Interviewer's Guide:

Rapid Assessment Procedures (RAP)

Addressing the Perceived Needs of Refugees and Internally Displaced Persons Through Participatory Learning and Action

September 2000

CENTER FOR REFUGEE AND DISASTER STUDIES
THE JOHNS HOPKINS UNIVERSITY SCHOOL OF PUBLIC HEALTH

Unless otherwise noted, training materials are taken or adapted from:
Gittelsohn, J. 1996-98. *Qualitative Research Methods.*
The Johns Hopkins University School of Public Health. (unpublished class notes).

Table of Contents

Section I.

Introduction

Today's Agenda

AM

- Opening the workshop
  - Introductions
  - Objectives of the study
  - Schedule of the study
  - Expectations

PM

- Overview of qualitative research
- Interviewing principles

Introductions

- Who are you?
- Where are you from?
- What do you do?
- Any experience with studies?

Study Objectives

- To understand refugee/IDP priorities, challenges and aspirations.

  This information is used to decide what priority problem(s) to address.

- To learn who are the significant persons and organizations among the refugee/IDPs (and external to them) who have the greatest stake in addressing refugee priorities.

  This information is used to decide who needs to work on the priority problem(s).

- To facilitate participatory planning, problem solving and taking action with refugees/IDPs.

  This process is used as a basis to reinforce or build capacity of IDPs to carry out organized problem solving activities using existing resources.

Tentative Schedule

Day 1 & 2:	Initial Training
Day 3:	Introduction to community
	Participatory Map
Day 4:	Walkabout
Day 5:	Free Listing
Day 6 - 8:	Data collection continued; methods to be determined (Pile Sorting, Pair Wise Ranking, Venn Diagram, Key Informant Interviews)
Day 9:	Data management & analysis
Day 10:	Public meeting (identify settlement action tea - SAT)
Day 11 & 12:	Action planning with SAT
Day 13:	Public meeting (approve action plan)
Day 14:	Data management

