LONG TERM PERSPECTIVES ON DEVELOPMENT IMPACTS IN RURAL ETHIOPIA: WIDE3 STAGE 2

STAGE 2 ANNEX 6:

METHODOLOGY

FEBRUARY 2013

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1. Introduction

This Annex describes progress on the development of the WIDE3 methodology during the Stage 2 project[1]. Section 2 describes the long-term perspective we are taking on modernisation and development in Ethiopia. Section 3 outlines the fundamentals of the complexity social science paradigm which underpins our research approach while Section 4 shows how we have applied these fundamentals during the Stage 2 process and what we have learned in the process.

2. A long-term perspective on development in Ethiopia

2.1. A rapid history of planned development in Ethiopia since the late 19th century

Development is a process which involves dramatic changes in the way all the people in a society live. Structural changes, which have social, economic, political and cultural dimensions, are matched by changes in the ways in which people make a living, reproduce themselves, organise, make and implement political decisions, and think. The histories of countries which are considered developed today show us that there have been different routes to development dependent on how the particular country's historical trajectory interacted with the evolution of the global system. Broad lessons we can take from these trajectories are that history and path dependence matter, power matters, and culture matters, and these are themes which underpin our research approach.

Ethiopia's history of planned agricultural development goes back to the end of the 19th century. Agricultural innovations, such as better farming practices and new tree species, rubber and eucalyptus, were introduced in the 1890s with the assistance of expatriates. Emperor Menilik established a Ministry to develop agriculture and improve resource management in 1908 and such development efforts continued through Haile Selassie's reign. These modernising interventions intensified during the 1960s but were mainly directed to landlords, commercial farmers and smallholders in and around larger project areas. (Taye Assefa, 2008)

Thus, while there had been Government interventions to modernise selected rural communities it was not until the mid-1970s that the new Derg regime (1974-91) set out with the intention of modernising all rural communities through the establishment of Peasant Associations or *kebeles* through which policy and development interventions were to be implemented. The Derg's policy to deal with the spatial contradictions of Ethiopian statehood involved a project of *encadrement* which rapidly incorporated people into structures of control. This resulted in a local government system, built on peasant associations, which brought at least the agricultural areas into a national administrative structure. The Peasants' Associations acted as an interface between Government and local communities, although PA boundaries did not always capture one cohesive community and sometimes divided such communities.

A fundamental goal of the Derg regime was the reduction of social inequality. The nationalisation of land in 1975 replaced a landlord system with a socialist one and during the period there was legislation and the promotion of campaigns aimed at reducing various culturally-embedded status inequalities related to gender, age, ethnicity, religion, and occupation, though the special needs of pastoralists were not recognised. The Derg developed socialist policies and programmes based on the model of the USSR to penetrate every aspect of rural life and *kebeles* were increasingly used to

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[1] This is the fourth paper on the WIDE3 methodology. In Stage 1 an Inception methodology paper (Bevan, 2009) and a Final Report methodology Annex (Bevan, 2010) were produced. In Stage 2 an Inception methodology paper was also produced (Bevan, 2012)

pursue a range of campaigns and mobilisations. In 1984 a vanguard single party, the Workers' Party of Ethiopia was established.

The 1975 land reform abolished landlords and private ownership of land. Peasants organised into Peasants' Associations were given access to State-owned land up to a maximum of 10 hectares. Policies introduced during the 1980s included villagisation and resettlement, which were often forced, the banning of wage labour and migration, the collectivisation of land and labour via Producer Co-operatives, the collectivisation of input provision and output sale via Service Co-operatives, an Agricultural Marketing Co-operative which set grain quotas for each household to sell to it at a fixed (low) price, 'forced labour' for community projects, taxes and contributions for a range of campaigns, and conscription.

The villagisation programme moved thousands of peasants from scattered homesteads to villages which they built themselves. In many places this was primarily a security and control programme though it was also argued that villagisation would make it easier to provide infrastructure such as clean water and electricity, and services including health and education and in some places this was the case. Local social organisations were disrupted, religious activity was discouraged and controlled in various ways and many customary practices were suppressed. New women and youth organisations linked to the *kebele* were set up and community-based organisations, such as burial associations, were often co-opted to implement government plans. There was also a programme for changing the way rural people thought and they were frequently called to compulsory meetings to listen to socialist ideological messages of various kinds.

Following the fall of the Derg in 1991 the Transitional Government of Ethiopia was replaced in 1995 by the Federal Democratic Republic of Ethiopia and a process of economic recovery began. However in 1999 real GDP per capita was reportedly no higher than it had been in 1961 (see Figure 1) and while the government had been devoting increasing funds to the education and health sectors this expenditure declined during the 1998-2000 war with Eritrea, mostly as a result of a reduction in aid.

Figure 1: Estimates of real GDP per capita in Ethiopia 1961-2005
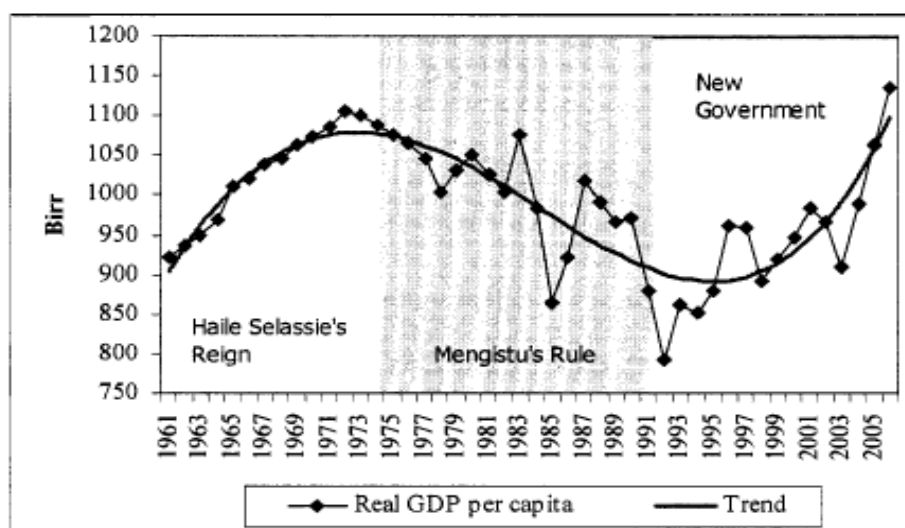
Source: Dom 2009 - World Bank Country Economic Memorandum 2007 (WB CEM 2007)

Since the 2003 drought there has been an acceleration in rural interventions of all kinds related to the SDPRP (2003-5), PASDEP (2005-2010) and GTP (2011-14) and associated with an increasing aid budget, a significant proportion of which was disbursed through a number of the large donor-government programmes described in the Stage 1 and 2 Policy Papers (Dom, 2009; Dom and Carter, 2011). Major changes were noted from a national perspective: high economic growth rates for

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consecutive years; high inflation rates towards the end of the period; major expansion in public services; and political reform and governance changes.

2.2.   The WIDE3 long-term perspective

The WIDE study began with what is now known as WIDE1 in 1994 when fifteen village studies (Bevan and Pankhurst 1996a and 1996b) were launched in communities which had been selected by economists for the Ethiopian Rural Household Survey. Their plan was to institute regular visits to a panel of households in communities identified as exemplars of the main rural livelihood systems found in Ethiopia at the time. The communities chosen were all agricultural and in the four central Regions. In 2003 we undertook a second round of studies (WIDE2) in the fifteen communities and simultaneously in three new agricultural sites, added to the panel by the ERHS economists in 1999 as exemplars of new agricultural livelihood systems, and two pastoralist sites. We chose these because anthropology Ph Ds conducted in the areas would give us an idea of what had been going on in the communities in the1990s.

Map 1: The twenty WIDE sites
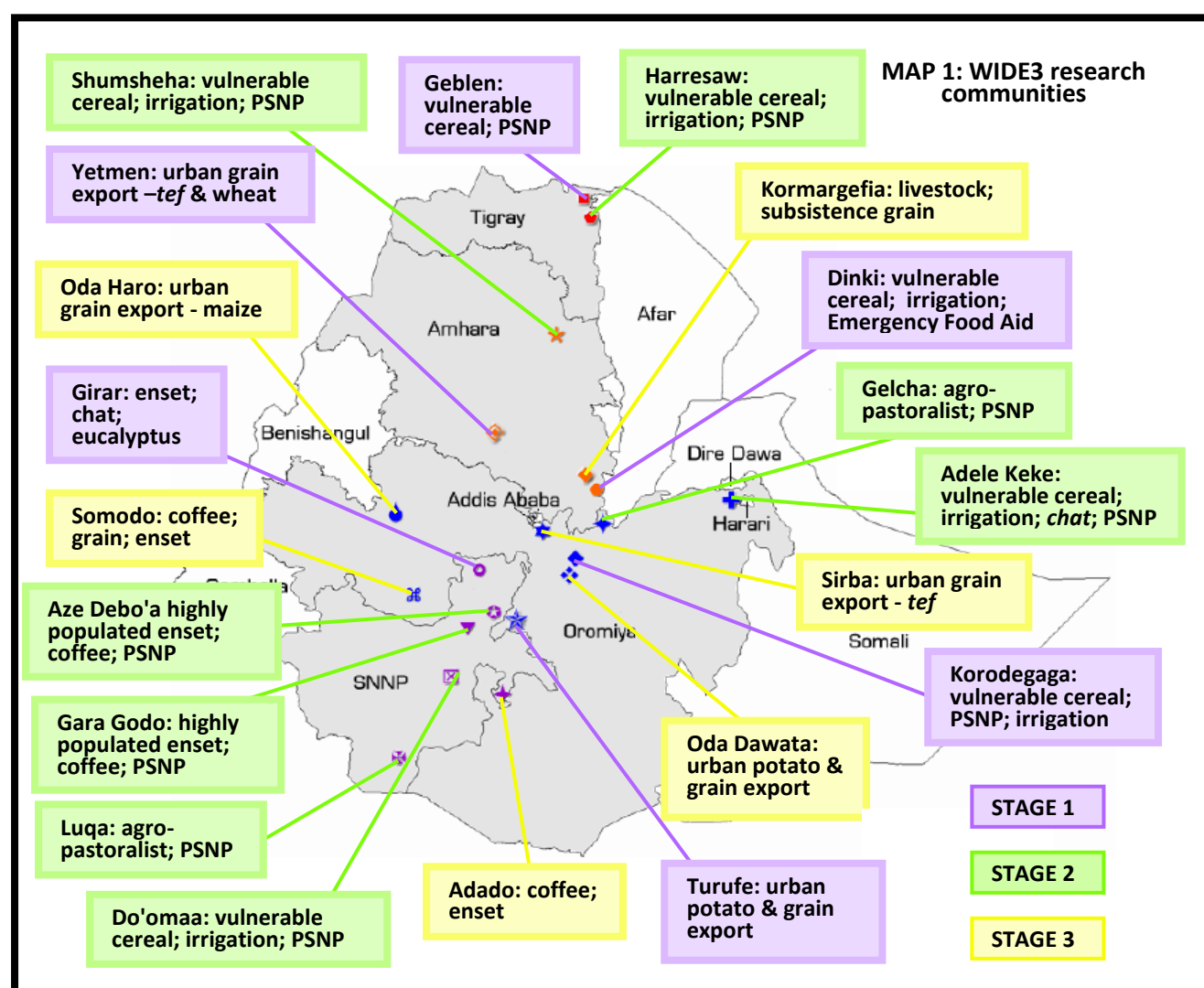
In 2008 we approached donors with a proposal to re-visit the twenty communities to explore their longer-term trajectories and the contribution made to them by development interventions, particularly those related to the government poverty reduction and growth strategy plans implemented with increasing donor funding. Stage 1 lasted from November 2009 to August 2010

and covered the six communities about which we had most information. Three of these were drought-prone and food-insecure and three were self-sufficient. For Stage 2 (August 2011-December 2012) we selected the eight remaining drought-prone and food insecure sites, seven of which were in PSNP weredas and two of which were pastoralist. Stage 3, covering the remaining six rain-secure, higher potential sites is scheduled to take place from January to December 2013.

WIDE1 1995

During WIDE1, following a period of desk research and the gathering of some rapid assessment material by the ERHS site managers, male researchers went for a month to each of the fifteen sites with a draft village profile for correction and supplementation organised under ten headings:
1. Locating the site in time and space
2. Seasonal activities and events
3. The farm economy
4. Off-farm income activities
5. Reproductive activity
6. Consumption
7. Local institutions and organisations
8. Beliefs and values
9. Social stratification and conflict
10. Relationships with other communities and the wider society

Section 10 included questions on the effects of government policies, and government and NGO activities in the community.

WIDE2 2003

In each of the twenty sites one male and one female researcher made data separately for male and female respondents in eight Modules using a protocol approach supported by participatory observation over a period slightly longer than a month. There were eight Modules with varying numbers of Protocols.
1. Introduction to people and society
2. Social structure and dynamics
3. Site history – reproduction and change: social; economic; cultural; and political
4. Policy regime interfaces
5. Crises and local responses: famine; child malnutrition, illness and death; HIV-AIDS; conflict
6. Local concepts related to wellbeing and harm
7. Class, status, power and inequality
8. Changes in being and inequality

We also asked the researchers to collect proverbs and sayings ('oral wisdom') and take photographs of particular things and activities.

Module 4, Policy Regime Interfaces, had seventeen Protocols on government policies which may have impacted on the community with the following objectives:

1. To explore how government, donor and NGO policies have been implemented (or not) in the site in the last two years
2. To explore how these implementations are participated in, experienced and evaluated by some of those they are aimed at
3. To establish a history of relief and development interventions since 1991

Together the information from WIDE1 and WIDE2 has been used to sort the communities into types to enable a range of comparisons, identify similarities and differences in local intervention histories

and local views of them, and to construct points of reference for each community to track changes from the early 1990s through 2003 to early 2010 (WIDE3 Stage 1) and late 2011 (WIDE3 Stage 2).

The WIDE3 research – learning by doing

Being the first the Stage 1 project was exploratory in many areas. We learned a lot about the communities, the usefulness of theoretical frameworks, and some things that were right and wrong about our fieldwork planning, research instruments, analysis process, and write-up plan which informed our Stage 2 project. Stage 2 was also somewhat exploratory while generating notably better data, a deeper understanding of how Ethiopia's rural communities are working and where they might be heading, and a number of new ideas. Stage 3 will be a dry-run of a revised fieldwork plan, set of instruments, and analysis and write-up plan, which, with some final tweaking once the final report is written, will be disseminated for adaptation and use by community researchers within and beyond Ethiopia. While developing Stage 2 we made sure that the research questions were the same and the data comparable with Stage 1, enabling us to compare across the fourteen sites (see for example Section 3 of the Final report).

3. A complexity social science methodology

3.1.   Introduction

Complexity social science approaches are appropriate for the study of both longer-term continuities and change processes which may be rapid. They can also be used to generate case-based narratives and statistics to underpin the design of policies adapted to different kinds of community, household or person, and related practical policy-relevant conclusions and proposals. Such approaches recognise the importance of discovery in the social sciences (Ragin 2000), that time matters (Abbott 2001a), that the world is complex and frequently non-linear (Byrne 1998), and that this complexity is structured and energised by the interactivities through time of social actors differently located in unequal social and cultural structures (Archer 1995, 1996, 2000). It is a complexity which is mostly qualitative: differences in kind are often more important than quantitative differences of amount or number (Smith and Jencks 2006).

