' on the basis that they had lost a parent (the majority of cases) or had a parent or other close relative that was chronically sick or were chronically sick themselves. Chronic sickness was taken as a proxy for AIDS as AIDS is not openly spoken about. Semi-structured interviews with 95 individuals representing government ministries, parastatal organisations, donor and UN agencies, NGOs, FBOs and local government and institutions concerning the policy and programming context of and responses to the issues raised in the research.

Attanasio et al.
The Human Development and Poverty Reduction in Developing Countries, 2007-2008 study contains information on women's knowledge on reproductive health and the sources of reproductive health information for a sample of women who delivered a baby between March 2007 and June 2008 in
Makwanpur district, Nepal. Detailed information was collected on women's participation in non-government organisation group meetings. These are participatory women's group meetings that aim at improving reproductive health outcomes. Information on women's network of relatives was also collected.

**Main Topics:**
The data covers women's knowledge on reproductive health and their sources of reproductive health information.

**Coverage, universe, methodology**
**Dates of fieldwork:** March 2007 - June 2008
**Country:** Nepal

Women residents in selected zones of the Makwanpur district (Nepal) that delivered a baby between March 2007 and June 2008

**Time dimensions:** Cross-sectional (one-time) study
**Sampling procedures:** No sampling (total universe)
**Number of units:** 2,104 women
**Method of data collection:** Face-to-face interview
**Weighting:** No weighting used

**Bebbington**
The collective action of social movements is often said to be one of the most effective strategies that the poor can use in addressing their poverty. However, little is known about: the number, diversity and extent of such movements in particular national contexts; their overall importance in processes of and debates around poverty reduction; and the strategies they use to address the needs of their members. Most research has focussed either on individual or small sets of movements, with less attention paid to the overall significance of the movements at wider territorial and national scales. This research addresses these themes and knowledge gaps. To assess the overall significance of movements for poverty reduction, it identifies, maps and conducts basic analysis of movements active in Peru and South Africa. The second phase of research addresses in more detail how and why movements adopt particular strategies in their relationships with the state, how these strategies affect the overall influence of movements on poverty reduction and how these strategies and effects vary according to the political context. This is done through a small number of comparative case studies conducted in collaboration with these movements. These movements will be selected from the initial mapping.

**Coverage, universe, methodology**
**Dates of fieldwork:** 01 July 2007 - 31 January 2010
**Country:** United Kingdom
Method of data collection: Interviews

Bryceson et al.

After several decades of economic decline, mining's growing importance in many African economies has been welcomed, but the rate of sectoral transformation from rural agrarian to more urbanised mining economies, has not afforded sufficient time for policymakers to fully appreciate the nature of the developmental processes underway. This study focuses on the economic, social and cultural change associated with rapid and/or erratic rates of urban growth propelled by mining expansion in three contrasting countries: Angola (diamonds) Ghana (gold) Tanzania (gold/diamonds) As a prelude to field studies, an international conference will be held to overview the impact of mining on urbanisation in Africa's major emergent mining economies. Phase 2 encompasses key informant interviews, focus group discussions and surveys in small and large-scale mining settlements to probe miners' migration, earnings, work and living conditions. Phase 3 involves interviews with national policymakers about their perceptions of mining's influence on urbanization and poverty. Phase 4 concentrates on dissemination of research findings. A 'Digging Deeper' participatory programme involving youth groups expressing their perceptions of life in mining settlements in various art forms explores the local population's consciousness of their cultural and social identity transformation. The overall aim is to disseminate knowledge of actual as opposed to rumoured outcomes of mining livelihoods to facilitate the formulation of policies tailored to current realities.

Coverage, universe, methodology

Dates of fieldwork: 01 October 2010 - 30 June 2013
Country: Angola, Ghana, Tanzania
Observation units: families and households, groups, individuals
Kind of data: Alpha-numeric
Method of data collection: key informant interviews, focus group discussions, household surveys

De Neve et al.

This research used an interdisciplinary approach to critically examine changing livelihood strategies of both rural and urban populations that are increasingly dependent on, or affected by, export industries. While studies tend to focus on working conditions inside factories, little is known about the changing livelihoods of those employed in booming export industries or about the wider impacts of these industries on rural populations. The research had three primary aims: to enhance our understanding of the impacts of industrial expansion on urban and rural households in developing countries, to improve our understanding of persistent poverty and 'poverty traps' in areas of rapid economic growth, to inform policy interventions by the state, multinational corporations and international NGOs that aim to reduce poverty and improve
livelihoods. Field-based research was conducted in and around Tiruppur, a major garment manufacturing and export town in Tamil Nadu, South India. The data available from the UK Data Archive includes the quantitative responses to questionnaire surveys conducted with workers and villagers.

**Main Topics:**

The datasets include a survey of workers in Tiruppur and 4 village surveys:

The worker survey collected data on caste, gender, age, skill, employment, employment history, and migration background. Workers were purposively selected from a range of factories to ensure all branches of the industry were included. The sample is therefore not representative of the entire workforce.

The village surveys collected data on caste, gender, age, education, occupation, migration, land ownership and household assets. The census of commercial activities in these villages was incorporated into these surveys. In Village A the entire village was surveyed, in Village M 50 per cent of households were surveyed, while in Villages K and P 20 per cent of households were surveyed. (The data from the latter two villages has been combined into one dataset.)

