



Natural  
Resources  
Institute

**APPROACH AND METHODS USED FOR PRELIMINARY FIELD  
WORK IN UGANDA**

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## **1. Introduction**

This report concerns a research project focused on an improved understanding and appropriate policy development for the rural non-farm economy. The research is being undertaken by the Natural Resources Institute (NRI) in collaboration with local and UK partners, with funding from the UK's Department for International Development (DFID) under a collaborative agreement with the World Bank. Interest in the non-farm economy stems from growing recognition of its important role in rural incomes, and its potential contribution to poverty reduction.

The NRI research has three main components: one focused on factors that determine household or individual access or capacity to engage in rural non-farm activities; a second concerned with the influence of local governance on the development of the rural non-farm economy; and a third concerned with the characteristics and dynamics of the non-farm economy in Central and Eastern Europe. The first two involve field studies in Uganda, Malawi and India – with fieldwork in Uganda starting first of all, in 2000. The research will continue over a three-year period 2000-2003.

The focus of this report is the methods used in the initial field studies on the “access” component. The purpose of the research on access to rural non-farm activities is: to inform and assist Governments, DFID and the World Bank in formulating pro-poor rural non-farm economy policies in selected case study countries. Two main outputs focus on:

- (i) understanding the factors that condition access to rural non-farm employment for the poor, in selected countries, and
- (ii) mechanisms for integrating these research results into relevant policy processes.

The research methods and approach adopted in four communities in two districts of Uganda in late-2000 are described. The purpose of this initial fieldwork was to find out more about the rural non-farm activities actually practiced in Uganda and to investigate actual and perceived constraints to rural non-farm activities, as well as enabling factors. Detailed reports on each of the two district studies and summary conclusions are also available.

This report covers: the aims and rationale of the approach, the establishment of fieldwork and methods used for data collection and the survey process and limitations. Part of the rationale of this initial phase of the research programme was to conduct appraise potential research methods and a undertake a participatory assessment of the approach, for the purposes of training of future teams and for the standardisation of prospective deployment of these methods. The methods and process are therefore described in detail.

## **2. Aim and Rationale of Approach**

The project aims to use a complementary and iterative mix of existing and new quantitative and qualitative data. Thus, for example, analysis of existing survey data may help identify questions to pursue through initial qualitative field research. These results may then inform the development of a quantitative survey, whose analysis may in turn highlight issues that can be most effectively resolved through further qualitative investigation.

The initial fieldwork methods were therefore devised with the following aim:

To conduct a preliminary survey that incorporates an iterative mix of participatory assessment, qualitative investigation and household questionnaire survey. Although it was considered that a full livelihoods assessment was beyond the scope of this study, an aspect of the survey was to provide an understanding of financial, physical, natural, human and social capital to place into context the findings on access barriers. The research process was ordered:

- Overview and secondary sources investigation<sup>1</sup>
- Establish the fieldwork programme for the preliminary field research
- Methods - Collate baseline and qualitative data and
- Evaluate the fieldwork research process and identify issues to be investigated in the second round of fieldwork.

### **3. Establishment of the Fieldwork Programme**

In order to meet the first fieldwork objective, to establish the fieldwork programme, it was considered necessary to:

- Link up with and incorporate the suggestions, ideas and needs of the collaborators and stakeholders,
- Select districts and communities,
- Consider methodologies.

In order to link up and incorporate potential collaborators several approaches were taken. Firstly, drawing on the findings of the survey of past research, introductory meetings were held with key researchers from a cross section of institutions. During these preliminary sessions in Kampala, there were discussions of rationale and gaps in knowledge, hypothesis and approach, and district selection, as well as an ongoing assessment of feasibility and timing of collaboration. A list of interviewees is tabled in appendix 1<sup>2</sup>.

Secondly, a group meeting was held in order to facilitate a focussed participatory discussion of the project with specific focus on the issues to be addressed, district selection, and approach and methods. The discussion considered the integration of the project with the Government of Uganda's needs and activities, mutual benefits for researchers/stakeholders and collaborators, and ideas for dissemination of information (suggestions and requests). For further details of attendance and key outcomes of the group discussion see appendix 2.

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<sup>1</sup> A literature review of relevant studies relating to Uganda RNFE is also available.

<sup>2</sup> Two rounds of meetings were held: those described here and an earlier set of meetings between the project leader and a wider range of stakeholders in Uganda, which served to introduce the research and signal the planning and field work processes to be undertaken two months later. Appendix 1 provides a complete list of contacts.

#### 4. Methods

A broad range of methods was used depending on the level of data collection (macro to grassroots), time requirements and staff skills and availability. The decision to employ a particular method was determined by the variety of outputs required and inputs (staffing, time and finance) available. It is important to note that each method did not yield a finite data set. The aim was to acquire knowledge by combining different types of data using triangulation and cross correlation of methods in a complementary manner with community and other stakeholder participation.

Much research in Uganda that is related to the status of livelihood strategies has been undertaken using quantitative and participatory methods of gathering data to analyse poverty. The findings have resulted in trends that appear contradictory, a dichotomy that is partly related to the methods of data collection. The Uganda National Household Survey, using largely quantitative techniques, indicates that poverty is falling. Meanwhile the Participatory Poverty assessment (1998/9) did not identify such a trend and indeed recorded some indicators to show that the poor are getting poorer. These findings were further analysed by McGee (2000) who indicated that the two sets of findings are not directly comparable but are compatible. She states that:

*The two sets of findings having different strengths...can be used to complement each other. Such complementary use will offer more and better information on poverty in Uganda than either set on its own.” (McGee, 2000)*

Income generating activities are multifaceted and are effected by a wide variety of tangible, material and non-material and less tangible or visible factors. Methods employed for this survey was informed by these complexities and hence the researchers had to collect data wider than those of IGAs per se. Consequently the data incorporate a broad set of conditions, assets analysis related to the way people structure income generating activities as well as the reasons why others cannot access income-generating opportunities.<sup>3</sup>

A further complicating factor that influences data collection is perception, both people's perceptions of their problems as well as what they believe that they should let the interviewer know.<sup>4</sup> Perception data extracted by PRA methods are also influenced by people's view of their status and their aspirations. These perceptions are dynamic and change according to local and national context and even seasons. For example the initial survey was conducted in Rakai district during 'the hungry season' which might have contributed to a more bleak view than if there had just been a good season. For instance, several key informants said that people could not conduct IGAs as they 'are starving'.