3.2.   <u>How</u> do you know what you think you know? - The Foundations of Knowledge Framework

Sound empirical research frameworks require transparent philosophical and methodological foundations and those designing research projects should be in a position to justify their choice of position in nine scientific areas.

1. Domain or focus of study: what exactly are you interested in?
2. Values/ideology: why are you interested?
3. Ontology: how do you understand the nature of reality?
4. Epistemology: how can you know about that reality?
5. Theory: how can you understand/explain your object of study?
6. Research strategies: how can you establish what is really happening?
7. Empirical conclusions: what (kinds of) conclusions do you want to draw from your research?
8. Rhetoric: how do you inform (which) others about your conclusions?
9. Praxis: what to do? who should do it?

The Foundations of Knowledge Framework (FoKF) set out in Figure 2 (Bevan, 2007 & 2009) shows the linkages between these nine elements.

Figure 2: The Foundations of Knowledge Framework

Source: Bevan 2009: 470
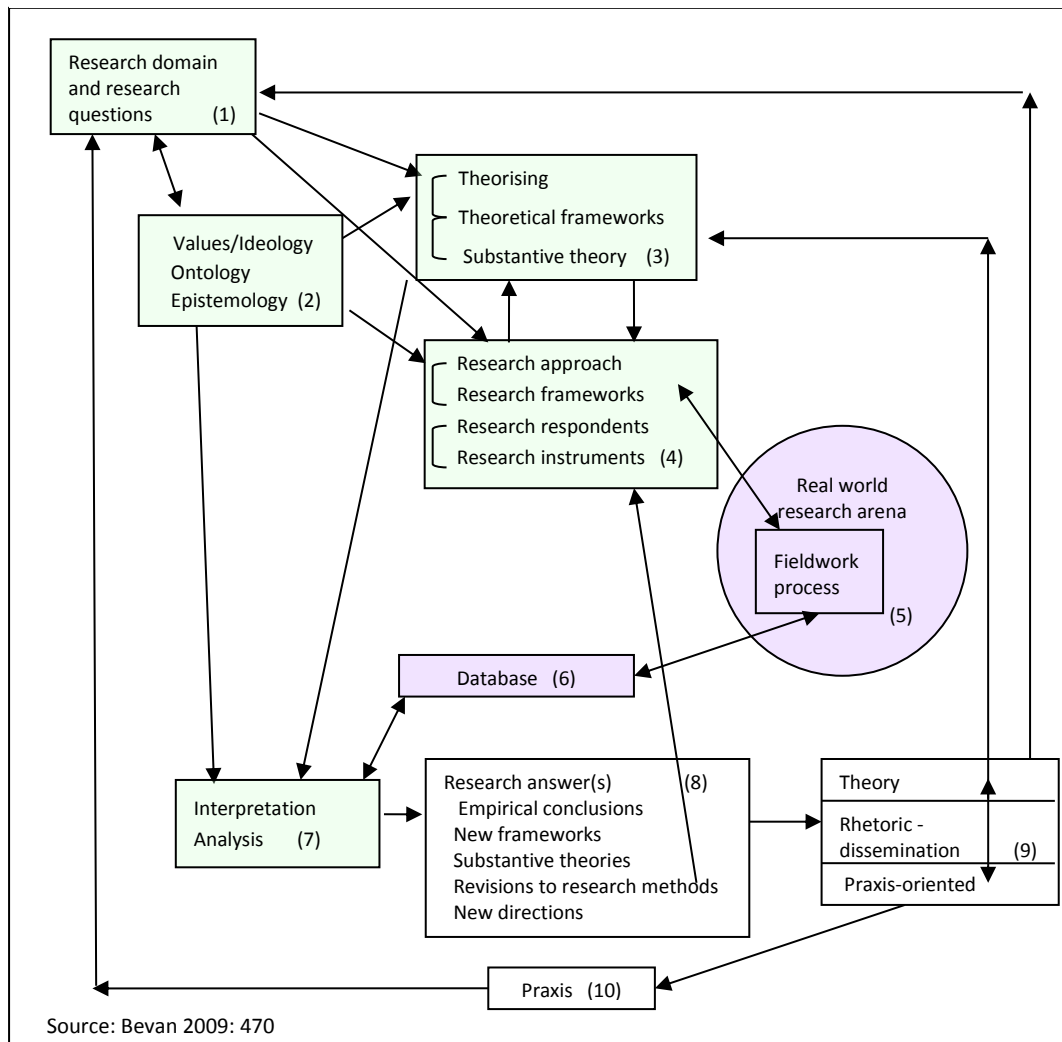
In the remainder of this section we describe the nine areas of the framework using features of the WIDE research to illustrate them.

Our **research domain (1)** is modernisation and change in Ethiopia's rural communities since 1991 with a particular focus on the roles played by development interventions since 2003. Our **ideological** commitment **(2)** is to empirical research that is (1) relevant for improving the life chances of the poorest and most vulnerable people (2) scientifically important and (3) helps well-motivated practitioners at all levels to understand how their area of intervention really works, including potential unintended consequences of their actions, in order that they can act more efficiently and equitably.

Using ideas from complexity science and complexity theory our complexity social science approach[2] pays attention to **ontology (2)** – what is the world *really* like? In relation to that part of the world we are looking at here – rural communities and their members – we conceptualise them as complex social and human systems which are open, as they depend on and interact with their environments, and dynamic, as they co-evolve with the open systems which constitute their contexts. From complexity ontology we take a number of key messages. Initial conditions matter and trajectories

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[2] For more on this see Bevan 2010a and 2010b.

are path dependent. Systems may be nested and/or overlapping in which case they co-evolve. Their elements have different timeframes and also co-evolve with the system. Systems can change rapidly but systems with strong control parameters[3] and conservative feedback mechanisms are resistant to change.

Complex social systems have material, technological, social, economic, political and cultural dimensions and are constituted by elements in relationships. Structurally embedded heterogeneous creative agents with interests are organised in unequally structured sub-systems. In the development world these sub-systems include households, communities, kingroups, formal and informal enterprises, NGOs, political parties, donors, government, transnational companies etc. System structures involve unequal role, relationship and resource structures and have varying connectivity in different parts of the system. In some parts networks of relationship may be dense, in others there may be structural holes, and some people may be excluded from participation in many areas of the system.

We are also clear about our **epistemological** assumptions **(2)**. Our approach to knowledge is that it too is imbricated in historically changing complex systems, so that what we can know is contingent and provisional, pertaining to a certain context and a certain time-frame. However, this does not mean that 'anything goes'. We are committed to the institutionalised values and methodological rules of social science which include establishing an Evidence Base to which we can return if questions arise.

Complexity theory tells us a number of things of relevance about ways to know about complex systems. First that research is usually exploratory rather than confirmatory, the aim being to identify (1) patterned similarities and differences among the complex systems we are studying and (2) common processes and mechanisms which play out differently in different contexts rather than 'laws' or generalisations. Frameworks and methods depend strongly on the research question. There is continuous interaction and iteration between ideas and the field. Quantitative and qualitative data are seen as different kinds of 'traces' of the passage of the communities through time. Quantitative data tells you *how much* of the research object of interest there is while qualitative data tells you *what kind* of thing it is.

More than one description of a complex system is possible; different descriptions decompose the system in different ways. As shown later in the paper the adoption of multiple perspectives which each focus on a different level of community structures and dynamics generates a rich structured dataset for establishing how the system has worked as a whole.

We make use of three kinds of **theory (3)**: theorising, theoretical frameworks, and substantive theory. *Theorising* involves using the ideas and theories of other scholars; 'building on the shoulders of giants'. *Conceptual frameworks* are a vital element in exploratory research: concepts must be rigorously defined and their links with other concepts spelled out, and once this is done the framework provides a guide for the design of the research approach to data making and interpretation and analysis. The empirical findings produced through the use of frameworks can be used in a number of ways which are described below. *Substantive theories* are to do with causal understanding or explanation. In complex social systems causation is complex; what happens is usually the result of the interaction of multiple causes which also interact with the system's context. Furthermore, the same outcome in a set of systems may result from different configurations of causes. In looking at community trajectories we use the complexity science concept of control parameters which are those aspects of the system that have a governing influence on its trajectory.

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[3] in the case of rural communities these might, for example, be the weather, a well-entrenched culture, an irrigation system, and/or a hierarchical unequal power structure.

Our **research approach (4)** uses case-based methods. Case-oriented research based on a complexity social science approach can combine qualitative and quantitative interpretation in an integrated fashion offering a policy-relevant alternative to the currently dominant unconnected qualitative and quantitative research approaches. In the traditional quantitative approach variables (particular features of cases, for example education, income etc) are seen as causal agents while cases (people, households, firms, countries) are seen simply as sites for measuring variables. Analysis of quantitative data becomes a contest between variables to see which are 'significant'. In the traditional qualitative tradition cases are seen as unique instances which have to be understood in their own terms. Neither tradition is able to generate convincing policy narratives.

Case-oriented research uses a different conception of measurement which depends on classification; this conception fits with the way in which people think. In everyday life we constantly use classifications or typologies to guide our responses to other people and their actions, events etc; these classifications are used to answer questions like what *kind* of person is this? What *kind* of event am I participating in? etc. In our research we are asking what *kind* of community/household/ person/ core livelihood system/irrigation / migration/culture (etc) is this a case of.

The research process involves using the conceptual framework to develop a *research framework* which identifies:

1. The areas in which questions are to be asked: for example livelihoods, community-government relations etc;
2. The level of focus: for example person, household, community; and
3. The mode of asking questions: for example survey, protocols to guide semi-structured interviews, participant-observation, collection of documents, photographs etc.

The kinds of *respondents to* be interviewed about the different areas have to be identified; in our research the aim is to get multiple perspectives. For example, in the area of community farming interviews with farmers, their wives and children, Development Agents, traders, *kebele* officials, *wereda* officials, and a number of others have provided a rich triangulated picture. The *research instruments* have to be designed; after each separate WIDE project research instruments have been re-designed in the light of theoretical and practical learning.

The **fieldwork (5)** in the WIDE research has been done by trained Ethiopian social scientists; from the start of WIDE2 we sent both male and female researchers to each site and in WIDE3 they have been regularly consulted about the final design of the research instruments, while we have encouraged them to choose a topic which interests them and design a related research instrument.

In both quantitative and qualitative studies after the data have been made through conversations with respondents a **database (6)** has to be constructed. In WIDE1 data came from secondary sources, a set of rapid assessment tools, and ethnographical writing. In WIDE2 the Research Officers completed Protocols by hand and the responses were entered into an ACCESS database. In WIDE3 Stage 1 all Research Officers eventually used computers to type up their reports in WORD. By Stage 2 all the fieldworkers were computer literate and advances in the size and speed of computers made handling the vast amounts of data much easier. In Stage 1 the data from two sites was put into the NVivo software package which enabled multiple coding to 'nodes' (such as latrines) and rapid call-up of data from all respondents across the Reports to inform the writing of the Community Reports. In Stage 2 the data from all sites was put into NVivo and multiple coding of the data enabled the writing of the eight Community reports.

The approach to **interpretation** and **analysis (7)** of the data is case-based. Comparative case analysis can take four forms (Tilly, 1985). One case can be analysed as in terms of (i) its location in a larger system or (ii) its internal dynamics and context. Two or more cases can be compared in a search for (iii) diversities and/or (iv) regularities. In our research we are using all four approaches.

Structural location: communities are spatially, economically, politically, culturally and historically located in wider complex systems. The relationships which each community has with these encompassing systems have a bearing on both the substance and the style of what happens.

Internal dynamics: since communities are historically located each is on some kind of trajectory constructed by the path- dependent actions and social interactions of the social actors involved. Community trajectories can change direction as a result of mainly internal changes, linked internal and contextual changes, or big changes in context.

Diversities and regularities: increasing interest in case-based research (e.g. George and Bennett, 2005; Byrne and Ragin, 2009) has led to recommended procedures for different types of cross-case comparison to identify common causal mechanisms, produce descriptive typologies sorting cases into different kinds, and typological theory development.

Cross-case comparisons to identify causal mechanisms include:
1. Comparing similar and differing (deviant) cases in what was thought to be the same type.
2. Comparing most similar cases with differing outcomes.
3. Studying most-likely, least-likely and crucial cases.
4. Comparing least similar cases.
5. Qualitative Comparative Analysis (QCA) which provides analytic tools for comparing cases in larger samples as configurations of memberships of sets and elucidating patterned similarities and differences (Ragin, 2000)

All these approaches can contribute to the development of descriptive typologies and typological theory. 'By contrast to a general explanatory theory of a given phenomenon, typological theory provides a rich and differentiated depiction of a phenomenon and can generate discriminating and contingent explanations and policy recommendations.' (George and Bennett, 2005:235). Typological theory development includes three steps:

Step 1: Deductive typological theorising using existing knowledge.
Step 2: Improvements through an inductive approach using cross-case comparisons and process-tracing.
Step 3: Testing revised theory against new cases and modifying it where necessary.

Research answers (8) are of five different kinds: empirical conclusions, new theoretical frameworks, substantive theories, revisions to research methods and new questions. These answers have to be written-up and presented in **rhetorical** styles **(9)** appropriate to different kinds of audience for example various kinds of theoretical and applied academics, government and donor development policy designers, implementers and evaluators, other practitioners, the communities under research, and the general public via various forms of media.

As argued above the complexity social science framework is highly suitable for **praxis**[4]-related **(10)** research. 'Complexity is essentially a frame of reference - a way of understanding what things are like, how they work, and how they might be made to work….. For me the great advantage of thinking about things in a complexity mode is that it opens up for us the exploration of what futures we might make come to pass. That is what social policies are about - or at least what the best sort of social policy has attempted to do' (Byrne, 2002: 8). An important activity is to establish what is possible (and not possible) for a particular case/system or ensemble of cases/systems.

It is also useful to recognise that policymakers and other practitioners are themselves embedded in dynamic and open complex social systems which affect the way they relate to social scientific

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[4] 'the process by which a theory, lesson, or skill is enacted, practised, embodied, or realised. "Praxis" may also refer to the act of engaging, applying, exercising, realizing, or practising ideas' *Wikipedia*

research, and to experiment with ways of connecting with them that fit with the demands generated by the way their systems work.

4. Applying the FoKF in Stage 2

I developed the FoKF in the mid-2000s (Bevan: 2007) and it implicitly informed the design of the Stage 1 methodology (Bevan 2009 and 2010) and the revised version with which we started Stage 2 (Bevan 2012). Having proved its worth the framework is being made transparent in this document. The philosophical assumptions related to values, ontology and epistemology have been spelled out in Section 3. Following some background information on the Stage 2 communities (4.1) in the remainder of this section I spell out the positions we started with in Stage 2 in relation to research questions (4.2) and theory (4.3), describe the research methods (4.4), fieldwork process (4.5), making of the database (4.6) and interpretation and analysis process (4.7), present some new research answers which take the theory forward (4.8), and describe our approach to rhetoric and dissemination (4.9).

4.1. The Stage 2 communities and research plan

Map 2: The Stage 2 sites

Shumsheha: Amhara; vulnerable cereal; recurrent drought; PSNP wereda; 12 km from Lalibela; tourism

Harresaw: Tigrayan; vulnerable cereal; recurrent drought; PSNP; mountainous; 2,700 metres a.s.l.