**Coverage, universe, methodology**

Dates of fieldwork: September 2008 - August 2009

Country: India

Observation units: Individuals

Kind of data:

Alpha/numeric data

Individual (micro) level

Workers in Tiruppur (Worker survey) and residents of four villages near to Tiruppur (Village surveys), 2008-2009.

Time dimensions: Cross-sectional (one-time) study

Sampling procedures: Simple random sample; Purposive selection/case studies

Number of units:

Worker survey: 300 worker households;

Village A: 240 households;

Village M: 278 households;

Villages K and P: 257 households (combined into one dataset)

Method of data collection: Face-to-face interview

Weighting: No weighting used.

**Herrick**

This research explores how the lived relationships between alcohol control (as a debate, field of study, policies and practices), poverty and development in South Africa (SA) are manifested among Cape Town's
(CT) poorest residents. While SA’s urgent alcohol control debate is principally cast as a matter of public health, it also broaches concerns over urban and social development, poverty alleviation, security and post-apartheid social policy. This research therefore focuses on the practices and consequences of drinking as a platform from which to develop a renewed approach to the contemporary politics of the developing city. Drawing on policy analysis, health survey data, stakeholder interviews counterposed with in-depth interviews and small group meetings across four case study townships and informal settlements in CT, the project examines how the lived experiences of drinking are understood and taken up in the policymaking process. By this means, it also interrogates the conditions under which these practices become "problematic". The projects thus aims to contribute to prescient debates in development studies, geography, urban studies and public health; and provide a qualitative body of research to the ongoing popular and policy debate on alcohol and its relationship to broader urban concerns in CT, SA and beyond.

Coverage, universe, methodology

Dates of fieldwork: 01 November 2010 - 31 December 2013
Country: South Africa
Method of data collection: Interviews Focus Groups Ethnography Participatory research Participant Observation Secondary data analysis - narrative and discourse analysis Media analysis Descriptive statistics Policy analysis

Jeffrey et al.

Experimental scientific enquiry in the fields of medicine and public health has played key roles in the development of medicine and health services, testing the effectiveness of interventions (be they pharmaceutical, technological or programmatic), and balancing benefits against potential harms. Such clinical trials and innovative public health programmes are being carried out on an increasing scale in the Global South, with considerable potential for development efforts. They can improve the technical inputs into health programmes, and help to produce social infrastructures that facilitate the South becoming active players in the generation and management of innovatory knowledge. Recently, clinical trials activity has shifted significantly towards Brazil, Russia, India and China. Public health interventions are of equal importance, yet have been given much less attention. In this comparative study of three South Asian countries (India, Nepal and Sri Lanka) we focus on a region where growth in these processes is creating new social forms (such as contract research organisations, training courses, consultancies, dedicated units in hospitals and universities and site management organisations) that have not hitherto been studied. Our exploratory qualitative project will illuminate how these social forms are created, managed and sustained in three possibly very different patterns of involvement.

Coverage, universe, methodology
Locke
The reproductive dimensions of rapidly increasing rural-urban migration and its linkages with changes in wellbeing have been rather poorly understood. However serious concerns are emerging with respect to the impact of migration on marriage, child-bearing and child-rearing strategies. These are significant for maternal and child health, for parenting and child development, and because they will profoundly shape the gendered outcomes of new opportunities. The way that migrants manage their reproductive lives is integral to thinking about what economic migration means for poor people. This study focuses on the strategies of low-income rural-urban migrants in Ho Chi Minh City and Hanoi. It will collect 80 life histories from men and women experiencing their peak child-bearing and early child-rearing years including: those living with their spouse; those whose spouse has been 'left-behind' in the rural area; those whose spouse is migrating elsewhere; and those who are separated or are single parents. The life histories will focus on their varied reproductive strategies, migratory and work experiences, and wellbeing over time. In doing so, the study seeks to understand economic migrants and the gendered problems they face not just as mobile workers but as husbands or wives and fathers or mothers too.

Coverage, universe, methodology
Dates of fieldwork: 01 January 2008 - 30 June 2010
Country: Vietnam
Observation units: families and households, individuals
Kind of data: Alpha-numeric, Textual

Method of data collection: Two-part qualitative interviews with 77 purposively selected low-income rural-to-urban migrants in Hanoi and Ho Chi Minh. Further details available in research methodology document.

Porter
The Child Mobility project, based at Durham University, focused on the mobility constraints faced by children in accessing health, educational and other facilities in sub-Saharan Africa. There is a lack of direct information on how these constraints impact on children's current and future livelihood opportunities, and a lack of guidelines on how to tackle them. The aim of the research was to produce an evidence base strong
enough to substantially improve policy in the three focus countries - Ghana, Malawi and South Africa - and to change thinking across Africa. The project successfully tested and implemented an innovative two-strand, child-centred methodology, involving both academic researchers and 70 young researchers. The research was conducted in eight sites per country: remote rural, rural with services, peri-urban and urban sites in two agro-ecological zones, meaning 24 sites in total. The survey questionnaire covered a wide range of issues, and was conducted with 2,967 children aged 7-18 years (principally 9-18 years), allowing comparisons across sites and countries. Qualitative data collected within the project covered the themes of education, health, activities and transport, based on focus groups and individual interviews with children, parents and other key informants. This enabled a more nuanced understanding than has hitherto been available of the way mobility and transport constraints interact with other factors to shape particular young lives in particular places. Users should note that only the survey data are held at the UK Data Archive.