Hence, for the purpose of this survey using methods devised by Meadows (1998) that merged quantitative and qualitative techniques,<sup>5</sup> a mix of contextual and non-contextual data was attained. To ensure the quality of the data gathered methodological triangulation was applied

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<sup>3</sup> Data were collected on both farm related and non-farm IGAs in order to investigate the link between these, sometimes complementary, sometimes contradictory livelihood activities.

<sup>4</sup> Known as the interviewer effect – respondents and participants give answers according to their perceptions of the interviewer.

<sup>5</sup> It is widely accepted that the separation of quantitative and qualitative data creates problems.

throughout the research process.<sup>6</sup> This was particularly important to verify statements made by research participants in focus group discussions or key informant interviews. Triangulation was used to ensure that such statements, whilst useful to illustrate particular points and issues, were not taken as facts unless corroborated by cross correlation with other data.

During the process of district confirmation and key informant discussions the methods that were originally devised were revised according to inputs from collaborators and new knowledge of the districts selected.<sup>7</sup> The methods used and how these might be phased are detailed in Table 1 below.

**Table 1: Triangulation of Methods**

Fieldwork Period	Investigation	Methods
Uganda Fieldwork - preliminary research	Infrastructure – district and community level	B, KI, PRA
	Household composition	B, HH?I
	IGAs present; barriers and opportunities	B, PRA, and HH?I
	Assessment of Livelihoods/ assets	B, KI, PRA, HH?I
Uganda Fieldwork - subsequent follow-up research	Health and Nutrition	B, HH?II
	Education and Skills	B, HH?II
	Social capital; culture, religion, beliefs, labour organisation issues, Linkages and Networks	PRA, KI, HH?II, TS

Key: Background research (B), Qualitative household, community and district assessment using PRA methods (PRA), Key informant interviews (KI), Household level assessment (HH? I), Household level case studies (HH? II), Time studies (TS)

It is important to reiterate that the issues were explored and findings verified by using a variety of data collection methods. Table 2 is a guide to some of the methods used and the purpose and issues.

<sup>6</sup> Triangulation is the process of using multiple perceptions to clarify meaning, verifying the repeatability of an observation. Acknowledging that no observations or interpretations are perfectly repeatable, triangulation serves also to clarify meaning by identifying different ways the phenomenon is being seen.

<sup>7</sup> Fieldstaff for data collection in the preliminary field work described here were community members whose skills were insufficient to conduct the survey methods employed without a significant training period for which there was no time. Thus, for this stage of the data collection local fieldstaff were employed for translation and as key informants and guides. Capacity building was therefore limited. However, a teacher employed from the primary school to work in Kitambuza said “this work has helped me to understand how to do research. It is good to know for when I do my BSc”. It was initially envisaged that for subsequent fieldwork institutional collaborator’s staff with greater survey knowledge would be employed. However, the benefits of using community members with fewer skills but more local knowledge and connections were evident.

**Table 2: Issues and Assets Explored/Purpose and Methods Employed<sup>8</sup>**

<b>Issue(s)/Purpose</b>	<b>PRA &amp; Other Tool(s) Used</b>
Assessment of community physical/natural assets	Participatory Resource Mapping
Exploration of local resources and development conditions as well as location and selection of sample for HH questionnaire (gauge of physical, natural and capital assets)	Transect walks
Understanding of different business activities undertaken by individuals and small organisations (key issue)	Focus group discussions <sup>9</sup>
Gaining in-depth knowledge of specific issues, structures and organisations (key issues)	Key informant discussions <sup>10</sup>
Following up and illustrating specific issues (key issues)	Case studies – semi structured interviews
Gauging perceptions, attitudes, meanings and values (social assets)	Observation and participatory observation with informal Q & A with community informants
Gender differences in access (social assets)	Gender analysis of ranking of key IG activities and problems (problem ranking)
History of activities and problems (gauge of capital, physical, natural, human and social asset change)	Time line
Wealth differences (capital assets) – understanding of different business activities employed according to wealth/well-being groups	Wealth ranking
Household variations in activities and problems cross correlated with wealth (a gauge of capital and physical assets), gender, age, education and social circumstance variations (a gauge of human and social assets/distribution of benefits/access barriers)	HH survey – questionnaire.

## 5. The Research Process

A pilot survey was undertaken in Rakai District to test, evaluate, revise and evolve field methods and provide informal training that was ongoing whilst collecting initial data sets. The process was:

<sup>8</sup> For details of the PRA process see appendix 3.

<sup>9</sup> See appendix 4 for list of focus group discussions and focus group discussion checklist.

<sup>10</sup> See appendix 5 for key informant interview checklist.

1. Initial qualitative scoping survey that included:

- a) Meetings with local government representatives (District Level) in different sectors. These meetings served dual purposes; courtesy and informing of intentions, as well as community selection and facilitation of access.
- b) Meetings with private sector, small-scale enterprise representatives in order to understand access problems from non-government perspective.
- c) Meetings with key NGOs.

Advice obtained at these meetings was incorporated into the approach followed by revision of methods. The communities were selected considering collaborators advice and the logistics of access (see section 6 below).

2. District Selection and Access – The district selection process was governed both by a series of criteria and pragmatism. The criteria selected were:

- High and low agriculture potential areas; based on the rationale that livelihood strategies follow different trajectories depending on the strength of the agricultural sector
- Well and less-well developed processes of decentralisation and governance; based on the rationale that local determination of resource allocation and use should enhance the RNFE
- Key collaborators own views on which districts the project should focus
- Available literature and background material.

The pragmatic considerations revolved in part around the building of consensus or compromise around the above criteria, and in-part on the practical feasibility of conducting field research in some districts rather than others (for example, some of the potentially poorest districts in Uganda are politically unstable at present).