Gelcha: Karrayu; pastoralist 'in transition'; PSNP wereda; very remote

Aze Debo'a: Kembata; enset; densely populated; migration; (62% popn female); PSNP wereda; hilly; rain Jan-Sept; floods; erosion; 4km Durame; main road

Adele Keke: Oromo; vulnerable cereal; chat; recurrent drought; PSNP wereda; near road Harar – Dire Dawa

Gara Godo: Wolayita; enset; densely populated; PSNP wereda; 11 km Areka; remote

Luqa: Tsamako; pastoralist 'in transition'; PSNP wereda; very remote

Do'omaa: Gamo 60% + Wolayita; vulnerable cereal; semi-arid; PSNP wereda; re-settlement (voluntary); 102 kms Sodo; remote; Protestant 70%

Table 1 shows that four of these drought-prone and aid-dependent sites are in SNNP, two in Oromia and one each in Tigray and Amhara Regions. Cereals provide the staple for four communities while there are two enset-based and two agro-pastoralist core livelihood systems. Two of the sites are very remote, one is remote, one quite remote, two remotish, two are peri-urban. Unlike in Stage 1 where only two of the six sites were inhabited by people of one ethnicity in these sites this is the case for six out of the eight sites. When religious affiliation is considered there is more diversity with five of the sites having two religions.

Table 1: Key Features of the Stage 2 communities

REGION	COMMUNITY	WEREDA	LOCATION	LIVELIHOOD	CULTURES
SNNP	Gara Godo	Bolosso	Remotish but new municipality	Highly-populated enset + migration + coffee + PSNP	1 ethnicity 2 religions
SNNP	Aze Debo'a	Kedida Gamela	Near zone town but remotish	Highly-populated enset + migration + coffee + PSNP	1 ethnicity 1 religions
SNNP	Do'oma	Dera Malo	Nr wereda town but very remote	Vulnerable cereal + some irrigation + migration + PSNP	3 ethnicities 2 religions
SNNP	Luqa	Tsemaina Benna	Very remote	Pastoralist in transition + small irrigation + EFA	1 ethnicity 2 religions
Oromia	Gelcha	Fentale	Near town & main road but remote	Pastoralist in transition + small irrigation + PSNP	3 ethnicities 2 religions
Oromia	Adele Keke	Kersa	Near Haramaya & on main road	Chat + vulnerable cereal – irrigation + PSNP	1 ethnicity 1 religion
Amhara	Shumsheha	Bugna	Near Lalibela	Vulnerable cereal + some irrigation + migration + PSNP	1 ethnicity 2 religions
Tigray	Harresaw	Atsbi	Quite remote	Vulnerable cereal + some irrigation + migration + PSNP	1 ethnicity 1 religion

Table 2 summarises the research plan followed in Stage 2.

Table 2: Stage 2 research plan

	Date	Activities/plans
Stage 2 August 2011 – December 2012 **Eight PSNP communities**	August – September 2011	Paper 1: Stage 2 Methodological Framework and Fieldwork Plan
		Paper 2: Macro Level Policies, Programmes and Models Entering Rural Communities – An Update in 2011
		Consultative workshops and meetings with donors
		Final design of research instruments
	September 2011 – February 2012	New fieldwork and preparation of database
	February 2012	Donor consultation
	February-May 2012	Data interpretation and analysis and writing-up
	May-June 2012	Dissemination in Addis Ababa to donors and government
	October/November	Presentation of six papers at International Conference of Ethiopian Studies Workshop for donors using ICES papers
	December 2012	Final report

4.2. Research domain and questions

We started Stage 1 with a small set of research questions (Bevan 2009) which were revised as the research proceeded. These are the research questions from the Stage 2 inception methodology paper (Bevan 2012: 13):

1. In each community what were the *key features of the development situation* in 2010/11?
2. In what ways have the development situations of the communities changed since the mid-1990s? What *modernisation processes* were involved in each of *their trajectories*?
3. What *differences were made* to the trajectories and the communities by *development interventions* and the connections between them between 2003 and 2012?
4. What similarities and differences can we identify in these impacts? How did they *vary among different types of community* and what are the reasons?
5. How did what happened fit with *government and donor models* of how development *should* happen?
6. What do the *longer-term trajectories* of these communities look like? Where have they come from and where might they be going in the next few years?
7. In what ways have recent *social interactions*, relationships and processes across the development interface affected the *implementation and achievements* of the various government and donor programmes?
8. What have been the impacts of modernisation as a whole, and recent development interventions in particular, on the *lives of the different kinds of people* who live in the communities?

4.3. Theory

Theoretical frameworks

Seven perspectives for exploring community systems from different angles were developed at the beginning of Stage 1 to inform the design of the research instruments. They were also used to organise the WIDE1 and WIDE2 data to enable us to trace continuities and changes in the communities from 1995 through 2003 to 2010 (Stage 1) and 2012 (Stage 2). During Stage 1 as the analysis proceeded we developed three conceptual frameworks under two of the perspective headings, and another was developed during the Transition stage (see below). During Stage 1 we also developed five conceptual frameworks for exploring development interventions. All these frameworks informed our work from the beginning of Stage 2.

A perspective provides abstract broad guidelines as to how to look at a community which can be applied anywhere. In any particular empirical research project within each perspective there can be any number of more detailed and locally-informed conceptual/ theoretical frameworks identifying important features and links. It is also possible to use analysis of a particular empirical case to develop abstract frameworks which can be applied anywhere – see for example the youth transition framework in Figure 6 below.

Seven perspectives on complex community systems

Holistic perspectives on the community

1. The community as a whole

Figure 3: Community trajectories
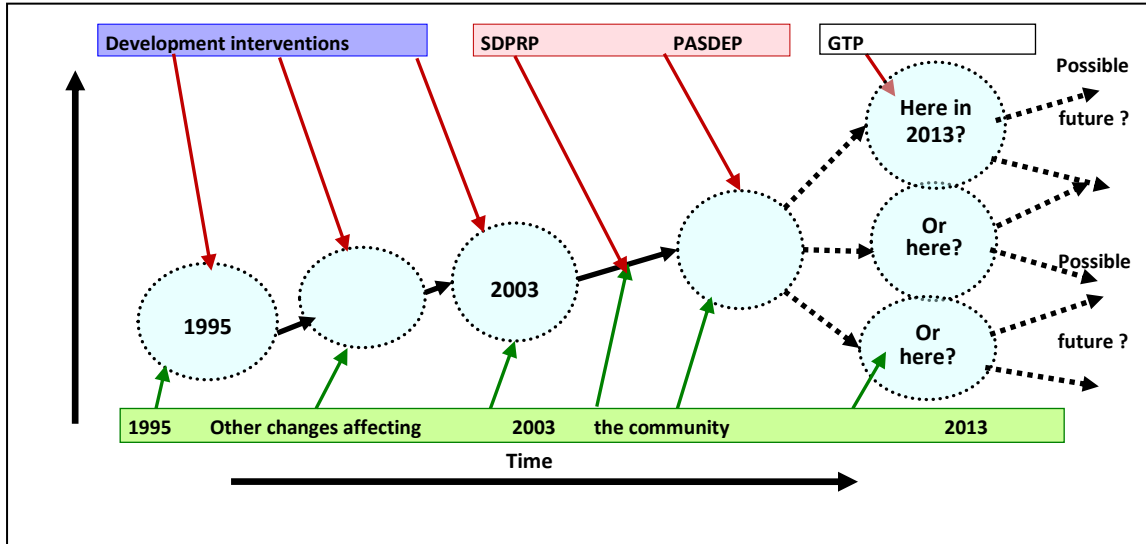
How does the community work as a whole in interaction with its context? What are its control parameters? What kind of community is it? What kind of trajectory is it on (see Figure 3)?

2. The community in the wider context

Where is the community located in encompassing systems: social, cultural, economic and political?

As argued earlier communities co-evolve with contextual and internal systems. The main co-evolving systems explored in this study are Ethiopia as a whole, and the households and people resident in the communities (see Figure 4).

Figure 4: Co-evolution of communities, country, households and people
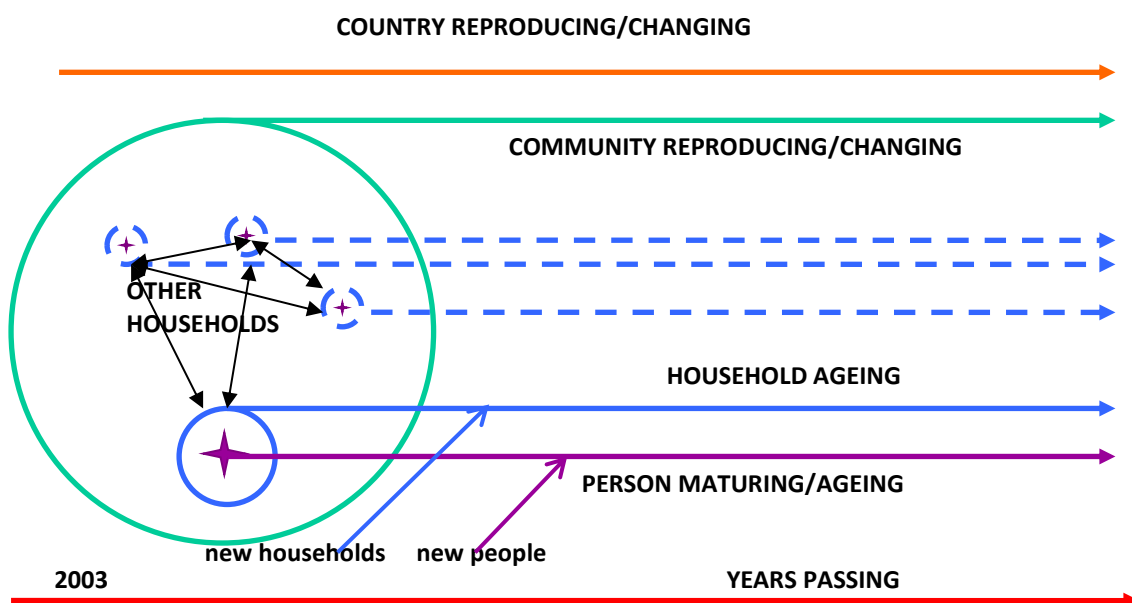
We also think of Regional States, religions, clan organisations, and diasporas as co-evolving open and dynamic complex systems although we only have had time to explore the consequences of their co-evolution in the community settings. To date we have produced one framework which identifies the sources of the modernising ideas which have entered rural communities in recent years (Figure 5).

Figure 5: Customary cultural repertoires under pressure
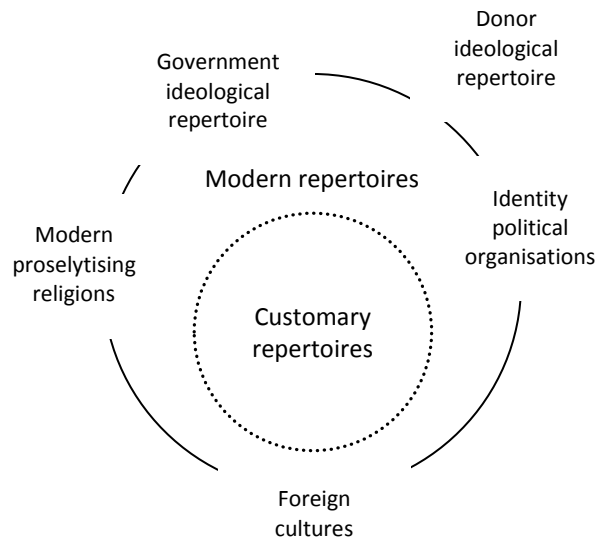
These communities have never been totally cut off from external influences though the degree to which such influences have entered over the years is related to levels of remoteness. Religious missionaries have operated in some parts of the country since the 19th century and since the fall of Haile Selassie local cultures have been increasingly penetrated by a number of different kinds of modern ideological repertoire[5]. Through time aspects of these repertoires have fed into local repertoires in re-iterative processes of cultural 'bricolage', a term that describes 'the muddle' that happens when new rules and ideas meet long-standing ones (Pain and Cantor 2010: 34). Such local cultural muddles include mental models and institutions developed over many years as a result of path-dependent interactions among internal and external actors during which repertoires are adapted in a continual process.

It is possible to look into the muddle and identify two ideal-type cultural repertoires available at any point in time: local customary repertoires and local modern repertoires. Local customary repertoires do adapt but they are slow to change. Given Ethiopia's cultural heterogeneity rural customary repertoires are diverse; however all contain traces of external values and beliefs which entered them to differing degrees during the Imperial era which ended in 1974, the military socialist regime of the *Derg* in power from 1974 to 1991, and the current EPRDF regime which came to power in 1991. Local modern repertoires contain the most up-to-date mental models and institutions accepted by change-leaders in the communities.

Local customary and modern repertoires are promulgated by cultural entrepreneurs. Some people, more likely to be older (and more powerful in the community), use more of the ideas from the customary repertoire, while others, more likely to be younger, may take more from the local modern repertoire, although they may also be influenced by incoming ideological repertoires and cultures that are foreign to the community that are diffused in a less organised way.

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[5] These repertoires combine mental models (ideas) and institutions (norms and rules).

Ideological repertoires are developed externally and inserted into the community (1) directly by 'ideological entrepreneurs' who come to the community to convert people to their ideas, (2) via inhabitants, often young, who have learned about them on journeys outside the community, or (3) by radio, and increasingly television and social media. They include new religious doctrines, ideologies of belonging to 'imagined communities' based on ethnicity/clanship, government ideology, donor/NGO ideology, and diaspora-related ideologies. Some ideas and proposed institutions in these ideologies resonate with customary repertoires while others appear foreign.

The process of penetration by external ideologies has accelerated since the mid-2000s with the government extension services and *wahabbi* Islam and Protestant missionaries being particularly active.

Deconstructive perspectives on the community

3. Households in the community

What is the local cultural ideal for household structures? What kinds of household structures actually exist? What are the important differences among households? How do households relate and interact with other households? What are the local ideal household trajectories? What kinds of household trajectories actually exist?

4. Intermediate social organisation - five domains of power/field of action

Community members are active in five institutional settings which are simultaneously domains of power and fields of action. Different kinds of people have different roles and different decision-making power in the different fields.

1. The livelihood domain:
- smallholder agriculture and agricultural employment
- non-farm business and non-farm employment
- migration and remittances

2. The domain of human re/pro/duction:
- 'producing' people: pregnancy, birth, child-rearing
- 'producing' people: learning, training, formal education
- 'reproducing' (maintaining) people: domestic work, food consumption
- 'reproducing' people: housing, household assets, water, and sanitation
- 'reducing' people: illness, conflict, ageing

3. The domain of social re/pro/duction
- social networks
- social institutions: marriage, circumcision, inheritance, land/labour/oxen exchanges e.g. sharecroppping, etc
- social organisations (including households)

4. The domain of community management
- community-initiated structures for decision-making and implementation
- *kebele* structures
- wereda structures

5. The domain of ideas
- local customary repertoires
- local modern repertoires
- in-coming ideologies, religions, cultures and other ideas

5. Community macro organisation

How is the community structured in terms of class, wealth/poverty, and income? What forms do genderage inequalities and relations take? What other community-specific status markers structure inequality? Depending on the community ethnicity, religion, clan/lineage, length of residence in the community, occupation and/or occupation might be important. Who are the community elites? How do the different elites interact among themselves and with the rest of the community?

6. Social interactions

The community system is reproduced and changed through the day-to-day actions and interactions of its members and incomers. What kinds of people do what in the five domains of power? What kinds of social interactions are involved?