Findings from the research cover topics from pain and negative impacts on education associated with load carrying and other work, to the virtual mobility impacts of mobile phones and the complex interconnections between mobility, gender, work and education. The findings were sufficiently substantial to allow the development of clear guidelines for policy-makers and practitioners.

Main Topics:

Parents/guardians gave responses to introductory questions regarding the socio-demographic background of the household (household composition and residence of children's biological parents, household facilities, ethnic group, religion, etc.). One child per household was then randomly selected to respond to the remainder of the questionnaire.

Topics covered with child respondents include:

- schooling: school enrolment, attendance and progress; travel to school (mode of transport, time taken, difficulties encountered), and for children not attending school, barriers to school enrolment and attendance
- health: recent use of health services; travel to health services (mode of transport, time taken, difficulties encountered); barriers to use of health services
- children's work and livelihood responsibilities: tasks undertaken by children (frequency, duration, distances travelled); load-carrying (frequency, weights, difficulties experienced)
- travel, transport and communication: use of different modes of transport (frequency, pros and cons of each); perceived risks associated with use of transport; bicycle riding (experience, bike ownership, obstacles to cycle use); road traffic accidents; ownership and use of phones; ownership of radio and television

Coverage, universe, methodology

Dates of fieldwork: October 2007 - July 2008 - Wet season in all sites.

Country: Ghana, Malawi, South Africa

Observation units: Individuals, Families/households
Kind of data: Numeric data, Individual (micro) level
Children aged 7-18 years (mostly 9-18 years) and their parents/guardians in parts of Ghana, Malawi and South Africa.
Time dimensions: Cross-sectional (one-time) study
Sampling procedures: Quasi-random (e.g., random walk) sample
Number of units: 2,967 cases
Method of data collection: Face-to-face interview; Observation
Weighting: No weighting used.

Rea-Dickens
This research will take place in Zanzibar, where children are expected to show how well they have learned school subjects through formal examinations in English. In Zanzibar, on transition to secondary school, the medium of instruction switches from Kiswahili – the predominant first language - to English, with the first formal examinations administered in Form 2 entirely in English. These examinations are high-stakes; in Zanzibar, currently 50 per cent of students underachieve, failing to progress beyond basic education based on their examination performance. The research focuses on three curriculum areas (Science, Mathematics and English) and aims to: develop insights into the extent to which language factors contribute to poor examination achievement identify factors that will raise the quality of examining processes, thereby enhancing students’ potential to demonstrate fully their conceptual understandings. The project involves a systematic review of research, quantitative analysis of examination performance over 10 years, qualitative analysis of the processes of examination setting, and case studies of (i) how targeted students engage with the examinations, (ii) the impact of classroom support on examination performance, and (iii) teacher assessment. These findings will provide the basis for the development of innovative examination formats to be trialled in schools.

Coverage, universe, methodology
Dates of fieldwork: 20 July 2007 - 19 December 2010
Country: Zanzibar
Observation units: groups, individuals
Kind of data: Alpha-numeric
Method of data collection: The data collection methods are as follows: - Classroom observations: English, Biology, Chemistry, Maths - Ethnographic Field notes - Systematic Classroom Observation Schedules - Questionnaires: Students, Head Teachers - Tests/Examinations: Biology, Chemistry, Maths, English Vocabulary
This project examines a key assumption which underlies one of the main approaches to poverty reduction currently advocated and practised by many international development agencies. Enormous energies and resources are devoted to institutional reform in order to improve the investment climate and thus promote economic growth. The assumption is that institutional reform comes first and investment follows. The project investigates whether this widely assumed sequence applies in the real world or whether, in fact, investment and growth provide the impetus for institutional reform. The project suggests a new way of examining this issue by drawing on comparative intra-country evidence and by combining quantitative and qualitative methods. Vietnam has data on growth, investment and the quality of governance, disaggregated by province and component of governance reform, for five consecutive years. The availability of such panel data makes it possible to examine the sequencing and dynamics of reform. Complementary qualitative research methods will be used to check the quantitative results and explore political dynamics at work. The project was designed and will be executed jointly by a team of IDS Fellows and Vietnamese collaborators.