3. Site/Community Selection and Access - The site selection was undertaken in Rakai District after consultation with key informants primarily agricultural extension workers who also arranged community access<sup>11</sup>. Site selection was confirmed after a scoping survey to seek out sites that had high and low potential; scattered and linear settlements, etc. Access was arranged to conduct the methods outlined in Table 2 above.

4. Interim evaluation and assessment - preliminary analysis, discussions and revision of methods was carried out during the fieldwork

A similar approach was then applied in Kumi District after which the household survey was conducted (see appendix 6).

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<sup>11</sup> See limitations in site selection, section 6 below.



## 6. Data Quality Evaluation and Research Process Limitations

The final objective was to evaluate the research process and identify shortfalls to be addressed in subsequent fieldwork in Uganda. It was found that many anticipated method and process limitations were offset by the complementary range of expertise of the research team and the early examination of the problems experienced by researchers of the Uganda Participatory Poverty Assessment Process (UPPAP). This reduced the risk of problems usually associated with PRA such as:

- Lack of attendance at the community meetings due to other commitments. Although it is ideal to schedule these at the start of the first day of the research process for participatory assessment and guidance purposes, community meetings were scheduled according to the community's requirements.
- The monopoly of community or focus group meetings by certain members of the community. During the UPPAP project it was found that 'the reverence for elders and local leaders encouraged them to monopolise contributions during the PRA meetings'. This happened for approximately 7 minutes at the meeting in Byakabanda but the problem was overcome by the skills of the facilitators. Moreover the expected problem of women being more reluctant to speak than men was little encountered.<sup>12</sup>
- Community expectations – although simply by being there expectations were initially raised, the team at many junctures explained their presence and the project in a manner that limited problems associated with raised expectation. This perception was cross-checked by seeking feedback from schoolteachers at Kitambuza and a community leader at Byakabanda.

Due to the anticipation of and arrangements made for some of these predicted problems it is believed that the quality of the data collected is high. However, some factors were beyond the research team's control, which has resulted in process problems and quality limitations of the data. These are surmised as:

- Time restrictions – bearing in mind the problems of time loss experienced during surveys associated with the Uganda Participatory Poverty Assessment Process (due to protocol in access to new sites and that 'the distances between the sites were tiring' and 'tiresome and unproductive') site selection was influenced by the logistics of distance and access.
- Community meeting PRAs – in order to accommodate unscheduled events in the community's activities (both Byakabanda, and Kitambuza has unexpected funerals) the community meetings were curtailed. The research team perceived that the range of PRA activities originally designed for the communities was too lengthy (particularly after a funeral) and too complex for large group participation (particularly in the case of Byakabanda). Therefore it was decided to conduct wealth ranking, originally intended for

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<sup>12</sup> Although there was an experienced gender analyst on the research team it is believed that women speaking out was as much to do with the confidence of the women as the skills of the facilitators of meetings. The fact that Rakai District is an area where NGOs have tended to support women's groups may have contributed to this phenomenon. However, within the households and in other aspects of community activity, gender discrimination against women was noted.

the community meeting, in focus group meetings. Similarly time line and trend analyses were conducted in smaller groups.<sup>13</sup>

- The HH survey was the most problematic area of the research methods for several reasons. Firstly, the original questionnaire format was inadequate for recording some key information issues and also incorporated some questions that were found to be confusing especially the institutional link questions (included to provide information also of use to the local governance research component – see section 1 above). This was amended after the pilot study.<sup>14</sup> However, this restricts the value of the comparisons made between the first and second districts. Secondly, the length of the questionnaire limited the sample size. Finally, systematic sampling, although attempted, was not adhered to.

## References

McGee, R., 2000, Analysis of Participatory Poverty Assessment and household survey findings on poverty trends in Uganda, Mission Report 10-18 February 2000, Institute of Development Studies, University of Sussex..

Meadows, K. F., 1998, A Gender Analysis of Post Apartheid Development, Western Cape South Africa 1994-1996. Unpublished Thesis, University of London.

Uganda Participatory Poverty Assessment Process (UPPAP), 1999, *Uganda Participatory Poverty Assessment Report – Learning from the Poor*, Ministry of Finance Planning and Economic Development, Government of Uganda.

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<sup>13</sup> This was done following the experience of the UPPAP team working with the Jie people where research fatigue resulted in tensions during the PRA exercises so extreme that the researchers were required to swear that the PRA would result in development projects.

<sup>14</sup>This could not be amended after the Byakabanda survey day when the problems were first encountered due to lack of access to the necessary resources.

## List of abbreviations

DANIDA	Danish International Development Agency
DFID	Department for International Development, UK
EPRC	Economic Policy and Research Centre
GoU	Government of Uganda
HH	Household
HHH	Household Head
IDD	International Development Department
IGA	Income generating activity
IHS	Integrated Household Survey
MFEPD	Ministry of Finance, Economic Planning and Development
MSE	Micro and small enterprise
NGO	Non-governmental organisation
NRI	Natural Resources Institute
PMU	Poverty Analysis and Monitoring Unit (Ministry of Finance, Economic Planning and Development, Uganda)
PRA	Participatory rural appraisal
ODI	Overseas Development Institute
Q&A	Question and Answer
RNF	Rural non-farm
RNFE	Rural non-farm economy
SSA	Sub-Saharan Africa
UBoS	Uganda Bureau of Statistics
UEA	University of East Anglia
UPPAP	Uganda Participatory Poverty Assessment Process
WB	World Bank