7. Social actors

Each social actor has a genderage, class/wealth position, ethnicity, religion, maybe other community-relevant social statuses, a personality, accumulated human resources and liabilities, and a personal history related to wider community and country histories. How are individuals constrained and enabled by their histories, the roles open to them in the different fields of action, and their relative power positions in local structures of inequality?

DFID funded a Transition Stage between Stages 1 and 2 enabling us to use the rich Stage 1 data to focus on three policy-relevant topics. One of these was the hurdles facing young people as they made the transition from childhood to adulthood. The analysis made use of a new conceptual framework identifying the key boundary-crossings (see Figure 6) facing girls and boys as they enter adolescence and head towards adulthood. The framework identifies four kinds of transition: personal , family-related, work-related, and community-related.

Figure 6: Gendered youth passages to adulthood in rural Ethiopia: boundary-crossings
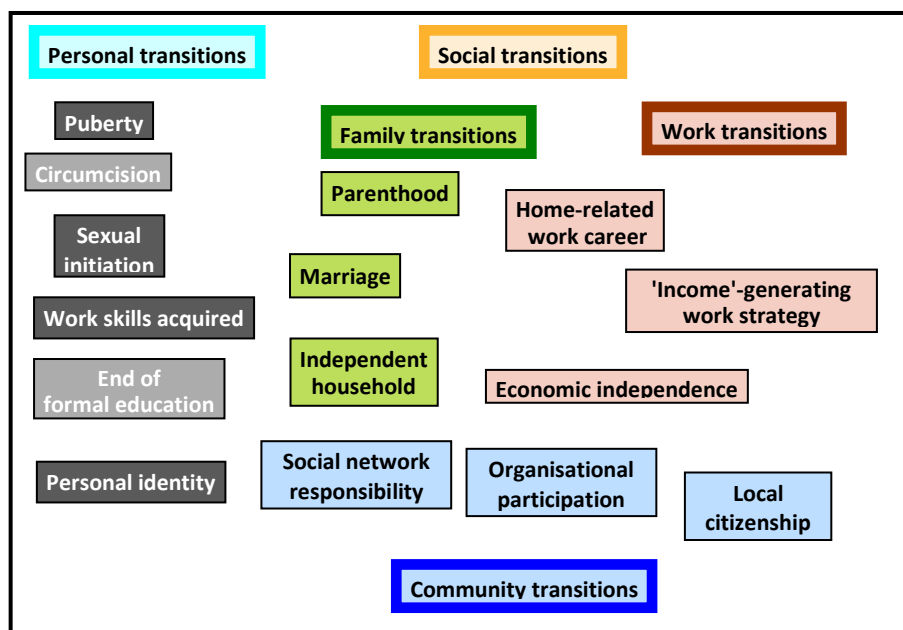
Five frameworks for exploring development interventions

1. The policy journey

Figure 7 shows how most development interventions are transmitted to rural communities and how information about their progress is relayed back to Regional and Federal Governments.

Figure 7: The policy journey
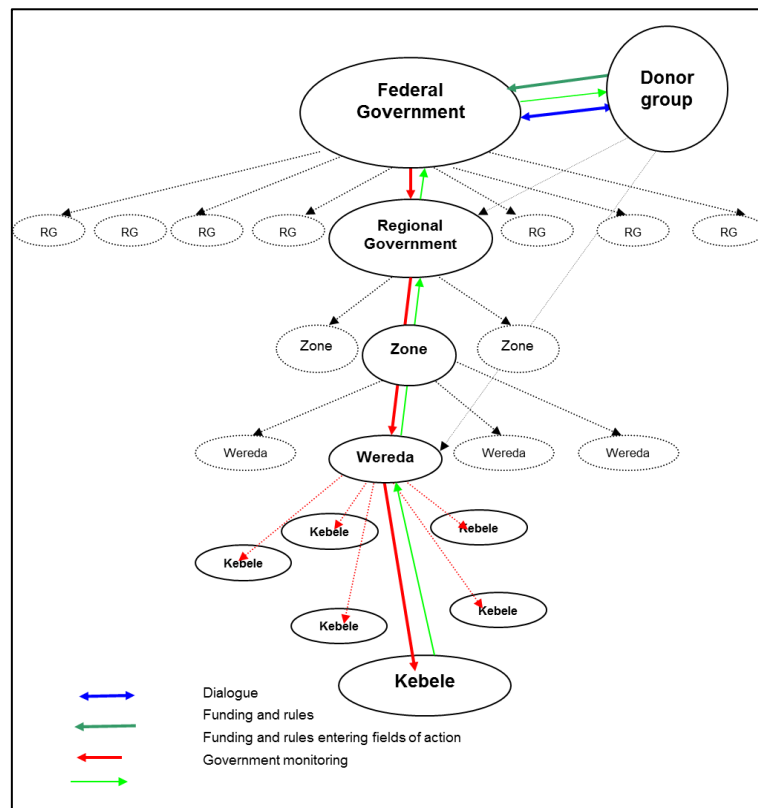
Our research focus is on the kebele including some of its links with the wereda.

2. Community characteristics: structural location and internal dynamics

Structural location: each research community is spatially, economically, politically, and culturally located in Ethiopia, a Region and a wereda. The relationships which each community has with these encompassing systems have a bearing on both the substance and the style of intervention implementation.

Internal dynamics: interventions enter a community which is on a trajectory constructed by the path-dependent social interactions of its members. An intervention potentially has short-, medium-, and long-term impacts related to the durability of the material, human and social changes and change consequences which it generates during its lifetime.

3. Cultural disconnects

The Stage 1 analysis revealed that there were cultural disconnects between macro development models and local cultural repertoires.

Figure 8: Cultural disconnects between top-down and local repertoires

Sector programmes					
Health	**Education**	**Agriculture**	**Livestock**	**NRM**	**Etc**
Goals Purposes Outputs – targets – M&E Activities – implementation manuals Assumptions	Goals Purposes Outputs – targets – M&E Activities – implementation manuals Assumptions	Goals Purposes Outputs – targets – M&E Activities – implementation manuals Assumptions	Goals Purposes Outputs – targets – M&E Activities – implementation manuals Assumptions	Goals Purposes Outputs – targets – M&E Activities – implementation manuals Assumptions	Goals Purposes Outputs – targets – M&E Activities – implementation manuals Assumptions

DISCONNECT IN AIMS AND ASSUMPTIONS

History →

Customary repertoires

Modern repertoires

Future →

[1]Infrastructure = roads, water

Figure 8 depicts the cultural disconnects in aims and assumptions between the mental models and institutional design associated with top-down policies and programmes and those implicit in local cultural repertoires related to the fields of action targeted by the interventions. The disconnect between customary and sector mental models and institutions is more pronounced than that between local modern and sector mental models and institutions but our evidence from the Stage 1 research showed that in most areas the gap between many aspects of policy ideology and local modern repertoires of ideas is still significant.

Development interventions should be seen as external attempts to change the technological, institutional and 'ideas' landscapes within which community systems are working. Communities respond to the disturbances introduced by the interventions in a *'self-organising' process* (Room: 2011) involving interactions amongst supporters of the customary and local modern repertoires and sequenced periods of path-dependent bricolage during which local modern repertoires may change fractionally and support for them rise or fall depending on the local circumstances.

4. Social interactions in the development interface space

The cultural contradictions between top-down and community development models are not easily resolved and in all six Stage 1 sites they caused difficulties for those in positions where they had to try to bridge the cultural divide.

Figure 9: Social interactions in the development interface
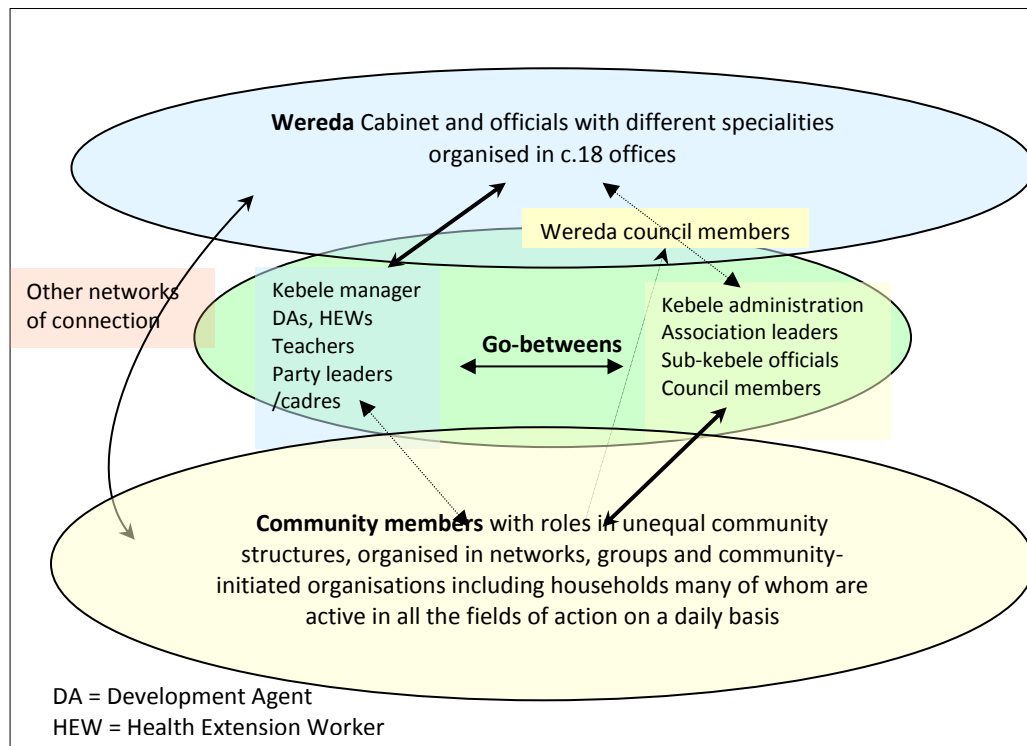
Figure 9 depicts the key development players in the wereda, *kebele*, and communities and identifies a set of 'go-betweens' who work in the development interface[6] space and interact with wereda officials and community members. *Kebele* managers, Development Agents (Agriculture, Livestock and Natural Resources), Health Extension Workers and teachers mostly, though not always, come from outside the community; they are employed by the wereda and given performance objectives (targets) which, if not met, may have repercussions for their careers. One of the Transition Stage papers focused on the experiences and problems of these government employees (Dom 2010). A second set of 'go-betweens' – *kebele* and sub-*kebele* officials and *kebele* Council members - are (s)elected from within the community and embedded in community networks and structures whilst by their function they are also linked to higher government structures and increasingly to party structures. They are unpaid government volunteers.

There are four types of response that members of a community can make in the face of planned change from above: exit, voice, loyalty, foot-dragging. Figure 4 illustrates that not all community members are involved in intervention interactions with the go-betweens.

5. The web of interventions

The Stage 1 data showed that when a new sector or cross-cutting intervention is introduced to a community it is affected by, and has consequences for a pre-existing and subsequent web of development interventions. Those designing, implementing and evaluating sector programmes and projects are prone to see them as self-contained but as Figure 10 shows when an intervention enters a community it interacts with all the other government interventions in a variety of ways. (1) It may have to compete with other interventions for funding, prioritisation and time and resource use by

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[6] A concept which has been used and argued about by sociologists (e.g. Long, 2001) and social anthropologists (e.g. Mosse, 2005).

both implementers and recipients. (2) It may be synergetic with another intervention or (3) it may undermine it. (4) Sequencing matters: interventions interact with others through time in a variety of ways. Finally the way interventions interact may affect different kinds of people in different ways.

Figure 10: The web of interventions

Interventions **interact through time** in a number of ways: different durations, simultaneity, path dependence, unintended consequences etc

The ways in which interventions interact with each other involve **synergies**: they support each other

The ways in which interventions interact with each other involve **antergies**: they confound each other

Interventions interact at **points of delivery** affecting budgets, priorities, and time and resource use by both implementers and recipients

Interventions interact to affect **different kinds of people** in different ways

Ideas - information
Governance
Health
Food Aid
Environment
Infrastructure
Rural Livelihoods
Education
Genderage relations
Poverty

Substantive theory

During periods when complex social systems (such as these communities) do not really change it is possible to identify control parameters – dominating processes or sub-systems which, through a complex of feedback processes, ensure that the system reproduces itself in much the same way. For community systems on stable trajectories seemingly guided by persistent control parameters there are a number of ways in which change may occur. One is a huge and sudden event or intervention from outside such as a war, land-grab or the discovery of oil. At the other extreme myriad cumulative small changes over a long period may, in complexity social science language, push the community further 'from equilibrium' until it is ready to be sent in a new direction by a relatively small new event or intervention. In between continuity and catastrophe change in one or more meso changes may lead to relatively rapid moves towards disequilibrium and change, for example green revolution changes combined with irrigation potential and increasing market demand or rapid urban expansion eating away at nearby rural *kebeles*.

Identification of control parameters requires the kind of rich data traces which we accumulated in the 1995 and 2010 research which can be used to identify dominant processes (such as drought) and sub-systems (such as kinship systems). By comparing the parameters found in 1995 and 2010 for each Stage 1 community we were able to draw some conclusions about the extent to which they have moved towards or beyond disequilibrium and the processes involved.

Different types of community are on different development trajectories and what may be a possible development future for one type will not be possible for another. Typologies and typological theorising can be used to identify ensembles of communities in similar situations and their control

parameters and to explore what the more successful are doing that might be copied by the others, which might be something relatively simple.

Using the Stage 1 data we inductively identified ten parameters of importance in determining the situations of the six communities in 2010:

i   Regional variations in policies and implementation

ii   Urban linkages of various kinds

iii Development services

iv   Core livelihood system

v   Diversification levels

vi   Agricultural technologies

vii Cultural differences

viii Social inequality

ix   Social integration

x   Government-society relations

We argued that there were variations in the importance of the different parameters in the six communities and in the interactions among them. We anticipated that, in the absence of catastrophic external change, three of the communities would continue to reproduce themselves into the foreseeable future but that by 2010 the other three were being pushed into states of disequilibrium or chaos (in the language of complexity science) such that they are unlikely to remain on the same trajectory.

4.4.   The research methods

Research approach

As described in Section 3 the research approach is case-based. In the design of the Stage 2 framework and instruments we identified our (social) cases as the communities, households of different kinds and people of different kinds. As described below in Section 4.8 towards the end of the analysis we realised that we could also treat the control parameters as (parameter) cases.

Research framework

Areas in which questions were asked

The 'variate master list' reproduced in Table 3 identifies the areas in which questions were asked. The list has also been used to organise the Evidence Bases which form part of the structure of the Final Report. The livelihoods area focuses on the livelihoods domain of power; the lives area on the human re/pro/duction domain; and the society and government area on the social re/pro/duction, community management, and ideas domains.