**Coverage, universe, methodology**

Dates of fieldwork: 01 October 2010 - 15 February 2013

Country: Vietnam

Observation units: other

Kind of data: Alpha-numeric

Method of data collection: Our source of firm data is the Vietnam Enterprise Census. This is an annual census of all firms with more than 10 employees with an additional random sample of smaller firms. The data includes a wide range of information on firm characteristics including: sector, employees, assets, legal type, performance, source of capital, and investment. We have data from 2000 to 2010. The number of enterprises increased rapidly over this period from 42,123 in 2000, to over 250,000 in the later years, reflecting the strong growth in private sector activity over the decade. Unfortunately, matching firms across years for the early years is extremely difficult. However, from 2006, a standardised firm identifier was used allowing us to construct an (unbalanced) panel of firms from 2006-2010. Our final panel dataset contains 391,631 firms. Fifteen percent of the firms are measured for all five years, but others are measured less frequently either because of firm entry and exit during the time period under investigation, or because they fell below the GSO threshold of ten employees for inclusion in the census in a particular year and therefore were only subject to random selection, leading to gaps in the data. To measure the quality of local economic governance we draw on the Provincial Competitiveness Index (PCI). The PCI is a composite index of provincial economic governance which has been calculated each year since 2006 by the Vietnam Chamber of Commerce and Industry (VCCI). It is based upon a mail-out survey to a random sample of firms in each province. The survey asks a range of questions about firms’ perceptions of local economic governance, as
well as concrete measures of their experience of local governance. A particular strength of the PCI is that it focuses on aspects of local governance which are under the control of the provincial administration. It therefore excludes factors such as the quality or availability of national roads, airports and ports which would bias the index in favour of larger cities or provinces. Firm responses to the questions are combined into a set of nine sub-indices reflecting provincial performance on: • Entry costs • Land access and tenure security • Transparency • Time costs of regulatory compliance • Informal charges • Proactivity of the provincial government • Business support services • Labour training • Legal institutions Provincial scores on each sub-index represent the province’s performance on that topic relative to the performance of other provinces in Vietnam. The overall PCI index is a combination of the sub-indices, yielding an overall score for the quality of economic governance in each province. The published PCI scores use a weighted sum of the sub-indices, with weights determined by the influence of each sub-index in predicting different aspects of firm performance. We use this published PCI, since it is observable to decision makers in firms and in government. In addition to the Enterprise Census and PCI data, we also draw on a range of provincial statistics from the GSO Statistical Yearbook.

Theobald et al.

Tuberculosis, the main cause of adult infectious death in the world, requires the examination of several sputum samples for diagnosis and patients need to visit services several times. Patients can only initiate treatment if they have been diagnosed and improving the efficiency of the process is crucial to increasing treatment access. More efficient diagnostic approaches that examine a reduced number of specimens or accelerate their collection to a single day are being developed with support from the World Health Organisation. This study will assess whether these accelerated approaches could lead to increased access to treatment. The study will aim to identify barriers preventing adults from completing the diagnostic process in Nepal, Yemen and Ethiopia and the changes that are required to increase treatment uptake. A combination of quantitative and qualitative methods will be used, including surveillance data collection and surveys to monitor the proportion of patients initiating and completing treatment, and in depth interviews, focus group discussions and case studies to provide an insight into these processes. Services will be modified in response to the research findings to promote equitable and increased access to health services for under-served populations.

Coverage, universe, methodology

Dates of fieldwork: 01 May 2008 - 31 October 2012
Country: Yemen, Nepal, Ethiopia
Observation units: groups, individuals
Kind of data: Alpha-numeric
This study will investigate the nature and extent of teachers' professional development and learning in China as well as the significance of the concept of professional learning communities to evaluate and enhance teacher quality and school effectiveness in rural and urban senior secondary schools. The study also aims to extend previous (single cohort) models of school effectiveness employing innovative quantitative methodology (multilevel modelling) in two crucial ways - by examining improvement in school effectiveness over four consecutive student cohorts (2009-2012) and by investigating the impact of teacher development factors on student outcomes and progress. The research seeks to provide new insights and extend current theories about: The key features of effective teacher development and learning in China, taking into account local contexts and priorities; The value, relevance and utility of the concept of professional learning communities in Chinese schools; The impact of teacher development factors, in addition to pupil, school and contextual factors, on students attainment and progress at school. The studies are intended to lead to the development of new tools to enhance teacher and school evaluation and educational quality and guidelines for implementation via collaboration with key stakeholders.

**Coverage, universe, methodology**

Dates of fieldwork: 01 May 2010 - 30 April 2014

Country: China

Observation units: groups, individuals, other

Kind of data: Alpha-numeric, Textual

Method of data collection: interview, focus groups, survey, administrative records including student examination results

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Walker

The research examines Amartya Sen's contention that shame is an attribute of poverty in all societies. Shame is believed to reduce a person's agency, the capacity to act constructively, and to increase social exclusion which, in turn, curtail economic development. It will take place by in rural Uganda and India, urban China and UK and in small town Norway, supplemented by doctoral work in urban Pakistan, small town South Korea and, possibly, urban Germany. The research has four elements: Exploration of cultural conceptions of poverty and shame through analysis of literature, film and, in Uganda, drama; Learning from people with direct experience of poverty through undertaking depth interviews with adults and children living in low income households. Examination of the role of the public in shaming poor people by conducting focus groups with persons of low-middle status and middle-high status and through statistical analysis of the World Values Survey. A policy analysis of social assistance and other anti-poverty programmes in order to identify language, policy structures and implementation practices likely to moderate or exacerbate any
shame attached to being poor, leading to the preparation of a set of principles to inform the design of anti-poverty policy.