## APPENDIX 1 LIST OF CONTACTS IN KAMPALA

Godfrey	Bahiigwa	Senior research fellow, EPRC
Dr	Bazaara	Director, Centre for Basic Research
Kate	Bird	IDD, Birmingham University (IDD is working with NRI on the local governance RNFE research)
Robert	Blake	WB country program manager
Alwyn	Chilver	DFID, Sustainable Livelihoods adviser
John	De Conick	Community Resource development Network
Klaus	Deiningner	WB economist, analysis of IHS, from Washington
Graeme	Donovan	WB Economist, covers Uganda from Washington
Frank	Ellis	University of East Anglia (project leader, DFID-funded research on livelihood diversification)
Fred	Golooba-Mutebi	Development Research and Training
Michael	Hubbard	Economist, IDD, University of Birmingham
Daniel	Iga	DANIDA (support to Rakai District)
Paul	Jackson	IDD, University of Birmingham
Darlison	Kaija	Institute of Economics, Makerere University
Margaret	Kakande	Poverty Monitoring and Analysis Unit
Jackson	Kanyerezi	IHS co-ordinator, Uganda Bureau of Statistics
Rein	Keoelstra	First secretary, rural development, Embassy of the Netherlands
Vicky	Luyima	Civil society, DFID
John	Male-Mukasa	Director, Uganda Bureau of Statistics
Henry	Mbaguta	Ministry of Finance, Planning and Economic Development
Ms	Medius	Librarian, Makerere University library
Avoki	Milton	Rural development consultant
Edward	Mugabi	Dir Decentralisation Sec, Min Local Govt
Norbert	Mugwagwa	WB country portfolio manager
Paul	Mullard	DFID economist
James	Muwonge	IHS, Uganda Bureau of Statistics
Frederick	Mwesigye	Research programme officer, Action Aid
Rosetti	Nabbumba	Policy Analyst, PMU
Salim	Nahdy	National Agric Advisory and Dev Services
Dr	Nakanyike	Dir, Makerere Institute of Social Research
Peter	Ngategize	Programme for Modernisation of Agriculture co-ordinator
Charles	Ntale	Director, Dev Research and Training
Marios	Obwona	Acting dir, Economic Policy Research Centre
Willie	Odwongo	Ag Policy Secretariat, Min of Finance
Leonard	Okello Chandwong	Co-ordinator, UPPAP
John	Okidi	EPRC
Antony	Okori	Action Aid
Martin	Olaa	Project Monitoring Unit, Min of Local Govt
JJ	Oloya	WB rural development specialist
John	Olweny	DANIDA
Salli	Simba	Dept of Social Sciences, Makerere University
Richard	Ssewakiryanga	UPPAP
Louis	Vernon	Asst Country Director, CARE
Antony	Way	DFID Enterprise Development Officer

## **APPENDIX 2 MINUTES OF THE UGANDA COUNTRY STUDY INCEPTION MEETING. Kampala, 4 October 2000**

### **Present**

Henry Mbaguta	Private Sector Development/CB Section, Economic Development, Policy, & Research Department, MFPED
Rosetti Nabbumba	Pverty Monitoring & Analysis Unit, MFPED
Richard Ssewakiryanga	Uganda Participatory Poverty Assessment Project, MFPED
James Muwonga	Uganda Bureau of Statistics: Principal Statistician
Peter Ngategize	Plan for the Modernisation of Agriculture
Rein Koelstra	Rural Development, Embassy of the Netherlands
Terry Cannon	NRI: Local Governance Component Leader
Kate Meadows	NRI: Social Anthropologist
David Smith	NRI: Social Development
Karen Zwick	Independent Consultant

### **Apologies for absence:**

Margaret Kakande	Poverty Monitoring & Analysis Unit, MFPED
Tim Williams	DFID: Governance Advisor
Alwyn Chilver	DFID: Renewable Natural Resources Advisor
Ann Gordon	NRI: Access Component Leader
Nandini Dasgupta	NRI: Economist and Enterprise Specialist
Mike Hubbard	International Development Department, University of Birmingham: Local Government Specialist
Paul Jackson	International Development Department, University of Birmingham: Local Government Specialist

### **Absent:**

Charles Ehrhart	Uganda Participatory Poverty Assessment Project, MFPED
Lance Kashugyera	Private Sector Development Section, MFPED
John J Oloya	World Bank: Rural Development Specialist
Daniel Iga	Royal Danish Embassy
Berit Basse	Royal Danish Embassy

### **Proceedings**

Terry Cannon (TC) opened the meeting by thanking the participants for attending, and directing their attention to a handout which explained the background to the meeting. The participants then introduced themselves briefly.

TC then described the background to the project, which is funded through the DFID/World Bank Partnership for Rural Development and implemented by NRI. It reflects a shift in/broadening of WB thinking on rural development from focussing on agricultural development alone, which coincided with the adoption of the Sustainable Livelihoods approach at DFID. The WB held a workshop on the RNFE in Washington DC approximately 18 months ago. From this, three topics for research were established, as follows:

- ◆ RNFE in Eastern Europe;

- ◆ Barriers to entry which prevent people from participating in rural non-farm activities in developing countries (the Access Component); and
- ◆ The role of local governance and the decentralisation process in promoting the RNFE in developing countries (the Local Governance Component).

DFID engaged NRI and other partners and national consultants to undertake research in Uganda, in either Ghana or Malawi (to be decided upon at a later date), and in two states in India. The research is intended to inform policy at the country level in order to develop non-farm rural livelihoods where appropriate, especially for the poor, and be of direct use to the countries involved. In recognition of this, Margaret Kakande (MK) had offered to second a member of her staff to the project.

The research will be focussed on the RNFE in recognition of the fact that this area has not received enough attention in the past, despite evidence from many studies in SSA that non-farm activities contribute up to 30-40% of incomes in many rural areas. It will try to identify ways in which non-farm activities can be accessed by more people, improved, and made more sustainable.

The fieldwork consists of two components. The Local Governance Component seeks to test the hypothesis that good governance creates conditions in which RNFEs can thrive. Fieldwork will focus on constituted and unconstituted government, institutions, NGOs, civil society, and the private sector, and investigate the role of decentralisation. The Access Component will have focus on the household and individual, and work from the bottom up to identify barriers to entry into RNF activities.

In Uganda, the fieldwork will be carried out in Rakai and Soroti<sup>15</sup> Districts, with the first phase in October and November/early December 2000. The work will complement that of the DFID Diversification of Rural Livelihoods project led by Frank Ellis (UEA) in three other districts – Mbale, Kamuli, and either Mubende or Mbarara. Thus at the end of these projects there will be good case studies from, and enhanced knowledge of, a total of five districts. Further field work is planned in 2001, with field research in Uganda expected to last 12 – 18 months (to identify linkages with the agricultural year). Overall the project will last three years.