Table 3: Research framework – variate master list

LIVELIHOODS	LIVES	SOCIETY & GOVERNMENT
Terrain	Population	Elders roles and activities
Ecology + environment	Household types and inequalities	Religious organisations and activities
Weather	Wealth differences	Other community-initiated organisations and activities
Land use	Social protection	Physical safety and security
Settlement pattern	Class relationships	Group disagreements and conflicts
Urbanisation + public buildings	Genderage differences: children	Justice
Electricity	Genderage differences: youth	Informal welfare regime
Communications	Genderage differences: adults	Governance structures: *kebele* and sub-*kebele*

LIVELIHOODS	LIVES	SOCIETY & GOVERNMENT
Roads and transport	Genderage differences: elderly dependents	Community and *kebele* leadership
Credit and saving	Marriage, widowhood and divorce	Government-community relations
Shocks leading to food insecurity	Gender and inheritance	Community modern repertoire of ideas
Smallholder farming - crops	Gender relationships: nurturing, income-earning, power relations	Community conservative repertoire of ideas
Smallholder farming - livestock	Inter-generational relationships	Incoming religious ideas
Irrigation	Elite-mass differences	Incoming government ideas
Other farm technologies	Social exclusion	Incoming urban ideas
Inward investors involved in farming	Other status differences and relationships	Incoming global ideas
Co-operative farming	Social participation	Key clashes of ideas
Agriculture market linkages - upstream	Housing	
Agriculture market linkages - downstream	Household assets	
Prices and inflation	Other consumer goods	
Agricultural labour	Domestic technologies	
Labour-sharing/co-operation	Household work + workers	
Diversification and non-farm activities	Leisure activities	
Migration	Clothes	
	Food, diet, nutrition	
	Drinking water	
	Common illnesses and treatment-seeking	
	Producing children	
	Raising children: non-formal learning	
	Pre-school education	
	ABE	
	Primary education	
	Secondary education	
	Technical and vocational training	
	University access	

Level of focus

All questions were asked of people; but some questions were about themselves or other people, others were about households or other organisations, and yet others about the community as a whole. Responses at individual and household level also contributed to building up the community-level picture.

The modes of asking questions

Research Officers were given Modules in the form of protocols to guide semi-structured interviews. Module 3 is attached in an Annex as an example. When not doing interviews they observed and participated in community life to deepen their knowledge and understanding of the community. They were also provided with digital cameras to take a wide range of photos. Where possible they got maps and documents from wereda and *kebele* offices.

Research instruments

The protocols were organised in twelve modules as shown in Table 4. The content of the research instruments for Stage 2 were designed with some inputs from donor workshops and the Research Officers. The latter also advised about the probes associated with each questions. Following the Phase 1 field work there was a period of report writing followed by a 'de-briefing workshop' with the lead researchers which informed the final design of the Phase 2 modules.

Table 4: The WIDE3 Stage 1 and Stage 2 research modules

	Stage 1	Stage 2
Module 1	Wereda perspective 2003-10 (1)	Wereda perspective 2003-12
Module 2	*Kebele* perspective 2003-10	Community history & trajectory 2003-12
Module 3	Community trajectory 2003-10	*Kebele* perspective
Module 4	Community experiences of interventions	Experiences of recent interventions
Module 5	Wereda perspective 2	Community organisations and leaders
Module 6	Interventions and households	Other community member vignettes
Module 7	Interventions and dependent adults	Households and interventions
Module 8	Organisations and interventions	Marginalised people and interventions
Module 9	Key development actors	Youth
Module 10	(i) Gender relations (ii) HIV/AIDS	PSNP + OFSP/HABP
Module 11	Site-specific follow-up	Site-specific topics
Module 12	Research Officer topics	Research Officer topics

Phase 1 modules
Phase 2 modules

Research respondents

In Stage 2 Module 1 was asked of wereda officials and Module 3 of *kebele* officials. The fieldworkers approached knowledgeable informants until they had answers related to every question and probe. Module 2 explored the community's history and the fieldworkers interviewed knowledgeable people individually and in small informal groups. For Module 4 the male fieldworker interviewed a rich, middle-wealth and poor man and the female a rich, middle-wealth and poor woman. Table 5 contains the list of people associated with organisations who were interviewed for Module 5, people with other roles in Module 6 and the marginalised people who were interviewed in Module 8.

Table 5: Respondents for Modules 5, 6 and 8

Module 5 respondents	Module 6 respondents
Head of the Seedlings Nursery	Guard – National Park, community forest, other government-controlled property
Chair of the Land Conservation Administration (or equivalent)	Electricity organiser/contributor
Chair of the Natural Resource Management Committee (or equivalent)	Champion Model Farmer – male interview
Development Agent NRM	Most successful woman farmer – female interview
Chair of the Development Committee	Most successful male youth farmer – male interview
Public Works organiser	Successful pastoralist – male interview
Tax/contributions collector – who is it?	Investor 1 - male
Development Agent Crops	Investor 2 female if possible – if none a second male – female interview
Development Agent Livestock	Leading cash-crop trader/merchant – male interview
Veterinarian	Leading woman trader/shopkeeper – female interview
Irrigation organisation leader	Delala/fixer – male interview
Savings and Credit organisation leader	Leading businessman – male interview
Service Co-operative leader	Leading businesswoman – female interview
Successful Youth Co-operative leader	Leading young male businessman/trader – male interview
Failed Youth Co-operative leader	Leading young female businessman/trader – female interview
Successful Women's Co-operative leader – female interview	Skilled worker – e.g. carpenter – male interview
Failed Women's Co-operative leader – female interview	Returned international migrant male – male interview
NGO with livelihood intervention - intervention leader	Returned longer-term male migrant from elsewhere in Ethiopia – male interview
Kebele Food Aid Organisation/committee leader	Returned seasonal migrant male – male interview
Kebele Health Committee leader	Returned re-settler - male
Health Extension Worker 1 - female interviewer	Returned international migrant female – female interview
Health Extension Worker 2 - female interviewer	Returned divorced woman – female interview
Health Promoter/volunteer – female interviewer	Ex-soldier – male interview
Health Army member – female interviewer	Head of private clinic/pharmacy in the community
Health Centre head– only if it is in the community	Traditional health practitioner
Drinking water Committee/Organisation leader	
Kebele Education Committee leader	
Kindergarten head	

Module 5 respondents	Module 6 respondents
Head teacher Male primary school teacher – male interview Female primary school teacher – female interview Parent-Teacher Association leader NGO with health and/or education interventions – leader of intervention Elders' committee leader – male interviewer Religious leader 1 – male interviewer Religious leader 2 – male interviewer Clan/lineage leader – male interviewer Other community-specific customary organisation leader 1 Other community-specific customary organisation leader 2 The largest Iddir leader Meskel feast organisation leader The largest Equb leader The largest mehaber leader Other community-initiated membership organisation leader 1 Other community-initiated membership organisation leader 2 NGO-initiated community-based organisation leader The *kebele* chair The *kebele* vice-chair Women and Child Affairs representative – female interviewer *Kebele* manager Chair, local political party *Kebele* Council Chair Sub-*kebele* organisation: Gari (or equivalent) leader Sub-*kebele* organisation: Development Team leader Leader of a 1-5 group Leading male wereda councillor Woman wereda councillor – female interviewer Women's League/Association/Federation leader – female interviewer Youth League/Association/federation leader The security committee leader The militia organiser – male interviewer Community policeman – male interviewer Social court leader Peace committee leader Public Relations/Information Officer Propaganda Officer Anti-HTP Committee leader NGO with social equity intervention - leader of intervention	Traditional birth attendant – female interview Non-EPRDF political organiser (maybe Shumsheha only) Young male opinion leader – male interview Young female opinion leader female interview
	Module 8 respondents
	Resident from the remotest part of the *kebele* Resident from the least desirable place to live in the community – 'slum' area – if there is one Landless man involved in share-cropping – male researcher Destitute man – no home of own – male researcher Destitute woman – no home of own – female researcher Too old to work with no relatives – man – male researcher Too old to work with no relatives – woman– female researcher Physically disabled man Physically disabled woman– female researcher Relative of a mentally ill person Poor man excluded from PSNP Poor woman excluded from PSNP– female researcher Agricultural labourer Child herder Domestic servant – female researcher Poor widow– female researcher Poor widower not remarried Poor divorcée (female) with children– female researcher Poor divorcé (male) Person Living with HIV-AIDS - male – male researcher Person Living with HIV-AIDS - female– female researcher Deaf person Blind person Relative of woman evicted from the community– female researcher Relative of man evicted from the community Non-taxpayer Recent in-migrant Craftworker – male Craftworker – female– female researcher Marginal religion – male Marginal religion – female– female researcher Marginal ethnicity – male Marginal ethnicity – female– female researcher

Module 7 used in-depth interviews with husband and wife in four selected households (1 rich and successful; 1 politically active; 1 of middle-wealth; one poor) and the female heads of two households (1 successful and 1 poor). For Module 9 the female fieldworker interviewed 9 young women and the male nine young men selected along the dimensions of wealth (rich, middle, poor) and age (early 30s, mid-20s, late teens). Module 10 focused on the PSNP and other food security packages which were in place in seven of the Stage 2 sites. Decisionmakers, recipients of various kinds, and non-participators were interviewed. Modules 11 and 12 were site-specific and designed by the Research Officers (Table 6).

Community	Module 11	Module 12
Harresaw	Youth migration to Arab countries Impacts of credit and debt on the community	Maternal health services Conflict resolution
Shumsheha	Village savings' groups Irrigation	Informal land tenure practices Enforcement of legal marriage age law
Gelcha	Irrigation The impact of the Metehara sugar factory on the community	Women's workloads The role of clans
Adele Keke	Irrigation	Khat chewing Gaps in formal education
Aze Debo'a	Credit FGM Migration	
Gara Godo	Micro-credit	Women's land rights Agricultural technology, productivity and household risk management
Do'oma	Irrigation Customary leadership	Protestantism In-migrants and cultural diffusion
Luqa	Customary dispute resolution	Gender-based violence *Mingi* – a harmful traditional practice

4.5. The fieldwork process

The fieldwork was carried out by a team of sixteen Ethiopian researchers trained in social science, several of whom had Master's degrees in anthropology or social work; half of them had worked on Stage 1 and/or WIDE 2 and were familiar with the approach. The fieldwork was conducted in two Phases. Following a week's consultation and training Phase 1 took place between 20th September and 20th October; there were on average 23 fieldwork days. There were regular telephone communications with most of the fieldworkers. On return and after a writing-up period there was a 4-day de-briefing workshop and a 3 day consultation and training workshop for the Phase 2 fieldwork. This took place between the 7th December 2011 and early January 2012 and on average lasted 23 days. Early on in this phase the lead researchers visited the communities.

4.6. The database

The 16 Research Officers used their field notes to write theoretically-structured Report Documents on their computers which paralleled the Modules described in section 4.3.

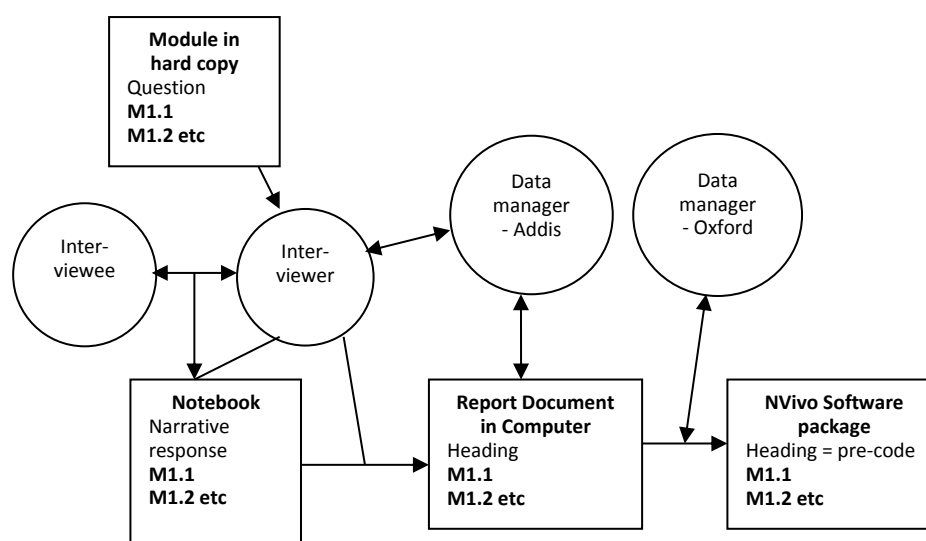Figure 9: Data journey - from interviewee to NVivo software package

Figure 8 shows the journey which the data, in the form of a narrative guided and set down by the Research Officer, made from the mouth of the interviewee to the database organised in the NVivo9 software package. Data is also available in WORD for those who do not use NVivo. The draft Report Documents were read by a supervisor who raised questions and omissions before final drafts were sent to an editor who corrected glaring English errors and punctuation. In WORD the information was ordered under 'Headings'

All the Report Documents produced by the sixteen researchers were brought together in a WORD database. Each lead research prepared separate NVivo databases for two communities transferring the WORD documents to the qualitative software package NVivo which had been set up with common *a priori* nodes (each reflecting a different theme). The Report Documents had been prepared with headings which were used to code the chunks of information under each one automatically, thus saving some time, although the subsequent coding of thematic information to nodes by reading through all the report documents was very time-consuming.

4.7.   Interpretation and analysis

The interpretation and analysis process began in early December with the Research Officer de-briefing after the Phase 1 fieldwork (Modules 1-4). In this workshop the ROs were asked to respond to the following questions:

1) Has the community changed since 2003? To what extent? In what ways? Why?

2) Which government interventions since 2003 have supported a development process?

3) Which have been less successful?

4) What do you think of the *wereda* implementation of interventions?

5) What do you think of the *kebele* implementation of interventions?

In the de-briefing workshop following the Phase 2 fieldwork which took place in early February the following questions were put:

1) *Livelihoods:* What were the most striking findings about organisations, networks and/or activists working in the area of livelihoods? How successful have interventions which support economic growth been and why? How have the interventions changed? How have they changed the community?
2) *Kebele governance:* What were the most striking findings about organisations, networks and/or activists working in the area of *kebele* governance?
3) *Notable community members:* Choose the most interesting person you interviewed and tell their story
4) *Marginalised people:* Choose the most interesting person you interviewed and tell their story
5) *Youth:* How have the lives of older teenagers in the community changed in the last ten years?
6) *PSNP and household asset-building packages:* What were the most striking findings about PSNP inclusions and exclusions, graduation, PSNP Public Works, household asset-building packages?
7) *Site-specific modules:* What were the most striking findings about irrigation? What were the most striking findings about women-related issues? What were the most striking findings about governance and local organisations?
8) *Government and community relations:* How would you characterise the relationship between the community and the government in your village?
9) *Poverty and exclusion:* Who are the kinds of people who are poorest? Any changes? Who are the kinds of people who are excluded? Any changes? Are they the same as the poor? What are relations like between the wealthy and the poor and excluded? Any changes?
10) *Future trajectories:* Imagine that you are visiting your community in 2020. What will it be like? How will it have got there?

Between March and July each lead researcher, using NVivo to explore the data, wrote Community Situation Reports for the two communities for which they were responsible following a common, theoretically-designed template. In June the team held a number of dissemination workshops with donors and government before which the team worked together to produce emerging interim findings on:

1) Smallholder agriculture and commercialisation and food in/security and household inequalities
2) Family planning, maternal mortality, girls' education and women's empowerment
3) Governance, local livelihood growth processes and health and education from a female perspective
4) PSNP and asset-building packages.

Lead researchers, in co-operation with those Research Officers who were interested, were involved in interpretation and analysis for papers for the 18th International Conference on Ethiopian Studies held in Dire Dawa at the end of October. During the time the team was together joint interpretation and analysis continued, some of which was reflected in a presentation to a group of donors and NGOs in Addis Ababa. This compared the trajectories of the agro-pastoralist sites and the two sites affected by international migration and selected six parameters which were important in these community cases for a comparison across the fourteen Stage 1 and Stage 2 sites. The six parameter cases were roads/bridges; irrigation; loss of community land; international migration; urbanisation; and livelihood diversification.