Coverage, universe, methodology
Dates of fieldwork: 01 August 2010 - 31 December 2012
Country: Uganda, India, China, UK, Norway, Pakistan, South Korea, Germany
Observation units: groups, individuals
Kind of data: Alpha-numeric
Method of data collection: In-depth interviews and focus group discussions

Walton, Mukhopadhay
In Indian cities many people live in marginal areas, with insecure housing, and inadequate provision of most public services, such as water and sanitation, electricity, garbage collection and policing. The research project will explore how "failures" in service delivery relate to interactions between individuals, their networks and state actors. Slumdwellers develop strategies to improve their lot, developed from learning from daily struggles, within a local social and political system shaped by unequal relations of power and status. The project will involve surveys of households in a few low income communities in greater Delhi, extensive interviews of the range of other actors involved (community leaders, politicians, fixers, local "big men", managers and frontline workers in state agencies) and archival work. It will initially involve in-depth work in four communities formed largely from past migrations from rural India. This is expected to be complemented by smaller surveys in several other communities in greater Delhi to place the in-depth work in broader context. The research will provide a deep analysis of the nature and formation of citizenship in marginal areas, and develop practical policy proposals for both state actors and civil society activists.

Coverage, universe, methodology
Dates of fieldwork: 01 August 2010 - 30 September 2012
Country: India
Method of data collection: Household surveys

White and Gaines
This research aims to identify pathways of wellbeing and poverty within rural communities in Zambia and India. It will demonstrate how poverty affects wellbeing and how different constellations of wellbeing in turn affect people's movements into, within and out of poverty. Drawing on the sociology of development and psychology, it adopts a mixed method, cross-cultural longitudinal approach, with qualitative and quantitative data collection across a two year interval, involving 700 respondents. Statistical tests will assess the validity
and reliability of our model of wellbeing. In-depth case studies will gain a deeper sense of people's own understandings and experience. In particular, the research will test a key hypothesis, that social and personal relationships constitute critical drivers of wellbeing in developing countries. The project is rooted in research-policy engagement. It is being undertaken with NGOs committed to incorporating wellbeing into their programmes, and will involve a broader programme of communications activities at national and global level.

**Coverage, universe, methodology**

Dates of fieldwork: 01 August 2010 - 31 March 2014

Country: Zambia and India

Method of data collection: interviews, focus groups, surveys
### 8.1.2 Appendix 3: Analysis of Ansell et al using Spencer et al.’s (2003) framework for assessing qualitative research

**Study being appraised:** Ansell (2009) Averting ‘New Variant Famine’ in Southern Africa: building food-secure rural livelihoods with AIDS-affected young people: Extended Project Report

The appraisal uses the Table format suggested by Spencer et al with the addition of ticks or crosses for positive and negative evaluations.

- ✓ Positive evaluation of indicator; ✗ Negative evaluation of indicator; − Neutral evaluation of indicator