David Smith (DS) then discussed the key issues and determinants of access to the RNFE. Various statements, issues, and hypotheses drawn from analyses of household studies in Uganda and elsewhere were presented. It is intended that the Access Component will build on this research, and try to test these hypotheses at the household level.

Kate Meadows (KM) then discussed the methodologies the Access Component will test in the field. Both qualitative and quantitative methods will be tested, but she requested input from the participants to ensure that they are of benefit to all, and can inform Ugandans of the important indicators and issues. A pilot study will be carried out in Rakai during which PRA tools and questionnaires will be developed and tested, before proceeding to Soroti. It is hoped that the methods developed will be used in the other country studies, as well as for further studies in Uganda. However, it will be important to continually monitor feedback and assess the methods. For this first phase, KM had worked up a baseline survey of access

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<sup>15</sup> This was subsequently changed to Kumi because of the Ebola outbreak which coincided with the start of field work.

issues, and created the draft questionnaire. This first Access fieldwork and the Local Governance fieldwork in November/early December would then inform the second, more detailed qualitative work to be undertaken 2001, which would attempt to tackle issues emerging from the preliminary field work. A challenge will be to standardise methods across communities within Districts, Districts, and countries, while maintaining applicability.

In overview, the methods used are: to conduct a literature review to identify the key hypotheses to be tested, which is collaborative and ongoing; the initial fieldwork will be primarily qualitative, and focus at household, community, and district level, with much use of PRA tools, and include a livelihood assessment, with a particular focus on indicators of wealth and wellbeing, and the links between them. Use will also be made of key informants, and open-ended household questionnaires to add to existing household data, or to establish baselines as necessary. Subsequent Access fieldwork will then use more detailed and advanced tools such as network and relationship analysis, and time studies. It is hoped that not only will methodological successes feed into and inform the larger national surveys, but that failures too will be of interest to the participants in their further work.

TC then turned the meeting over to discussion, with a particular request for comments on how the research could be integrated with existing GoU aims and needs, and how it could most benefit the collaborators, particularly the Districts. He also requested input on the most useful ways of disseminating the findings.

Henry Mbaguta (HM) then made a number of points. The non-farm sector and MSEs had been receiving some attention over the past five years, and had influenced perceptions of poverty. However, results were not shared with stakeholders, which had led to a bias against researchers coming from the capital. Therefore he advised the team to be sure to state clearly their objectives at the beginning of the fieldwork to avoid falsely raising expectations. He then mentioned some research undertaken by his unit on information accessibility of MSEs focussing particularly on food processors, handcrafts, carpentry, and metalwork, which he offered to share. He then commented on the choice of districts: Rakai has been heavily influenced by the presence of a number of donors, including in the non-farm sector. Soroti is one of eleven districts with a District Private Sector Promotion Centre, and there are many entrepreneurs there ready to take up enterprises in response to training and the availability of credit. However, he was of the opinion that it might also be of value to study a poorer, less advanced district, such as Bundibugyo. Finally, he commented on the presence of a great many sector organisations, particularly in Rakai (although these tend to compete with rather than complement one another), with whom it will be important to collaborate, as well as with district level business institutions, the private sector, and the chambers of commerce.

Richard Ssewakiryanga (RS) then made a number of points. He pointed out that the research would have value in the interim, especially to local governments, before the final conclusions from all of the different countries had been reached, and urged the project to make this information available as soon as it was ready. This would also allow for timely feedback, and for important issues to be included into his department's research in 2001. Information of revenue generating activities would also be of interest to local governments re their tax base. The information gathered would also be of interest to central government, particularly the participatory research with livelihoods focus, as it could influence the UPPAP. Finally, he informed the meeting that there was a study of fiscal decentralisation coming soon.

Rein Koelstra (RK) then urged the project to consider using Makerere University students as research assistants, as appropriate. He then asked for clarification on timing, which was provided by KM and TC.

James Muwonga (JM) then stated that he hoped the data could feed into the District Assessments and District Resource Endowment Studies. KM asked for input on the types and formats of data that would be most useful.

HM then described how his department was moving ahead with eleven District Information Stations, one of which is in Soroti. He hoped the data collected by the project there could update information on MSEs. The district databases are all linked via UBoS, so the information is accessible.

Rosetti Nabbumba (RN) then urged the project to remember the macro level, which influences the resources at the district level. TC said that some of this would be covered in the decentralisation part of the Local Governance Component. KM added that it would be more of a focus in the second phase of fieldwork, as these crucial linkages would be difficult to uncover the current short pilot phase.

Peter Ngategize (PN) then referred back to the issue of district choice, and suggested that perhaps more funding could be sought to cover a less privileged district in addition to Rakai and Soroti. He felt there was a need to have strong Ugandan collaboration – and mentioned EPRC as a reference point – so that data and information are not lost when expatriate researchers leave at the end of the project, and he stressed the importance of personal contact and continuity. The PMA is including links between farming and non-farm rural activities. The decentralisation process is empowering local governments with non-allocated funds, but local governments need guidelines on how best to spend this, which he hoped the project could contribute to. He also hoped it could feed into a new competitiveness strategy. However, as well as disseminating the findings at the national level, it will be important to include district level governments, NGOs, donors, and local leaders.

RN stressed the need for reports to be accessible, perhaps with short crystallised summaries and more detailed appendices for busy policy makers. TC added that there are also plans for a short meeting/workshop to disseminate findings from the country studies, as well as ultimately from the comparative international study.

RK drew attention to the fact that Government is targeting the sub-county level for bottom-up planning, and urged the project to work at this level. Workshops at the district level should be sure to include leaders from this level, as they too need direct access to information. TC added that the sub-county level is also important for the implementation of the PMA.

TC then addressed the issue of district choice by saying that although Rakai and Soroti had benefited from various donor and government projects, and were more advanced than some other districts, their RNFEs were still not well developed, and there was still a lot of poverty, and they were only approximately average in terms of their development indicators (1996 data) and thus would provide case studies. Furthermore, Rakai's reputation for good governance would allow testing of the role this played in developing the RNFE. From his recent observations this had not yet impacted significantly on the economy in general, and on the RNFE specifically.