From July we engaged in the preparation of the Evidence Bases, Annexes and Final Report as described below.

4.8. Research answers

Empirical conclusions

The empirical conclusions are to be found in the Final Report and the related Annexes and Evidence Bases.

New theoretical frameworks

The Stage 2 analysis has led to two important conclusions about the structure and development of our theoretical frameworks. One is that we need to distinguish more clearly between two types of analysis one of which is synchronic and the other diachronic.

Synchronic analyses of complex systems focus on a 'point in time' and use an 'all-at-once' logic. The focus is on the structure of the case and what goes with what. Meaning comes from difference and similarity and from (dis)connections and patterns.

Diachronic analyses follow the 'sequential logic of a road' and can answer two questions: why a current state was born of a prior state and why a certain state progressed to some future state. The focus is on process and meaning comes from plot and sequence (see Figure 10). In what follows the frameworks are re-ordered to separate the synchronic and diachronic. Also the division between perspectives on the community and perspectives on development interventions is removed and the development intervention frameworks are put under the appropriate community perspective[7] headings.

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[7] If you are getting confused between a perspective and a framework remember that perspectives are broad

Figure 10: Synchronic and diachronic analyses

Synchronic 1995 → Diachronic → Synchronic 2003 → Diachronic → Synchronic 2010 & 11
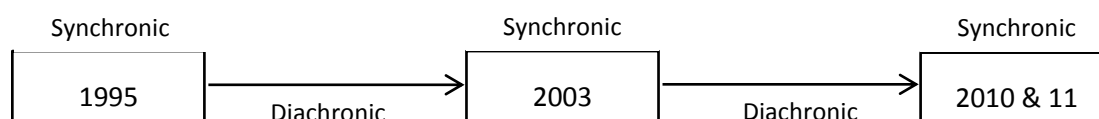
The second emerging conclusion is that we need to start thinking about the linkages between the households and the domains of power/fields of action. This is a synchronic activity and in the next section three new diagrams are introduced to start this process.

Synchronic perspectives

<u>Seven synchronic perspectives on the community</u>

1. The community as a whole

How does the community work as a whole in interaction with its context? What are its current control parameters? What kind of community is it? The trajectory question has been moved to the Diachronic section.

2. The community in the wider context

Where is the community located in encompassing social, cultural, economic and political contexts? The figure depicting customary cultural repertoires under pressure (Figure 5 page 13) stays under this heading. We will be exploring community contexts in more depth in Stage 3.

3. Households: different kinds of household in relationship with each other

In Section 4.3 we outlined three synchronic questions: what is the local cultural ideal for household structures? what kinds of household structures actually exist? what are the important differences among households? how do households relate and interact with other households? Household survey research undertaken in the four WIDE sites in the mid-2000s (DEEP 200[8])showed similarities across the sites and that, that on average, only 62% of households were on the culturally-ideal track. This was defined as a progression from young couple, through young nuclear family, mature nuclear family, in some cultures polygynous families, emptying nest, old couple, male-headed 3-generations, nuclear family with old parent (Pankhurst and Bevan 2007). The remaining 38% included female-headed households, sibling households, men and women living alone, and some more unorthodox structures.

The DEEP research also showed considerable household inequality as measured by productive household assets, with a group of very rich and rich households constituting 15-20%, a group of 23-38% being of upper or lower middle-wealth, a group of 27-37% poor or very poor, and 5-9% of the households being destitute (Bevan and Pankhurst, 2007). Many of the off-track and very poor households were involved in dependent relations and transactions with richer households. Figure 11 depicts these different kinds of household and relations among them.

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[8] The DEEP (in-Depth Exploration of Ethiopian Poverty) survey was conducted in four of the WIDE sites and was followed by 17 months of qualitative research.

Figure 11: Different kinds of households in relations with each other
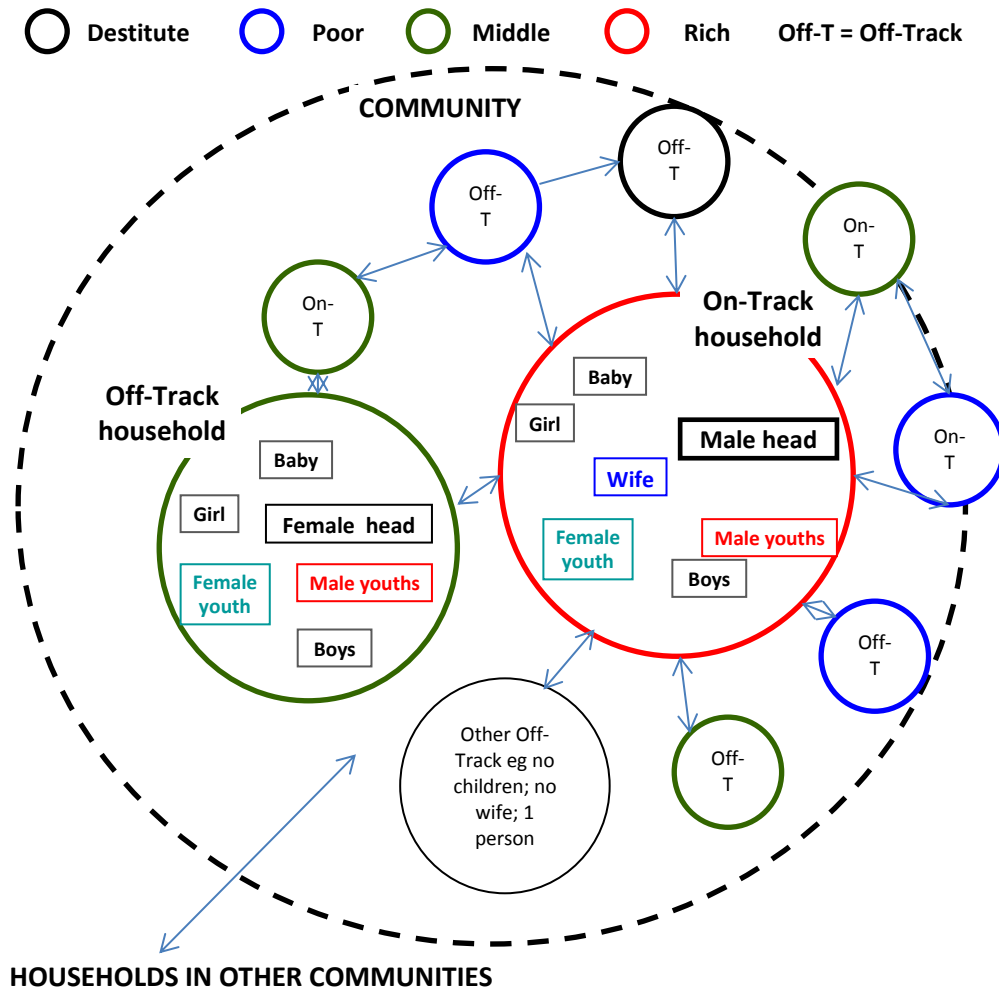
4. Intermediate social organisation – five domains of power/fields of action

Figure 12 shows the five domains of power/fields of action and the <u>types</u> of internal and external actor that are active within each of them. They include government, non-government political actors, private economic actors including those in the informal sector, Christian churches and Islamic groups, NGOs, international diasporas, Ethiopian and international media, and actors in other wider social networks to which community members are linked. Real people play more or less powerful roles in all the fields.

Figure 12: Five domains of power internal and external role players
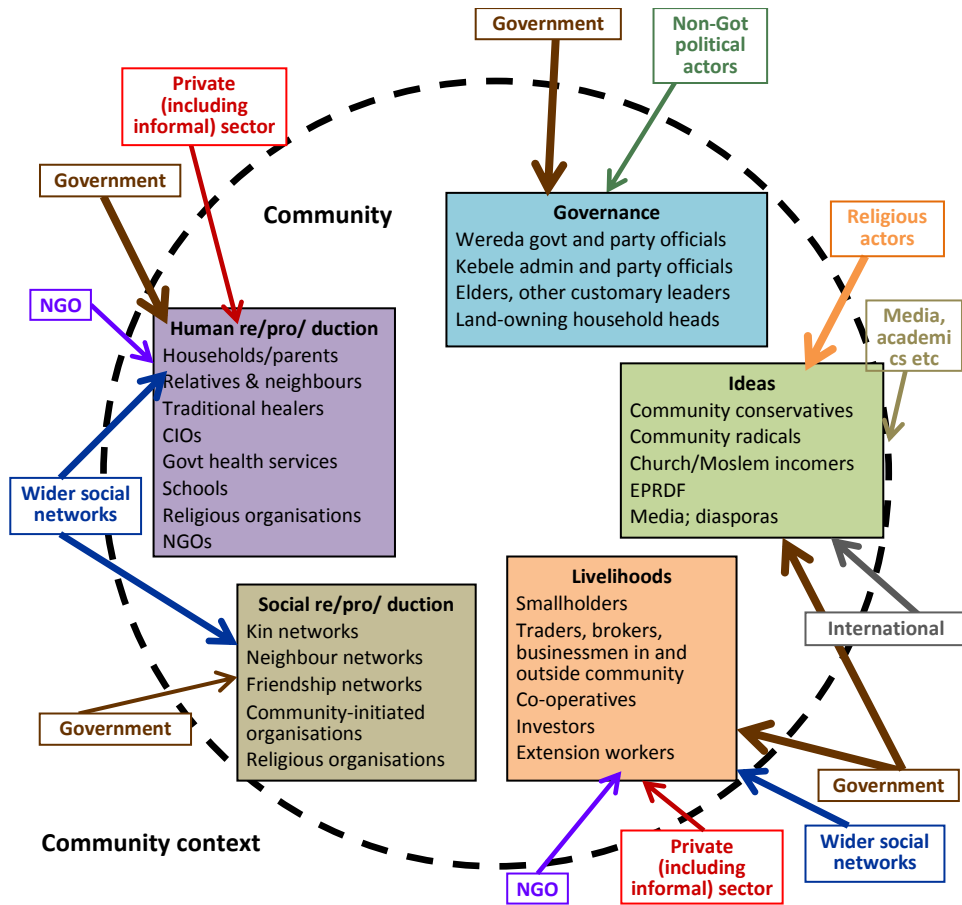
Combining perspectives 3 and 4 - roles in households and domains/fields

Figure 13 combines Figures 11 and 12 to show which household members were identified as most active in which domains in the Stage 2 research. Male household heads had the opportunity to be active in all five domains. Wives did most of their activities in the human/re/pro/duction domain although were increasingly active in the livelihood domain and a very few had governance positions. Young men and women going to urban areas for education and/or work brought back some new ideas but otherwise young men could only have some influence in some/all the fields if they were heads of household with land or government employees; there were some young female government employees.

The differentiation among households described above affects which household heads and wives are more and less powerful in the different fields.

Figure 13: Five community domains of power: who was active where?
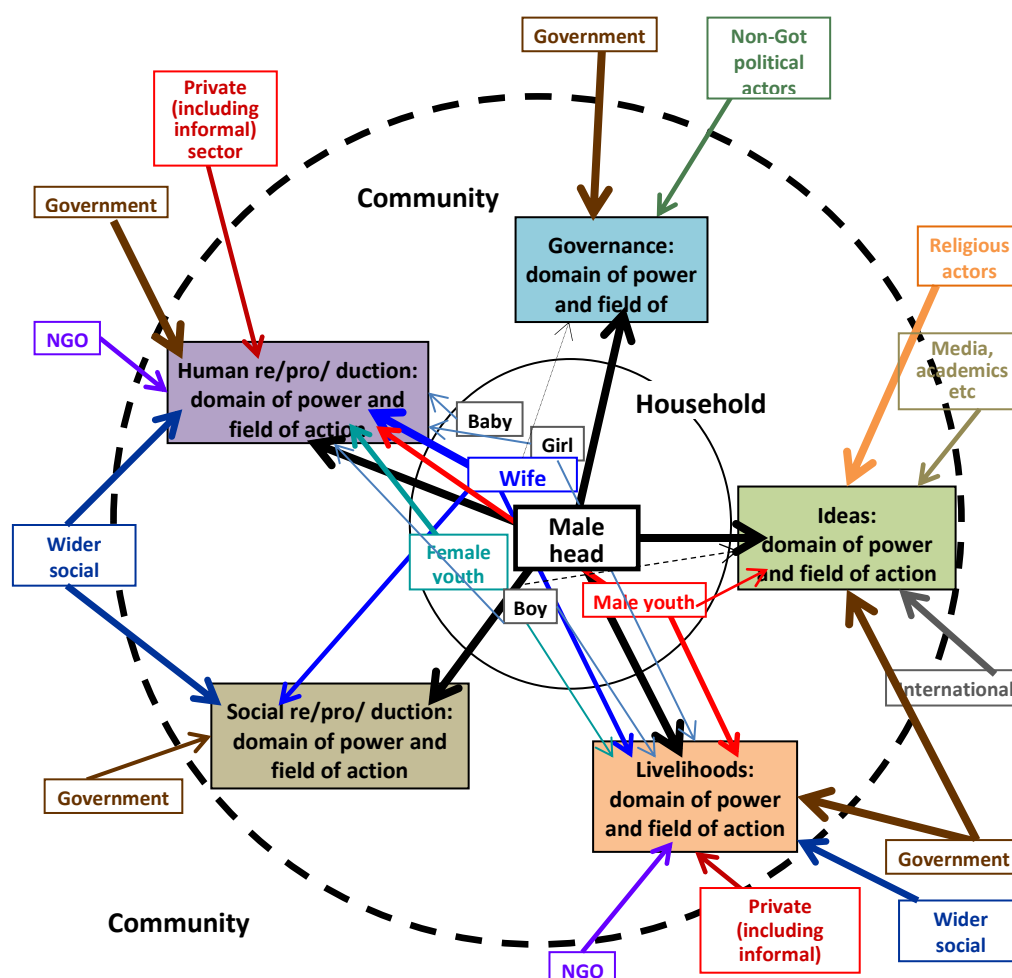
5. Community macro organisation - structures of inequality

How is the community structured in terms of class, wealth/poverty, and income? What forms do genderage inequalities and relations take? What other community-specific status markers structure inequality? Who are the community elites?

6. Social interactions

This perspective is now better-informed by the preceding ones. What kinds of people did what in the five domains of power and what kinds of social interactions were involved? The framework 'Social interactions in the development interface fits here.

7. Social actors

The same applies to this perspective. How are people constrained and enabled by the roles open to them in the different fields of action and their relative power positions in local inequality structures? The framework identifying the transition which youth male on their journey to full adulthood stays here.

1. The policy journey

The diagram has not changed but the story is clearer. As policies travel down the government chain at each stage it is not possible to implement the policy as it has been designed and officials at Regional, Zonal, wereda and kebele levels have to be creative in dealing with the risks not anticipated in the policy design (Hirschman, 1967).

2. Cultural disconnects

There are two frameworks under this heading. The framework on the cultural disconnect between top-down sector policy assumptions and community cultural repertoires remains as before(see Figure 8 on page 17).

All the synchronic perspectives just described could be applied to the communities in 1995, 2003 and 2012 if only we had the data and the time to produce more detailed and richer synchronic perspectives.

Diachronic perspectives

Two diachronic perspectives on the communities

1. Community trajectories

What kind of trajectory is each community on? Where might they be heading? The framework remains as in Stage 1 (see Figure 3 on page 12).