<table>
<thead>
<tr>
<th></th>
<th>a) Appraisal questions</th>
<th>b) Quality indicators (possible features for consideration)</th>
<th>c) Notes on study being appraised</th>
</tr>
</thead>
</table>
| 1 | How credible are the findings? | Findings/conclusions are supported by data/study evidence (*i.e.* the reader can see how the researcher arrived at his/her conclusions; the ‘building blocks’ of analysis and interpretation are evident)  
Findings/conclusions ‘make sense’/have a coherent logic  
Findings/conclusions are resonant with other knowledge and experience (*this might include peer or member review*)  
Use of corroborating evidence to support or refine findings (*i.e.* other data sources have been used to examine phenomena; other research evidence has been evaluated: see also Q14) | ✓ Findings are well grounded in the data collected by the project and the claims to generalisability carefully delimited.  
✓ As a result of their careful delimitation, findings appear logical and credible.  
✗ There is little/no reflection on the resonance of the findings with other knowledge  
− Although the findings draw upon different types of data, no corroborating evidence is brought from outside the study |
| 2 | How has knowledge/understanding been extended by the research? | Literature review (where appropriate) summarising knowledge to date/key issues raised by previous research  
Aims and design of study set in the context of existing knowledge/understanding; identifies new areas for investigation *(for example, in relation to policy/practice/substantive theory)*  
Credible/clear discussion of how findings have contributed to knowledge and understanding *(e.g. of the policy, programme or theory being reviewed)*; might be applied to new policy developments, practice or theory  
Findings presented or conceptualised in a way that offers new insights/alternative ways of thinking  
Discussion of limitations of evidence and what remains unknown/unclear or what further information/research is needed | ✓ Short literature review sets the research in the context of existing studies on the relationship between AIDS and famine  
✓ Research questions emerge out of a demonstrated need for young people to be ‘taken seriously in poverty reduction strategies’  
– Although the findings are presented in detail, the implications of these findings are not always made explicit  
✗ Findings are positioned in relation to policy implications rather than specific contributions to knowledge (literature)  
✓ The limitations of the evidence are clearly stated (especially relating to generalisability beyond the two field settings). |
| 3 | How well does the evaluation address its original aims and purpose? | Clear statement of study aims and objectives; reasons for any changes in objectives  
Findings clearly linked to the purposes of the study – and to the | ✓ The study’s aims and research questions are clearly set out |
| 4 | Scope for drawing wider inference – how well is this explained? | initiative or policy being studied
Summary or conclusions directed towards aims of study
Discussion of limitations of study in meeting aims (*e.g.* are there limitations because of restricted access to study settings or participants, gaps in the sample coverage, missed or unresolved areas of questioning; incomplete analysis; time constraints?) | ✓ Findings are clearly (though often implicitly) linked to the purposes of the study set out in the earlier sections
✓ The reports contains an Executive Summary that directly addresses the research aims
✗ The stated limitations of the study are not directly linked to the research aims |
| 4 | Discussion of what can be generalised to wider population from which sample is drawn/case selection has been made
Detailed description of the contexts in which the study was conducted to allow applicability to other settings/contextual generalities to be assessed
Discussion of how hypotheses/ propositions/findings may relate to wider theory; consideration of rival explanations
Evidence supplied to support claims for wider inference (*either from study or from corroborating sources*)
Discussion of limitations on drawing wider inference (*e.g.* re-examination of sample and any missing constituencies: analysis of restrictions of study settings for drawing wider inference) | ✓ The results include a discussion of the study population and limits to generalisability
✗ The two research sites are introduced but no context/justification for their selection is provided
✓ Little consideration is given to the relationship between findings and wider theory
– As above (1): different sources of data are triangulated within the study, but no external sources are introduced |
<table>
<thead>
<tr>
<th></th>
<th>How clear is the basis of evaluative appraisal?</th>
<th>Discussion of how assessments of effectiveness/evaluative judgements have been reached (i.e. whose judgements are they and on what basis have they been reached?)</th>
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<tbody>
<tr>
<td></td>
<td>Description of any formalised appraisal criteria used, when generated and how and by whom they have been applied</td>
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<td>Discussion of the nature and source of any divergence in evaluative appraisals</td>
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<td>Discussion of any unintended consequences of intervention, their impact and why they arose</td>
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<td></td>
<td>-- Very few assessments of effectiveness are made (assessment is not an explicit aim of the research)</td>
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<td>-- As above</td>
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<th></th>
<th>How defensible is the research design?</th>
<th>Discussion of how overall research strategy was designed to meet aims of study</th>
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<tbody>
<tr>
<td></td>
<td>Discussion of rationale for study design</td>
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<td></td>
<td>Convincing argument for different features of research design (e.g. reasons given for different components or stages of research; purpose of particular methods or data sources, multiple methods, time frames etc.)</td>
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<td></td>
<td>Use of different features of design/data sources evident in findings presented</td>
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<td></td>
<td>Discussion of limitations of research design and their implications for</td>
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<tr>
<td></td>
<td>✓ Research strategy (and adoption of the SLA) is discussed in relation to aims of study</td>
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<td></td>
<td>✓ As above</td>
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<td></td>
<td>✓ The suitability of the research strategy (SLA) and individual methods is argued in detail</td>
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<td>✓ Different methodological features are evident in the presented findings (e.g. drawings)</td>
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<td>7</td>
<td>How well defended is the sample design/target selection of cases/documents?</td>
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<td></td>
<td></td>
<td>Description of study locations/areas and how and why chosen</td>
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<td>Description of population of interest and how sample selection relates to it (e.g. typical, extreme case, diverse constituencies etc.)</td>
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<td></td>
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<td>Rationale for basis of selection of target sample/settings/documents (e.g. characteristics/features of target sample/settings/documents, basis for inclusions and exclusions, discussion of sample size/number of cases/setting selected etc.)</td>
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<tr>
<td></td>
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<td>Discussion of how sample/selections allowed required comparisons to be made</td>
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<td></td>
<td>✓</td>
<td>The drawbacks of the broader research strategy (SLA) and individual methods are presented in detail</td>
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<td>✓ As above (4). The two research sites are introduced but no context/justification for their selection is provided</td>
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<tr>
<td></td>
<td>✓</td>
<td>The sample population is well described</td>
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<td></td>
<td>✓</td>
<td>Rationale for selection is justified in relation to broader research aims</td>
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<td></td>
<td>✓</td>
<td>Sampling is described in relation to the comparative design of the research (AIDS affected and non-affected young people)</td>
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<td>Page</td>
<td>8</td>
<td>Sample composition/case inclusion – how well is the eventual coverage described?</td>
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<tr>
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<td>Detailed profile of achieved sample/case coverage</td>
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<td>Maximising inclusion (e.g. language matching or translation; specialised recruitment; organised transport for group attendance)</td>
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<td>Discussion of any missing coverage in achieved samples/cases and implications for study evidence (e.g. through comparison of target and</td>
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<td></td>
<td>✓ A relatively detailed profile of the achieved sample is described</td>
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<td></td>
<td></td>
<td>✓ Methods were selected with inclusion in mind (for example, justification of participatory</td>
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<tr>
<td>9</td>
<td><strong>How well was the data collection carried out?</strong></td>
<td><strong>Discussion of:</strong></td>
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<td>who conducted data collection</td>
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<td>procedures/documents used for collection/recording</td>
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<td>checks on origin/status/authorship of documents</td>
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<td></td>
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<td>Audio or video recording of interviews/discussions/conversations <em>(if not recorded, were justifiable reasons given?)</em></td>
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<td>Description of conventions for taking fieldnotes <em>(e.g. to identify what form of observations were required/to distinguish description from researcher commentary/analysis)</em></td>
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<td></td>
<td></td>
<td>Discussion of how fieldwork methods or settings may have</td>
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</tbody>
</table>

- **achieved samples, comparison with population etc.)**

- **Documentation of reasons for non-participation among sample approached/non-inclusion of selected cases/documents**

- **Discussion of access and methods of approach and how these might have affected participation/coverage**

- **There is some, limited discussion of missing coverage and the implications of this (one footnote)**