JM suggested that within districts, the project could look at communities that were more and less influenced by these donor and government projects. PN stated that in Rakai, however, the influence of donors was very widespread. RN suggested that this might provide an interesting opportunity to evaluate this influence. TC added that in Rakai, although DANIDA did contribute significantly to the district budget, most of these monies were focussed on infrastructure and governance, with few direct economic inputs, mainly through small scale support to women's groups. In fact, Dutch aid in Soroti has had more direct economic impacts through a revolving credit scheme.

HM then stated that he was particularly drawn to the "policy" part of the project, as he had been working on RNFE policies for the past five years, albeit in the context of the broader private sector. Comprehensive policy proposals were being drawn up through the mechanisms of the district plans, which include infrastructure, finance, and capacity building (technical training and education). It is also important to remember the cross cutting themes of gender, environment, and HIV/AIDS, so that policy is not made in a vacuum.

RN then said that it would also be important to inform policy makers at the highest level to introduce the findings to the widest possible audience, to ensure that actions were not duplicated.

There were no further pressing comments, so TC then closed the meeting by thanking the participants for their helpful and constructive comments. This research is the beginning of a process, which it is hoped will be of use and benefit to Ugandans and poor people everywhere.

#### **Actions**

KZ to follow up on MK's offer to second a member of staff to the project

DS/KZ to follow up on HM's report on MSEs

## APPENDIX 3 THE PRA PROCESS

### Methods

- Thank the community for assembling
- Introduce yourselves
- Explain the project, aims, expected outputs.
- Questions
- Ask everybody to sign the attendance list as it circulates

Ask the group to volunteer a list of IGA activities in this community<sup>16</sup> – in the background, write them on TWO sets of Post-Its, both in English and the local language. Use icons too if you think there are people who don't read well. Lay out the two sets on large pieces of paper/card on the ground or on two tables.

Ask the group to volunteer a list of problems (barriers) they face with these IGAs<sup>17</sup> – in the background, write them on TWO sets of Post-Its in English and the local language. Use icons too if you think there are people who don't read well.

Ask the women to get three beans (or other markers – stones, bottle caps, etc.) each. Divide the women into an “older” and a “younger” group (if possible), and assign each group to one of the sets of Post-Its. Ask each women in each of the groups to vote by placing her three beans on the cards representing the different IGAs according to which she thinks are the most important.

Tally the scores in a notebook and remove the stones so the men cannot see how the women voted.

Do the same with the men, in the “older” and “younger” groups (if possible).

Have a representative of each group present their group's finding back to the whole community group, if possible. Discuss the results - overall conclusions, differences and similarities amongst the four groups.

Repeat with the problems, with men, and then women. Discuss

Ask the group to volunteer a list of factors which have allowed some IGAs/businesses to start up and/or continue successfully (enabling factors). List them on a poster/flipchart, in English and the local language. Discuss how these could be promoted/strengthened, so that more people, especially the poor, can access IGAs and business opportunities.

- Thank the group.
- Ask the group if there are any topics which have been overlooked, or if there are more things they want to tell us, or if there are questions they want to ask.
- Thank the group again. Ask anyone who has not yet signed the attendance list to do so.

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<sup>16</sup> Look out for areas of confusion and try to elucidate as much as possible, e.g. income from selling farm produce grown by the HH, income from buying and reselling farm produce grown by others, trading in non farm commodities, market trading, shopkeeping, etc.

<sup>17</sup> Look out in particular for issues related to lack of *start-up* capital or credit and lack of *working* capital or credit.

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Depending on timing and enthusiasm, decide whether to continue with more exercises in smaller groups now or at another time.

The number of groups will depend on the number of skilled facilitators. Activities could include:

1. Definition of wealth and well being. Definition of wealth/well being/socio-economic groups in this community (possibly do this with different groups – e.g., older men, younger men, and women, divided by age, or not). Brief discussion on relative sizes of these groups. Discussion of the different IGAs undertaken by HHs in the different groups, and WHY this is so. (The flip side of this is get the group to use the IGA Post-Its from before and discuss the what kind of person/HH undertakes each one, and why this is so.)
2. A history (timeline) of the community generally, with a special focus on the development of IGAs and the business community
3. Seasonal calendar – climate, agriculture, other (non-farm) activities, labour demands, wealth/well being/income.
4. Mapping, with a special focus on socio-economic mapping/the spatial distribution of different IGAs, plus infrastructure and institutions, perhaps with a historical component.
5. Venn (chapati) diagrams (e.g., institutional relationships)

Plus general discussion groups:

- “Business people” (break down into smaller sector groups – formal and informal, e.g., shopkeepers)
- Waged employees (break down into smaller sector groups OR mix in with above?)
- Women (only)

Plus

- HH interviews (questionnaire)
- Medium sized enterprise interviews (checklist)
- District Official/NGO interviews (checklist)

## **Results**

### **Wealth Ranking and Income-Generating Activity Prioritisation Matrix PRAs**

1. **Aims**
  - a. To identify the different socio-economic structure within the community
  - b. To identify the way in which community members define these wealth/ well-being groups
  - c. To define the different IGAs (identified in the previous community PRA) by wealth/well-being groups, by both male and female perspective
  - d. To identify the reasons behind why those in the highest wealth/ well-being category had achieved that level, and why others in the community had not- i.e. issues of access to high potential IGAs

## 2. Methodology

- a. Thanks for assemblance, introduction, and (re) explanation of the projects aims, objectives and expected outputs

### *Stage 1.*

- b. Explanation of the objective of wealth ranking
- c. The group is then asked to describe how many types of wealth/ well-being group exist in the community, such as rich, medium, poor and v.poor.
- d. The categories identified are then posted at the top of columns on a large sheet of paper
- e. The group is then asked to describe each of these groups by way of profiling them (e.g. housing, land animals, money, food, etc.). Each wealth/ well-being category is taken in turn – with definitions written on ‘post-its’ and placed underneath the appropriate category. The result is columns for each wealth/ well-being with the list of definitions underneath each. These are then confirmed by the whole group through further discussion and clarification.
- f. The group is then asked how many households in the community fall under each wealth/ well-being category. The number of households is posted above each category on the paper. Again, this is confirmed by the whole group through further discussion and clarification.
- g. The wealth/ well-being ranking is then discussed through reflection on the results