2. Co-evolution of communities, country, households and people

The framework for looking at the data remains as in Stage 1 (see page 13)

4.9. Rhetoric and dissemination

From the beginning of the WIDE3 project we have tried to engage with donors based in Ethiopia, the Ethiopian government, academics and NGOs in Ethiopia, non-resident academics with an interest in Ethiopia, and UK-based academics with an interest in methods for development-related research. Our main vehicles have been small workshops and meetings with Addis-based donors and regular email missives to the WIDE3 worknet whose membership currently stands at just over 100.

Workshop presentations and smaller meetings

The following workshops and meetings were held during the life of the Stage 2 project:

Donor consultation September 2011
1. Fieldwork Consultation Workshop for Rural Development, Agricultural Growth and Infrastructure Group
2. Fieldwork Consultation Workshop for Human Development (Education) Group
3. Fieldwork Consultation Workshop for Human Development (Health) Group
4. Fieldwork Consultation Workshop for Governance Group
5. Fieldwork Consultation Workshop for Social Equity Group
6. Fieldwork Consultation for PBS Group
7. Fieldwork Consultation Workshop for PSNP/HABP Group

Government workshop on Stage 1 findings December 2011

Donor consultation February 2012
1. Meeting with CIDA 21 February 2012
2. JGAM meeting 22 February 2012

3. Meeting with Norwegian Embassy 21 February 2012

Meeting with MOFED State Minister Abraham Tekeste February 2012

Dissemination of early findings June 2012
1. Early Dissemination Workshop for Agriculture, Food Security and Sustainable Land and Water Management Group
2. Early Dissemination Workshop for the PBS+ group
3. Early Dissemination Workshop for the PSNP group
4. Early Dissemination Workshop for DFID team
5. Early Dissemination Workshop at the Netherlands Embassy
6. Early Dissemination Workshop for a Government group

Donor workshop November 2012

Worknet dissemination

Early in the project a methodology paper and policy review update were sent to the worknet. After the two fieldwork periods Rapid Briefing Notes were sent and later the powerpoints presented at donor workshops were sent. The ICES papers described in the next section were shared with the worknet after the conference. The Final Report will be sent once agreed with the J-GAM group.

International Conference of Ethiopian Studies, October 2012

In a WIDE3 panel at the conference six papers were presented:

Philippa Bevan, Samuel Urkato and Shiferaw Neda 'A Comparison of Two Food-Insecure Sites in North Omo: Where have they come from and Where might they be Heading?' *Presented by Shiferaw*

Philippa Bevan, Rebecca Carter and Catherine Dom: 'A Tale of Two Productive Safety Net Programme Sites' (two Stage 1 sites) *Presented by Bevan*

Rebecca Carter and Eyerusalem Yihdego: 'How are Urbanisation and Irrigation affecting food-deficit communities in Ethiopia: a Comparison of two *kebeles* near Lalibela and Harar' *Presented by Eyerusalem*

Alula Pankhurst: 'Agropastoralism in Transition: a Comparison of two communities in Oromia and Southern Region' *Presented by Alula*

Tefera Goshu and Aster Shibeshi: Social Change: Impact of Development Interventions on the Gelcha community of the Karrayu pastoralists of the Upper Awash Valley of Ethiopia *Presented by Tefera*

Catherine Dom: 'Where are Ethiopian rural communities heading? Youth, education and migration in two food-deficit communities in Eastern Tigray and Kambata' *Presented by Dom.*

Final report

The process for writing the Final Report followed the model developed in Stage 1. First we built descriptive evidence bases (Evidence Base 1) combining answers from all the modules which referred back to the Report Documents. These were read and commented on by the fieldworkers and revised. They were used, along with return to the Report Documents, and the 1995 and 2003 database, to construct four more Evidence Bases then the five Evidence Bases were used to write five summarising Annexes. These were then used alongside this Annex to write the Final Report. Figure 15 shows the construction process from fieldwork to final report.

5. Conclusion

Stage 3, focused on six rural communities in high potential areas, started in January 2013. Building on what we have learned in Stage 2 the Stage 3 methodology inception paper will describe the theoretical frameworks guiding the research framework, the research methods including research instruments, the fieldwork plan, and plans for the database, interpretation and analysis, and interactions with policymakers and other practitioners.

Figure 14: WIDE3 final report construction
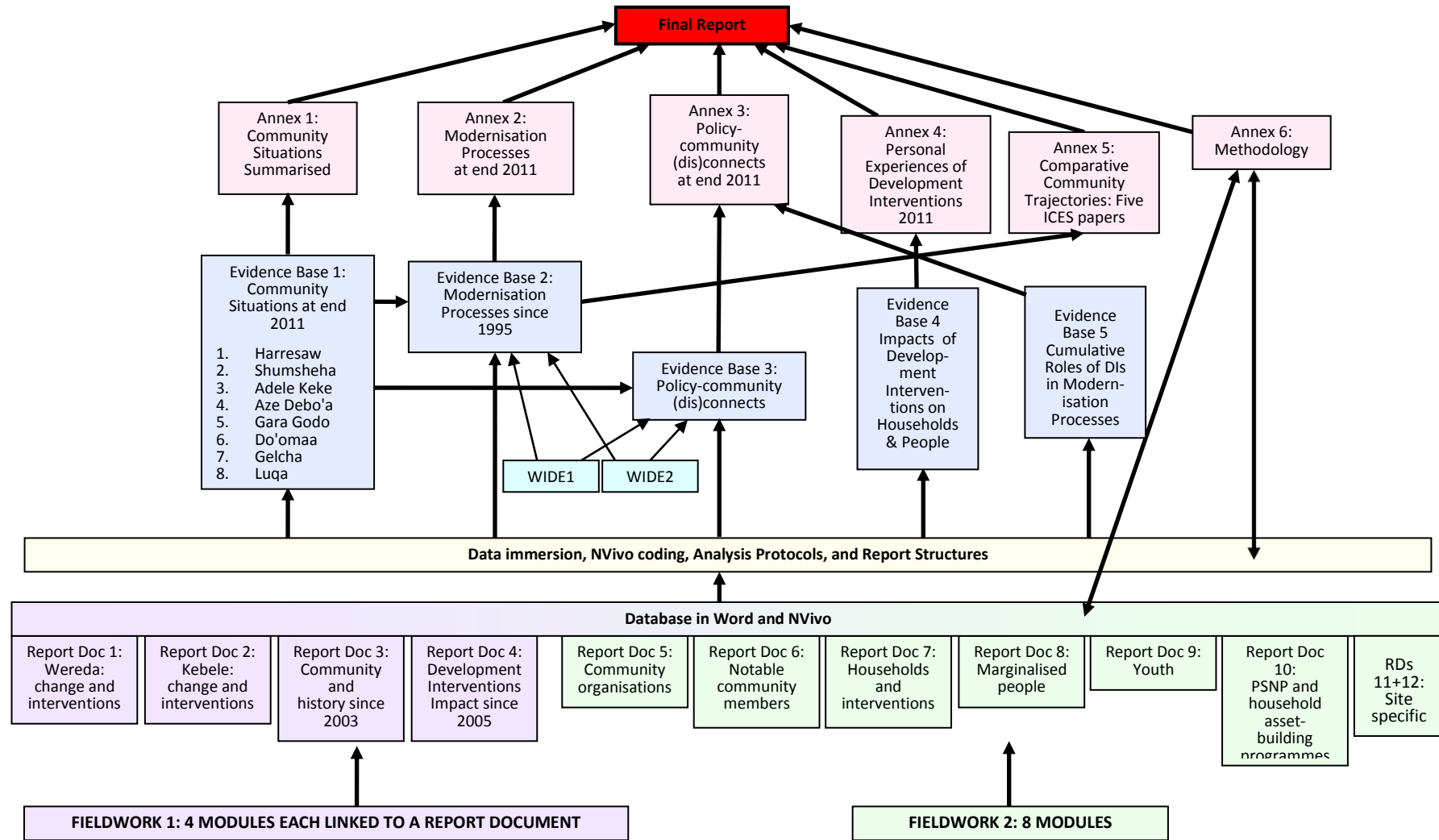
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Module 3 for Kebele officials

(the M numbers were used in fieldworkers note, modules, and report documents to ensure that data were entered in the correct places (see the data journey figure on page 25). They do not correspond with the numbering of the topics, such as Kebele structures.

1. Kebele structures

M3.1 *Construct a diagram of the kebele structure. Use the example in the Fieldwork Guide as a starting point.*

PROVIDE DIAGRAM IN HARD COPY

What are the good things about this structure?

What are the problems?

M3.2 *How are the kebele structures working?*

Probes – tick after use

	Personnel - male	Personnel - female	Attendance levels at meetings	Types of decision / actions	Example of a recent important decision/ action	Topics at last meeting	Problems	Suggestions for improvement
Kebele Council								
Kebele Cabinet								
Kebele Chair								
Kebele Committee								
Kebele manager								
Sub-kebele officials								

2. Kebele chairs

M3.3 *List the names of all the kebele chairs since 2005 and explore reasons for leaving. Present as a table in the Report Document*

	2005-6	2006-7	2007-8	2008-9	2009-10	2010-11
Name						
Reasons for leaving						

3. The kebele manager

M3.4 *How does the kebele manager relate to other kebele organisations?*

When did the first kebele manager come	How many kebele managers have there been	Responsibilities	Interactions with Cabinet	Interactions with Council	Interactions with Women's and Youth Associations	Interactions with sub-kebele structures

4. Roads, paths and bridges

M3.5 *How is the community connected with the outside world?*

Probes – tick after use

Access to nearest town		Access to wereda centre		Access to zone centre		Access to Regional capital	
Recent changes		Recent changes		Recent changes		Recent changes	
Type of road		Type of road		Type of road		Type of road	
Walking time		Walking time		Walking time		Walking time	
Transport available		Transport available		Transport available		Transport available	
Cost		Cost		Cost		Cost	
Cut-off at any time?		Cut-off at any time?		Cut-off at any time?		Cut-off at any time?	
Plans for improvement		Plans for improvement		Plans for improvement		Plans for improvement	

M3.6 *Use the map of the kebele and explore how people move about the community*

Probes – tick after use

	Vehicular access	Seasonal issues	Differences in ease of access from different settlement areas
Internal roads			
Bridges			
Paths			

5. Community land use

M3.7 *How is community land allocated among different uses?*

Probes – tick after use

	Rough proportions of land allocated to each	Recent important changes - when
Smallholder land		
Irrigated land		
Co-operative farming land		
Land for kebele centre		
Grazing land		
Other communal land		
Land for investors		
Others		

6. Public buildings

M3.8 *Explore the quality of these public services (see probes)*

Probes – tick after use

	Condition?	Electricity?	Water?	Latrines?
Kebele offices				
Farmers' Training Centre				
Veterinary office				
Schools (main)				

	Condition?	Electricity?	Water?	Latrines?
Health Post				
Health Centre				
Other buildings				

7. Modern infrastructure

7.1 Electricity

M3.9 *Is there electricity in the community?*

Probes – cross out after use

When did it come to the kebele	Who has access and who does not	What used for	How was connection funded	What do users pay

7.2 Phones

M3.10 *What phone access is there in the community?*

Probes – tick after use

Mobile reception – where?	When did it come?	How many mobiles in the community	What used for	When did kebele phone come	Does it work	What used for

8. Environment

M3.11 *What environmental activities have there been in the community?*

Probes – tick after use

	Activities	Who organised them?	Recent changes	Achievements	Problems	Suggestions for improvement
Erosion						
Floods						
Watershed management						
Forests and wooded areas						
Grazing land management						
Irrigation management						
Others						

9. Taxes and contributions

M3.12 *What taxes and other contributions have community members made recently?*

Probes – tick after use

	Amounts	What for	Who paid/worked	How much cash/how many days work	Who didn't pay/work
Land taxes		X			
Other taxes		X			
Regular contributions e.g. Red Cross					
Membership fees e.g. Women's Association, Youth Association, party membership		X			
Community contributions in cash in last year					
Community contributions of labour (not Food-for-Work) in last year					

10. Land-related interventions

10.1 Land re-allocation

M3.13   *In the kebele have there been major re-distributions of land?*

Probes – tick after use

Re-allocation of land	Why	When	Who got the land	Any related conflicts?
Re-distribution of smallholder land among smallholders			X	
Re-allocation of smallholder land				
Re-allocation of communal land				

10.2 Land registration

M3.14   *In the kebele how far has the land registration process gone?*

Probes – tick after use

Proportion with certificates	Refusals - Why?	Photos of couple?	What rights do they give

10.3 Rights to land

M3.15 *In the kebele how far have new inheritance laws been implemented?*

Probes – tick after use

Rights to land	What is the law	Extent of implementation	Examples
Inheritance from parents			
Rights of widows			
Rights of divorced women			

10.4 Inward investment

M3.16 *In the kebele has any land has been leased to investors from outside?*

Probes – tick after use

Land renting and leasing	No of hectares	How much is the rent?	What do the renters do with it?	Any disagreements between kebele and wereda?
Land renting agreed at kebele level				
Land leasing agreed at wereda level				

10.5 Zero-grazing

M3.17 *In the wereda has is there a policy for zero-grazing to allow grazing land/ wooded areas to recover?*

Probes – cross out after use

What is the policy	Levels of implementation	Benefits	Problems

10.6 Community forests

M3.18 *In the kebele are there policies relating to community forests?*

Probes – cross out after use

What is the policy	Levels of implementation	Benefits	Problems

10.7 Communal grazing areas

M3.19 *In the kebele are there policies relating to communal grazing lands?*

Probes – cross out after use

What is the policy	Levels of implementation	Benefits	Problems

10.8 Other land policies

M3.20 *In the kebele are there any other policies affecting land?*

Probes – cross out after use

11. Moving people

11.1 Re-settlement

M3.21   *In the kebele has there been any re-settlement since 2005?*

Probes –cross out after use

Where	When	Why	Number in kebele	Number returning	When	Why	Did returnees get their land/house back	Plans for more

11.2 Villagisation

M3.22   *In the kebele has there been any villagisation since 2005?*

Probes –cross out after use

When	Why	Numbers moving	Benefits	Problems

12. Water for farming - irrigation and water harvesting

M3.23   *In the kebele what irrigation and water harvesting interventions are there*

Probes – tick after use

	Describe	When intro-duced	No of bene-ficiaries	Type and source of water	Tech-nology	Who constructed it	How organised	Benefits	Problems
Irrigation scheme 1									
Irrigation scheme 2									
etc									
Water harvesting 1									
Water harvesting 2									
etc									

13. Farming interventions

M3.24   *What farming interventions are there in the kebele?*

Probes – tick after use

	When built	How much land	Current use of FTC	Current use of land
Farmers' Training Centre				

	DA /vet present	Work duties – what and where	Modes of working	Availability of inputs to work with	Availability of credit for inputs	Women's packages	Youth packages
Crop extension and packages							
Livestock extension and packages							
Vet							
NRM extension							

14. Non-farming interventions

M3.25   *What non-farm interventions are there in the kebele?*

What kind of activities	Packages?	Land provided	Electricity available	Water available

15. Micro-credit and savings

15.1 Micro-credit and savings organisations

M3.26   *What credit and savings opportunities are there in the kebele?*

Probes – tick after use

	Qualifying activities	Conditions for obtaining a loan	Role of savings	Interest rates	Used for other things?	How much debt?	Treatment of debt
Government schemes							
NGO schemes							
Other schemes							
Savings only schemes			X		X	X	X