- **As above**

- **There is no discussion of access and approach and how this affected participation**

- ✓ Discussion of who collected data included

- ✓✓Discussion of procedures for data collection are discussed for some activities (participatory exercise) but not others (interviews)

- --Origin of documents – N/A

- ✓✓Audio recording made ‘where appropriate’
<table>
<thead>
<tr>
<th><strong>10</strong></th>
<th>How well has the approach to, and formulation of, the analysis been conveyed?</th>
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<tbody>
<tr>
<td></td>
<td>influenced data collected</td>
</tr>
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<td></td>
<td>Demonstration, through portrayal and use of data, that depth, detail and richness were achieved in collection</td>
</tr>
<tr>
<td></td>
<td>X No description of conventions for taking notes (e.g. during participatory exercise)</td>
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<tr>
<td></td>
<td>X Although the methods themselves are critiqued, their particular influence in the study is not described</td>
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<tr>
<td></td>
<td>✓ A significant amount of depth and detail is presented in the presentation of results, for example through the inclusion of participants’ network diagrams and life histories</td>
</tr>
</tbody>
</table>

<p>| Description of form of original data (e.g. use of verbatim transcripts, observation or interview notes, documents, etc.) |
| Clear rationale for choice of data management method/tool/package |
| Evidence of how descriptive analytic categories, classes, labels etc. have been generated and used (i.e. either through explicit discussion or portrayal in the commentary) |
| Discussion, with examples, of how any constructed analytic concepts/typologies etc. have been devised and applied |
| ✓ Significant description and presentation of original data |
| ✓ Clear rationale for analysis provided in relation to approaches in the literature |
| – Limited evidence is presented of how analytic categories were generated |
| X No explicit discussion of how analytic |</p>
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<tbody>
<tr>
<td><strong>11</strong></td>
<td><strong>Contexts of data sources – how well are they retained and portrayed?</strong></td>
<td><strong>concepts were applied</strong></td>
</tr>
<tr>
<td></td>
<td>Description of background or historical developments and social/organisational characteristics of study sites or settings</td>
<td>– Limited discussion of background and history of study sites</td>
</tr>
<tr>
<td></td>
<td>Participants’ perspectives/observations placed in personal context (<em>e.g.</em> use of case studies/vignettes/individual profiles, textual extracts annotated with details of contributors)</td>
<td>✓ Some personal context is provided to presented data, e.g. textual and visual extracts</td>
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<tr>
<td></td>
<td>Explanation of origins/history of written documents</td>
<td>– Written documents – N/A</td>
</tr>
<tr>
<td></td>
<td>Use of data management methods that preserve context (<em>i.e.</em> facilitate within case description and analysis)</td>
<td>✓ Preservation of context is described as a key factor in the selection of appropriate methods of analysis</td>
</tr>
<tr>
<td><strong>12</strong></td>
<td><strong>How well has diversity of perspective and content been explored?</strong></td>
<td>✓ Very limited discussion of diversity in relation to sample design</td>
</tr>
<tr>
<td></td>
<td>Discussion of contribution of sample design/ case selection in generating diversity</td>
<td>✓ Diversity of perspective/experience is well documented in the results, and emerges as a key finding</td>
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<tr>
<td></td>
<td>Description and illumination of diversity/multiple perspectives/alternative positions in the evidence displayed</td>
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<td></td>
<td>Evidence of attention to negative cases, outliers or exceptions</td>
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<tr>
<td>13</td>
<td>How well has detail, depth and complexity (i.e. richness) of the data been conveyed?</td>
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<td></td>
<td>Typologies/models of variation derived and discussed</td>
<td></td>
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<tr>
<td></td>
<td>Examination of origins/influences on opposing or differing positions</td>
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<tr>
<td></td>
<td>Identification of patterns of association/linkages with divergent positions/groups</td>
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<tr>
<td>✓</td>
<td>As above – attention is given to different accounts</td>
<td></td>
</tr>
<tr>
<td>✓</td>
<td>Terms and concepts adopted by the study from the SLA are justified and critiqued</td>
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<tr>
<td>✓</td>
<td>Some portrayal of nuance and intricacy in the data (e.g. through the presentation of divergent life histories)</td>
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<tr>
<td>✗</td>
<td>No use of models/typologies of variation</td>
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<td></td>
<td>Limited discussion of potential origins of differing positions (relating to AIDS exposure)</td>
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<td></td>
<td>Limited discussion of patterns related to divergent positions (the results argue an absence of pattern)</td>
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</tbody>
</table>
| 14 | How clear are the links between data, interpretation and conclusions – i.e. how well can the route to any conclusions be seen? | Clear conceptual links between analytic commentary and presentations of original data (*i.e. commentary and cited data relate; there is an analytic context to cited data, not simply repeated description*)

Discussion of how/why particular interpretation/significance is assigned to specific aspects of data – with illustrative extracts of original data

Discussion of how explanations/theories/conclusions were derived – and how they relate to interpretations and content of original data (*i.e. how warranted*); whether alternative explanations explored

Display of negative cases and how they lie outside main proposition/theory/hypothesis etc.; or how proposition etc. revised to include them | ✓ Logical conceptual links are made between the analysis and presentation of data – relating, e.g. to broader discussions of livelihood activities

✓ Some discussion of why particular significance is assigned to specific aspects of data (e.g. participatory drawings)