### *Stage 2.*

- h. Drawing on the list of Income Generating Activities (IGAs) list by the community from the previous ‘Community PRA’, a matrix is constructed listing the IGAs down one side of a new piece of paper, and the wealth/ well-being categories along the top.
- i. The group is then divided into two by sex, and each of the women are given two beans and asked to prioritise those IGAs they feel are carried out by the first wealth/well-being category of people. Having placed their beans, the totals are added up and written down. The women are then asked to repeat the exercise for each wealth/ well-being category.
- j. The men are then asked to follow the same process, and rank with their two beans each the IGAs they feel are carried out by each wealth/ well-being category of people within the community.
- k. The results from both the men and women are added up (separately), and the results are fed back to the group for clarification and discussion. This is followed by a discussion on the implications of the findings.
- l. The group is then asked how they believe the highest wealth/ well-being group has achieved this level – the factors that have enabled them to obtain this level. Consequently (and conversely), the group is then asked what are the access constraints that prevent other members obtaining this level.
- m. The results of the exercise as a whole are then discussed, and further comments invited. The discussion is then drawn to a close.

**APPENDIX 4a LIST OF FOCUS GROUP DISCUSSIONS IN RAKAI DISTRICT**

- Women's agriculture and bakery group, Kamakuma Village, Byakabanda sub-county
- Bagay brickmaking group, Byakabanda Parish
- Twekambe Women's Group (Pottery and Weaving Enterprise) Kyandaaza Zone, Byakabanda sub-county
- Tusubira agriculture and handicrafts Group, Byakabanda
- Kooki women's water and sanitation group (construction of water tanks and fuel saving stoves), Byakabanda sub-county
- Kitambuza- Womens handicraft group
- Kimuli School

**Appendix 4b FOCUS GROUP DISCUSSION CHECKLIST**  
**Qualitative Survey – Key Informants Open-ended Questions**  
**Checklist for medium sized enterprises**

Ask permission to conduct the interview and explain why and who you are.

- Gain general background of key informant:- name, gender, age, education, residence, origins etc.
- Get a list of all the group members: - name, role in group, occupation, gender, age, education, marital status, number of children, name of household head.

1. *Origins, background and objectives of business enterprise* (to get background and current status of business)

- What type of business and when did it start?
- Group or individual and why a group and not an individual, or vice versa?
- Whose idea was it to start?
- How was it started? (probe issues of assets, processes, and hindrances – also see below).

2. *Personnel/recruitment*

- How many members involved in business at the moment (male/female, age, female headed household/education and skills)?
- How many members did you start with?
- Changes in memberships (number, what kind of members?)
- Where does the staff come from (area of residence)?
- Did staff know each other before? (e.g. church, relatives, neighbours, friends, other groups)
- Do the members pay membership or other fees?

3. *Activities and progress*

- What kind of activities?
- When are they done/performed (all year, seasonal etc)?
- Have there been any changes over time in activities? (performance, new activities or less activities compared to start)
- Are there any other activities performed outside the business/group (other income generating activities, social functions e.g. support in times of emergency / socialising)
- Sources of technical advice or own knowledge (e.g. business background and own experience, relatives/friends/neighbours and other community members, NGOs, any other organisations?)
- Have they been involved in business activity before?

#### 4. *Organisation and management of production*

- Leadership roles, how allocated?
- Labour allocation – who is doing what?
- Labour allocation constraints – i.e. workers may only be able to work certain times due to other roles/activities?
- Access/How did they get the resources?
- How do they allocate tasks to staff?
- Decision making and distribution of benefits (individual/communal, or partly mixed?)
- Timing of activities (winter/summer/all-year?).
- Type of activities?
- Type and sources of inputs
- Division of labour: Who is doing the work (responsibilities and involvement of household members by gender and age or other people outside of household/group [relatives, neighbours etc.]?)

#### 5. *Networks of sale and exchange*

- Do they also give some of their produce to others (relatives/friends/neighbours)?
- If sale: Where do they sell? What makes them decide to sell? Is there a difference in selling behaviour throughout the year (e.g. summer/winter)
- If production is sold, what are the profits and what do they do with the benefits?

#### 6. *Problems related to enterprise*

- Do they experience any problems? – details?
- List problems associated with this business activity (for example: input supply, production, drought, pests, and diseases, access to roads/credit, marketing of products, theft, etc.)
- What makes things work out or what problems make working difficult?
- How do you feel the problems identified can be overcome?

#### 7. *Perceptions and Attitude*

- What do other people in their community think of their business?
- What are their plans for the future? Other new IGAs?
- How do they describe their business?
- Why do they think they have been successful in starting up and running their business, where others have struggled or failed? (good group dynamics, good health, good education/skills base)

#### 7. *To end*

- General discussion of the impact of the macro-economy where possible (e.g. taxation, market opportunities, credit etc)
- Is there anything else they would like to tell us? Do they have any questions for us?

*Cross correlate questions/answers with household survey and other data collection sources.*

Compiled by: K F Meadows 3<sup>rd</sup>-5<sup>th</sup> October 2000, Kampala

Tested by: K F Meadows on individual (coffee nursery) and group (water tank construction)

Tested by: K Zwick on group (bakery)

**Appendix 5 KEY INFORMANT INTERVIEW CHECKLIST**  
**District Official/NGO semi-structured interview checklist**

*The focus of these interviews will obviously vary depending on the field of the informant – the following topic headers are therefore a guide only, and should not constrain discussion.*

**Name of department/organization**

**Who?**

- Name. Position. Other positions held.

**What? Information on your programs**

6. What are the main activities? Names.
7. What are the aims?
8. How long have they been running? What is their history?
9. Where are they taking place?
10. How are they funded/supported?
11. Do you work with other institutions?
12. How are your programs doing? Problems? Successes?
13. What are your plans for the future?