15.2 Debt

M3.27   *What is being done about debt in the community?*

Probes – cross out after use

How high are levels of community debt	Plans for recovering past debts	Insurance in place	Plans for insurance	Other plans for dealing with debt

16. Food/cash for work (PSNP and Emergency Food Aid)

M3.28   *How has PSNP/Emergency Food Aid in the kebele worked recently?*

Probes – tick after use

	How programme worked	Recent changes	Reasons for change	Achieve-ments	What are the problems
FFW programme generally					
% of households in the programme					
Choosing beneficiaries - rules					
Appeal system					
Number of months of work					
When was the work done					
How was the work chosen					
Recent work activities					
Food/cash provided to households					
Did it vary? How?					
How does graduation work					
How many have graduated					
Is graduation linked to credit					

17. Co-operatives

17.1 Producer Co-operatives

M3.29   *In the kebele what Producer Co-operatives are there?*

Probes – tick after use

Producer Co-	Number	Number	What do	How many	Recent	Achievements	Problems

operatives	of males	of females	they produce	members	changes		
Farmers' producer co-operatives							
Women's producer co-operatives	**X**						
Youth producer co-operatives							
Other producer co-operatives							

17.2 Service Co-operatives

M3.30   *In the kebele is there a Service Co-operative?*

Probes – cross out after use

How many members	Activities	Recent changes	Does it belong to a Union	Does it sell fertiliser?	Price compared with market	Does it sell improved seeds	Price compared with market	What else does it sell	Amount of dividend

17.3 Other Co-operatives

M3.31   *In the kebele what other types of co-operatives are there?*

Probes – cross out after use

For each type

Type	Activities	Recent changes	Achievements	Problems	Suggestions for improvement

18. Interventions against HTPs affecting livelihoods

M3.32   *In the kebele are there any actions being taken to reduce Harmful Traditional Practices and other activities affecting livelihoods?*

Probes – tick after use

	What actions	Are the community resisting?	Other problems
Holidays such as Saints Days to be reduced			
Extravagant ceremonies – e.g. death, wedding			
Harmful agricultural practices – e.g. burning land, not planting in rows, planting 'bad' crops (chat, eucalyptus..)			
Others			

19. Food aid

M3.33   *In the kebele how has the food aid programme been working?*

Probes – tick after use

	Recent changes	Is cash provided?	How much?	Timeliness of cash/ food	Adequacy of amount per hh	Kind of food	Special food for babies + mothers?	Achievements	Problems	Suggestions for improvement
PSNP food aid										
Emergency food aid										
Other programmes										

20. Nutrition

M3.34   *In the kebele what nutritional interventions are there?*

Probes – tick after use

	Do community members get these	Describe	Who provides	Recent changes	Achieve-ments	Problems	How could it be improved
Nutrition education							
Supplements							
Nutrition of pregnant and breast-feeding mothers							
Children's nutrition							
Feeding centres							
School feeding							
Others							

20. Safe water

M3.35   *In the kebele what safe water programmes are in place*

Probes – tick after use

Protected springs	Boreholes	Wells	Reservoirs	Piped water	Roof catchment	Achieve-ments	Problems	How are they managed?

21. Hygiene and environmental sanitation

M3.36   *In the kebele how are hygiene and environmental sanitation programmes working?*

Probes – tick after use

	What % of hhs have graduated from these programmes	What % are using them well	Recent changes	Achieve-ments	Problems	Suggestions for improving the programme
Latrines						
Waste disposal						
Hand-washing						
Kitchen cupboards						
Water purification tablets						
Livestock not living in the house						
Smoke-free house						
Pest and insect control						
Others						

22. Disease prevention and control

M3.37   *In the kebele how are disease prevention and control programmes working?*

Probes – tick after use

	Describe activities	How have the community responded	Recent changes	Achieve-ments	Problems	How could the programmes be improved?
Immunisations						
Bednets						

	Describe activities	How have the community responded	Recent changes	Achieve-ments	Problems	How could the programmes be improved?
Spraying houses						
Removing stagnant water						
HIV/AIDS prevention						
TB prevention						
First Aid at Health Post						
Others						

23. Interventions against HTPs affecting health

M3.38 *In the kebele how are interventions to reduce HTPs affecting health working?*

Probes – tick after use

	When do these take place	How prevalent are they now	What activities are done to stop them	How successful have they been	How might they be improved
Male circumcision					
Female circumcision					
Traditional medical practices, e.g. cutting uvula, pulling milk teeth – ask what they are					
Body scarring, branding					
Others					

24. Curative health services

24.1 Health Post drugs

M3.39 *What curative drugs are available at Health Posts in the kebele?*

Probes – cross out after use

What curative drugs should be available at HPs e.g. painkillers, malaria pills etc	Problems in getting supplies	Recent changes

24.2 Health Centres

M3.40 *In the kebele how is the Health Centre working?*

Probes – cross out after use

Achieve-ments	Recent changes	Problems with staffing	What curative drugs should be available	Problems in getting supplies	How care financing system works	Kind of exemptions	How do they work	How busy is the HC	How could it be improved

24.3 Non-government health services

M3.41 *What NGO, private and traditional medical services are available for community members?*

Probes – tick after use

	Describe	Popularity
NGO health services		
Private clinic		
Pharmacist		
Traditional practitioners		

24. Reproductive health services

24.1 Reproductive health services generally

M3.42   *What reproductive health services are available for community members?*

Probes –cross out after use

Where	Services provided	Recent changes	Achievements	Problems	Special services for adolescents?	Suggested improvements

24.2 Contraception

M3.43   *What contraceptive services are available for community members?*

Probes – tick after use

	Recent changes	Gene-ral advice	Pills	Injec-tions	Im-plants	Con-doms	Morn-ing after pill	Absten-tion advice	Teaching about contraception in schools	
Contraception availability - where									Secondary	
Rough % of women using them									Primary	
Male attitudes										
Female attitudes									**X**	

24.3 Abortion

M3.44   *Is abortion a problem in the community?*

Probes – cross out after use

What is the demand for abortion	What proportion use customary methods	Numbers of deaths following abortion	Other problems caused by abortions	How easy is it to get a medical abortion	Suggested improvements

24.4 Infertility

M3.45   *Is infertility a problem in the community? Are there services?*

Probes – cross out after use

What % of women are infertile	Is there male infertility	Is there any treatment

24.5 HIV/AIDS and STDs

M3.46   *In the community what is the situation with regard to HIV/AIDS and other STDs?*

Probes – tick after use

	Rough % suffering from them	No of deaths	Is there stigma?	Are people willing to admit having them?	Advice available - where?	Treatment available – where?	Recent changes	Suggested improve-ments
HIV/AIDS								
Other sexually transmitted diseases								

24.6 Fistula

M3.47   *In the community what is the situation with regard to services for women suffering from fistula?*

Probes – cross out after use

What is the demand for fistula services	Services available in wereda	Who provides them	Services available outside wereda	Suggested improvements

25. Mother and child services

M3.48   *In the community what is the situation with regard to mother and child services?*

Probes – tick after use

	Where is this available	Who provides it	% of women using	Recent changes	Achieve-ments	Problems	Suggested improvements
Pre-natal advice and monitoring							
Maternal vaccinations							
Help with delivery							
Advice on infant care							

26. Education

26.1 Pre-school education

M3.49   *In the community what is the situation with regard to pre-school education?*

Probes – tick after use

	Where is this available in the kebele	% of eligible children attending	Recent changes	Achievements	Problems	Suggested improvements
Separate kindergartens						
Zero grades in primary schools						

26.2 Primary education

M3.50   *In the kebele what is the situation with regard to primary education?*

Probes – tick after use

	Where (locate on map)	No of Grades	No of children	% female	No of teachers	Shift system?	Automatic promotion?	Self-contained teaching?	PTA or other school management body	Recent changes
Main primary school										
Other primary schools 1										
Other primary schools 2										
Other primary schools 3										
Alternative Basic Education school										

26.3 Secondary education

M3.51   *In the kebele what is the situation with regard to secondary education?*

Probes – tick after use

Where is the nearest secondary school	Recent changes	Can pupils commute on a daily basis	Numbers/proportions of boys eligible attending	Numbers/proportions of girls eligible attending	Costs of attending (all)

26. 4 Post-secondary education

M3.52 *In the kebele what is the situation with regard to post-secondary education?*

Probes – tick after use

	Colleges attended by community members	Numbers/% males attending	Numbers/% females attending	Recent changes	Achieve-ments	Problems	Suggestions for improvement
TVET							
University							
Private colleges							

26.5 Other training

M3.53 *In the kebele what is the situation with regard to training?*

Probes – tick after use

	Kind of training	% of community attending	Recent changes	Achieve-ments	Problems	Suggestions for improvement
Adult literacy						
Tax payer training						
Other training						

27. Marriage-related

M3.54 *What interventions have there been in the kebele which are related to marriage?*

Probes – tick after use

	Frequency in the community	Law in place?	Enforcement?	Problems?	Suggestions for improvement?
Minimum age of marriage 18	X				
Abduction					
Man's right to choose his marriage partner					
Woman's right to choose her marriage partner					
Polygyny					
Widow inheritance					
Marriage to dead wife's sister					
Widow's rights to property					
Divorced women's rights to property					
Others					

28. Using customary organisation to help implement interventions

M3.55 *How are customary organisations involved in the implementation of interventions?*

Probes – tick after use

	Describe	Example 1	Example 2
Iddir			
Elders and customary justice institutions			
Clan leaders			
Other elders groups			
Religious leaders and groups			
Others			

29. Women's Association

M3.56 *How are the Women's organisations in the kebele working?*

Probes – tick after use

	Number of members	Recent changes	Activities	Achievements	Problems	Suggestions for improvement
Women's Association						
Women's League						
Other women's organisations						

30. Youth Association

M3.57 *How are the Youth organisations in the kebele working?*

Probes – tick after use

	Number of male members	Number of female members	Recent changes	Activities	Achievements	Problems	Suggestions for improvement
Youth Association							
Youth League							
Other youth organisations							

31. Planning and consultation

M3.58 *In what ways have the community been consulted over proposed development interventions?*

Probes – tick after use

	Has there been any community/ household consultation	Describe how it happened	Recent changes	Achieve-ments	Problems	Suggestions for improvement
Choice of community work for the FFW programme?						
Choice of Household Asset Building Projects						
Watershed management						
Making a community plan						
Any other community matter						

32. Rights and duties of community members

M3.59 *What are the differences between taxpayers and non-taxpayers?*

Probes – cross off after use

What proportion of the community are taxpayers	Rights associated	Duties associated	What does taxpayer training involve?	Problems for non-taxpayers

33. Community contributions

M3.60 *What contributions has the community made to development interventions recently?*

Probes – tick after use

	Recent requests for contributions	Who is expected to contribute?	Who is not expected to contribute?	Are contributions voluntary?	Problems in collecting contributions?
Community contributions of cash/materials for kebele projects					
Community contributions of labour					
Community contributions for wereda, Regional and national projects					

34. Accountability

M3.61   *What accountability activities have taken place in the kebele?*

Probes – tick after use

	When used - frequency	What happened	Actions taken as a result - examples	Rank in order of usefulness	Recent changes	Achieve-ments	Prob-lems	Suggestions for improve-ment
Gimgemma								
Appeals to wereda against decisions								
Citizens' Report Cards								
Use of suggestion box								
Budgets posted								
Others								

* Put 1,2,3,4,5 in the appropriate box (1 = Best)

35. Security and policing

M3.62   *How does policing and the maintenance of security work in the kebele*

Probes – tick after use

Security in the community		How organised in relation to the community	Contribution to maintaining security	Recent notable incidents	Prison
Describe levels of security – theft, attacks To what extent can women move freely Have things been improving?	Militia				Where are local prisons; % of community in prison
	Community police				
	Wereda police				

36. Justice

M3.63   *How do the justice institutions in the kebele work?*

Probes – tick after use

	Current role and level of activity	Recent changes	Types of cases	Effectiveness	Interactions with the others	Problems with the whole system?	Suggestions for improvement
The social court							
Peace Committee							
Other customary institutions							
The wereda court							

37. Learning about government policies and programmes

37.1 Growth and Transformation Plan

M3.64   *How was the Growth and Transformation Plan introduced in the community?*

Probes – cross out after use

How was it introduced to kebele officials	How was it introduced to the community	In what ways has it changed development activities?	Problems	Suggestions for improvement

37.2 Delivering development messages to the community

M3.65   *How are development messages delivered to the community?*

Probes – tick after use

	Effectiveness for delivering development messages	Effectiveness in producing change in the community	Suggestions for improvement
Other general meetings			
Party meetings			
Special training			
Messages on the radio			
From Models, Champions, Promoters			
Others			

38. Insurance

M3.66   *What insurance interventions are there in the kebele?*

Probes – tick after use

	How does it work	Involvement of iddirs	How many members	Successful claims?	Problems	Suggestions for improvement
Crop insurance						
Livestock insurance						
Health insurance						
Other						

39. Promoting equity for women

M3.67   *What interventions have there been in the kebele to promote equity for women?*

Probes – tick after use

	Recent changes	Effectiveness of interventions	Reasons for communities' co-operation - male and female	Reasons for communities' resistance – male and female
Against female circumcision				
Against rape and abduction				
Against male violence				
Marriage age of 18				
Ensuring access to government services				
Girls' education				
Exemptions from FFW				
Land rights				
Women's participation in kebele structures				
Women's participation in wereda structures				
Targeting vulnerable women				
Others				

40. Youth policies and programmes

40.1 Youth livelihoods

M3.68　　　*What interventions to improve youth livelihoods have there been in the kebele?*

Probes – cross out after use

Land on an individual basis - describe	Land to Youth Co-operatives – nos of co-ops and activities	Youth packages? – inputs, credit, training, advice	Achievements of Co-ops	Problems	Suggestions for improvement

40.2 Youth recreation

M3.69　　　*What interventions to provide recreation facilities for youth have there been in the kebele?*

Probes – cross out after use

Nearest Youth Centre	Nos and kinds of youth from kebele using it – ages and gender	Other recreational facilities in or near kebele	Any recent changes	Problems	Suggestions for improvement

40.3 Youth and HIV/AIDS

M3.70　　　*What HIV/AIDS interventions focused on youth have there been in the kebele?*

Probes – cross out after use

Programmes in the kebele	Who runs them	Achievements	Problems	Any recent changes	Suggestions for improvement

41. Getting government services to poor people

41.1 Exemptions for poor people

M3.71　　　*What exemptions from payment are there for poor people in the kebele?*

Probes – cross out after use

Health costs	Education costs	Community contributions	Taxes	Water fees	Other	Problems	Suggestions for improvement

41.2 Support for poor people

M3.72　　　*Is there any support for poor people in the kebele?*

Probes – cross out after use

How many?	Who provides the support?	How chosen?	Resources provided	Labour provided	Problems	Suggestions for improvements

42. Interventions to help vulnerable people

M3.73   *What interventions are there in the kebele to help vulnerable and excluded people?*
Probes – tick after use

	Rough numbers/ % in the community	Kebele interventions to help them - describe	NGO inter-ventions? - describe	Other? - describe	Recent changes	Achieve-ments	Prob-lems	Sugges-tions for improve-ment
Disabled adults and children								
Mentally ill people and their families								
Old people needing support								
Orphans								
Women heading households								
Craftworkers								
'Slaves'								
Child herders								
Agricultural labourers								
Domestic servants								
Sex workers								
Migrants								
Others								