− Explanations are initial and exploratory rather than concrete. Limited exploration of alternatives

− N/A – diversity is part of the main proposition | − Limited linkages between concepts and data made

✓ Inclusion of some short illuminating extracts and observations
<table>
<thead>
<tr>
<th></th>
<th>How clear and coherent is the reporting?</th>
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<tbody>
<tr>
<td>15</td>
<td>Demonstrates link to aims of study/research questions</td>
<td>✓ Data is reported in direct relation to research questions</td>
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<tr>
<td></td>
<td>Provides a narrative/story or clearly constructed thematic account</td>
<td>– Diversity of findings somewhat restricts the strength of the narrative/story, though certain themes come through strongly</td>
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<td></td>
<td>Has structure and signposting that usefully guide reader through the commentary</td>
<td>✓ Strong, logical structure</td>
</tr>
<tr>
<td></td>
<td>Provides accessible information for intended target audience(s)</td>
<td>✓ Effective presentation of findings in accessible language, assisted by visual aids</td>
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<td></td>
<td>Key messages highlighted or summarised</td>
<td>✓ Effective use of summaries and key words to emphasise important messages</td>
</tr>
<tr>
<td>16</td>
<td>How clear are the assumptions/theoretical perspectives/values that have shaped the form and output of the evaluation?</td>
<td>– Limited discussion of the impact of the study's premises and assumptions on the findings (though this comes through implicitly in the introduction of the SLA approach)</td>
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<tr>
<td></td>
<td>Discussion/evidence of the main assumptions/hypotheses/theoretical ideas on which the evaluation was based and how these affected the form, coverage or output of the evaluation <em>(the assumption here is that no research is undertaken without some underlying assumptions or theoretical ideas)</em></td>
<td></td>
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<tr>
<td>Question</td>
<td>Evidence/Case Study</td>
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<td>-------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------</td>
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<tr>
<td><strong>Discussion/evidence of the ideological perspectives/values/philosophies of research team and their impact on the methodological or substantive content of the evaluation (again, may not be explicitly stated)</strong></td>
<td>- As above – the ontological approaches of the researchers comes through implicitly in parts (not explicitly stated)</td>
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<td>Evidence of openness to new/alternative ways of viewing subject/theories/assumptions (e.g. discussion of learning/concepts/constructions that have emerged from the data; refinement restatement of hypotheses/theories in light of emergent findings; evidence that alternative claims have been examined)</td>
<td>- The findings emphasise the need for new ways of approaching policy (e.g. the education of AIDS-affected young people) but not theory</td>
<td></td>
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<tr>
<td>Discussion of how error or bias may have arisen in design/data collection/analysis and how addressed, if at all</td>
<td>✓ No discussion of error or bias</td>
<td></td>
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<tr>
<td>Reflections on the impact of the researcher on the research process</td>
<td>X No discussion of the impact of the researcher on the research process</td>
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<p>| 17 What evidence is there of attention to ethical issues? | Evidence of thoughtfulness/sensitivity about research contexts and participants | ✓ Some sensitivity was shown to research participants – for example through the decision not to openly identify AIDS-affected people |
|                                                       | Documentation of how research was presented in study settings/to participants (including, where relevant, any possible consequences of taking part) | X Very limited discussion of how research was presented to participants (e.g. in participatory |</p>
<table>
<thead>
<tr>
<th>18</th>
<th>How adequately has the research process been documented?</th>
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<tbody>
<tr>
<td></td>
<td>Discussion of strengths and weaknesses of data sources and methods</td>
</tr>
<tr>
<td></td>
<td>Documentation of changes made to design and reasons; implications for study coverage</td>
</tr>
<tr>
<td></td>
<td>Documentation and reasons for changes in sample coverage/data collection/analytic approach; implications</td>
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<tr>
<td></td>
<td>Reproduction of main study documents (e.g. letters of approach, topic guides, observation templates, data management frameworks etc.)</td>
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<thead>
<tr>
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<th>exercise)</th>
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<tbody>
<tr>
<td></td>
<td>✓ As above (6): the strengths and weaknesses of data sources and methods are presented (in the context of the SLA)</td>
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<tr>
<td></td>
<td>✗ No documentation of changes to design</td>
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<td>✗ No documentation of changes to</td>
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<tr>
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<th>participant(s)</th>
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<tbody>
<tr>
<td></td>
<td>Discussion of confidentiality of data and procedures for protecting</td>
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<tr>
<td></td>
<td>Discussion of how anonymity of participants/sources was protected</td>
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<td></td>
<td>Discussion of any measures to offer information/advice/services etc. at end of study (i.e. where participation exposed the need for these)</td>
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<td>Discussion of potential harm or difficulty through participation, and how avoided</td>
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<th>exercise)</th>
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<tbody>
<tr>
<td></td>
<td>✓ No documentation of consent procedures</td>
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<td></td>
<td>✗ No discussion of confidentiality</td>
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<td></td>
<td>✗ No discussion of anonymity</td>
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<td></td>
<td>✗ No discussion of measures to offer information/advice post-study</td>
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<td></td>
<td>✗ No discussion of potential harm of participation</td>
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<td>sample/approach</td>
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<tr>
<td>✓ Reproduction of some study documents (surveys, samples) in the appendices</td>
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