**Access to non-farm income generating activities**

- Are there IGAs in the District which are related to your programs? What? How?
- What do you think are barriers in starting IGAs in the District?
- What contributes to difficulties in continuing these IGAs?
- How do you think these can be overcome?
- What contributes to the successes?
- What can government/other institutions do?

**Advice**

- What advice can you give us on people to talk to? District level? S/C level? Parish/village level? NGOs? Kampala?
- What advice can you give us on places to visit in the District?
- Do you have any documents/maps/data you could show us which might be helpful? Can we make a copy?

*Information on the informant's personal background may help to put his/her opinions into context.*



**APPENDIX 6 HOUSEHOLD INTERVIEWS AND CASE STUDIES**

**Access to Rural Non-Farm Livelihoods: Household Questionnaire Phase I  
(Uganda)**

*Before starting the questionnaire...*

- 1) **Introduce yourself, and the project, and include information so that expectations are realistic...**
- 2) **Ask permission to ask do the questionnaire**

**a) Interview details**

- Date: \_\_\_\_\_ Interview team: \_\_\_\_\_
- District \_\_\_\_\_ Community: \_\_\_\_\_
- Location (plot number / street address, or mark on sketch map): \_\_\_\_\_
- Interview language(s): \_\_\_\_\_

**NOTE the presence of indicators of wealth (bicycle / car / radio / TV, connection to mains electricity, telephone, etc., important features of the house, etc. Where appropriate, ask permission to draw a sketch (below).**

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**Sketch map**



**b) Details of respondent**

- Name : \_\_\_\_\_ Gender: M / F Age: \_\_\_\_\_ Education: \_\_\_\_\_ HHH? Y / N
- Marital status: Single / Married / Divorced / Separated / Widowed / Other: (probe for polygamy) \_\_\_\_\_

**c) Details of family / household**

- If different from respondent:
- Name head of household: \_\_\_\_\_ Gender: M / F Age: \_\_\_\_\_ Education: \_\_\_\_\_
- How many people live here? (Men / women / children) Gender / age / education / important relationships \_\_\_\_\_

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- What tribe are you? \_\_\_\_\_

- If no, where did you come from? \_\_\_\_\_

- Why? \_\_\_\_\_

Is this your home village? Y / N

When?: \_\_\_\_\_

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**d) Household economy**

→ What types of **income generating / money making activities** do the members of your household undertake (include sale of farm produce, businesses, wage jobs, etc.)? At this time of year / year round? List all of them here, and discuss the most important two **NON-farm/livestock** activities later in Section B

Activity	Who is involved / relationship to HHH	Age / Sex / Education	Specific responsibilities	How are they paid (wage, kind, etc.)	How much profit (range / avg.) per unit time?

→ Are there other remittances from absent family members, government pensions, etc.? Y / N  
 If yes, what? How much? \_\_\_\_\_

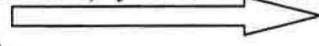
→ What are your most important expenses (average / range, frequency)? \_\_\_\_\_

→ Do you think you are a poor / average / well off household? Why?

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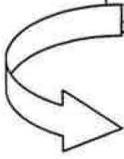
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*Before continuing, check section d) if there are business/income generating activities run on the property or elsewhere?*



If **NO**, complete section A.

If **YES**, skip section A, go to page 4 and continue with Section B.



**SECTION A: Questions for households WITHOUT a business / income generating activity**

\_ Do you want a business? Y / N

\_ Why / why not? (probe for constraints and barriers, previous HH experiences, causes of failure) \_\_

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\_\_\_\_\_ (If NOT, end here)

\_ What would you like to do? \_\_\_\_\_

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\_ Why this as opposed to something else? \_\_\_\_\_

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Why don't you do this now? (probe for constraints and barriers) \_\_\_\_\_

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→ What things do you think you need to start this business? (other than capital).

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If the capital was available, do you think you get these things easily? \_\_\_\_\_

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→ Are you working toward getting capital and / or these things to start this business now? Y / N

→ If not, why not? \_\_\_\_\_

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Do you think you will succeed in starting this business and then keeping it going? (probe for prediction of barriers) \_\_\_\_\_

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What are your plans for the future? \_\_\_\_\_

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*Thank the person for taking the time to do the questionnaire*

**Section B: Questions for households WITH income generating activities** Discuss the **TWO** main activities

**a) Skills / experience**

**Activity 1:**

**Activity 2:**

When was it started?		
How did you learn how to conduct it? (organisation / project / friend / family / own experience / school...)		
Do you ask anyone for advice/help about it? If Yes, who?		
Do you give advice to other people about it? If Yes, to whom? Where?		
Has it changed since you started it? If Yes, how? Why?		
Do you have any help from development projects, NGOs, etc.? If Yes, from whom? What kind?		

**b) Resources: Financial / physical / natural / other**

**Financial/Capital Outlay/Credit**

How much money did you need to start up your business?		
What did you need it for?		
How did you get it?		

**Physical resources (buildings / tools / vehicles / electricity, etc.)**

What "things" do you need for your business?		
How / where do you get these things? (made / borrowed / bought, etc.)		

**Other**

What other resources do you need (raw materials / natural resources, etc.)		
How / where do you get these things?		
How much do you spend on your business/activity per unit time?		
What do you spend this on?		

**c) Marketing of products / services**

Who are the consumers (customers / self / other HH members / friends)?		
Where are they sold? How?		

**d) Problems**

What problems do you experience (input supply, production, labour, transport, marketing, theft)		
What do you do about them? Give an e.g. of how you have overcome / tried to overcome a problem		

Do you pay any taxes or license or other fees? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Does the local government help your business(es) in any way? Hinder it / them? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**f) Attitude and expectations**

How do you feel about your business(es) now? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

What do your family and neighbours think of your business(es)? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

What are your plans for the future? Do you have plans for other businesses? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

*Thank the person for taking the time to do the questionnaire*

Kate Meadows & Karen Zwick

UK / Uganda September / October 2000