Expectations

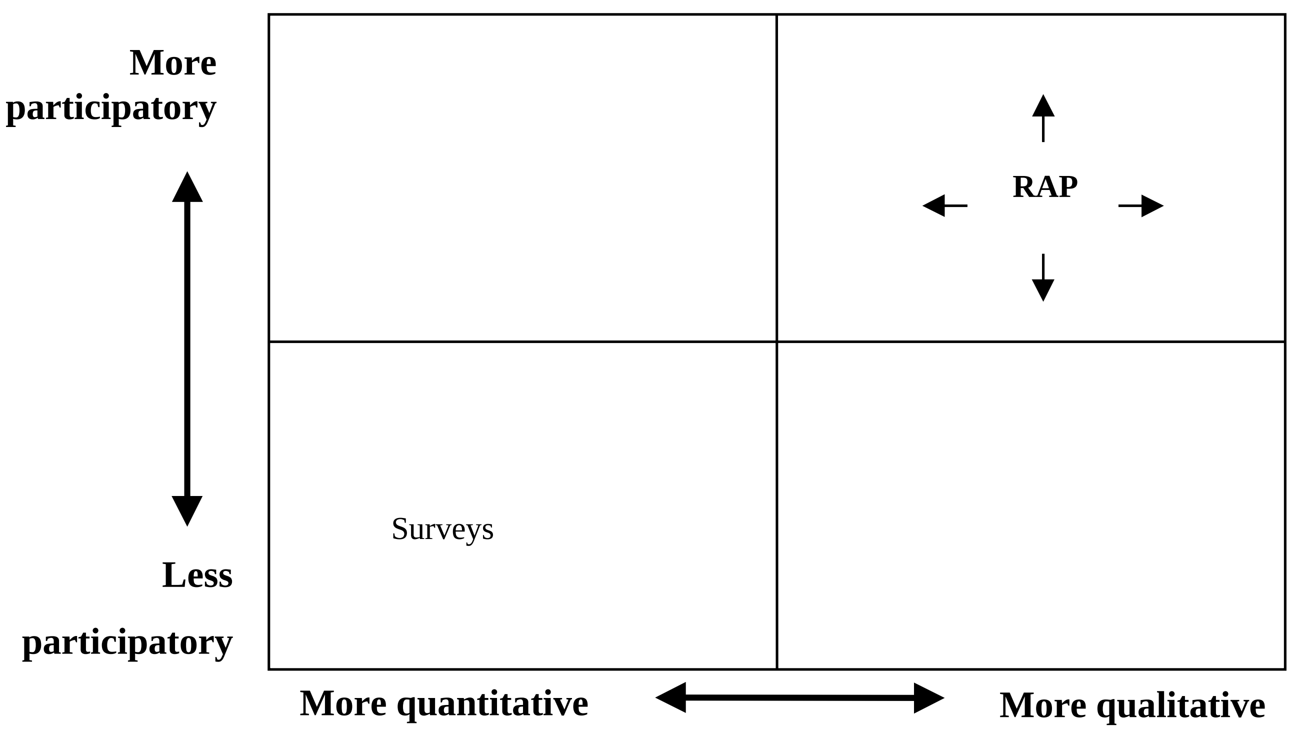
HOPES	CONCERNS

Section II.

Overview of the RAP

RAP Research Approach

- More qualitative than quantitative
- More participatory than top-down



Source of diagram: Freudenberger KS, 1999. RRA/PRA Manual for CRS Field Workers and Counterparts

Qualitative Research Methods

- These are research methods which obtain in-depth information from people. The aim is to understand WHY people think and behave the way they do. Because it requires a lot of time with people to get in-depth information, we usually can only talk with a FEW people.

- This is different from quantitative research methods like surveys. Here we obtain relatively little detailed information from each person. This is because with quantitative research we are interested in describing HOW MANY people know or do something (how many people have had vaccinations, how many people know about ORS). Quantitative research is less useful for describing WHY people know or do something. And, because we want to find out HOW MANY people think and do something, we interview A LOT OF people in quantitative research.

- Both qualitative and quantitative methods are important, and whether we use one or the other depends on what we are trying to learn.

Use of Qualitative Research in Refugee/IDP Programs

- **Identify the refugees/IDP's overall priorities for action and the ranking of specific sectors among priorities**
- Identify priorities within specific sectors/issues
- Identify the underlying reasons for specific problems before developing solutions
- Identify the refugee/IDP's language, concepts and beliefs surrounding specific behaviors/situations targeted for change; and,
- Assess community reactions to programs to adapt implementation

BIAS

DEFINITION:

CAUSES:

- x
- x
- x
- x

Triangulation

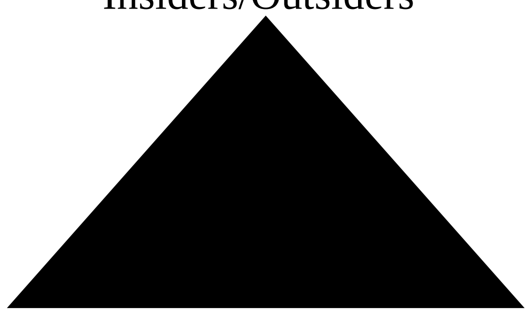
(From Freudenberger, 1998)

Reduce bias by:

- Using team members with different experiences and perspectives
- Continuously cross-checking information using different methods and types of informants
    - Actively identify bias at the end of each day
    - Decide how to manage bias in days ahead

<u>Team Composition</u>

- Multidisciplinary
- Gender
- Insiders/Outsiders



<u>Types of Informants</u>

- women & men
- young & old
- different ethnic groups
- different SES groups
- Notables and typicals
- Specialists (key informants)

<u>Methods & Techniques</u>

- Interviews (group & individual)
- Numbers of informants
- Diagrams
- Ranking exercises
- Calendars/timelines
- Grouping exercises
- Vary times of data collection

Note: See the CRS Manual for RRA and PRA, pages 16-26

Things We Do in Qualitative Research

- Triangulate our information - by methods, makeup of team, type of informant
- Be flexible - take out or add in questions/methods as the study progresses
- Use an iterative process - within & between interviews, within the study
- Use open-ended approaches - allow understanding of the wider context; let the informant lead

Purposive Sampling

- Choose informants who have special knowledge of what you want to study
- Sampling Units:
  - Persons
  - Times/days (e.g. morning vs. evening activities)
  - Events/Episodes (e.g. births, illnesses, meals)
  - Sites/microsites
- Those with special local knowledge of our training study topics:

  X

  X

  X

  X

  X

  X

  X

  X

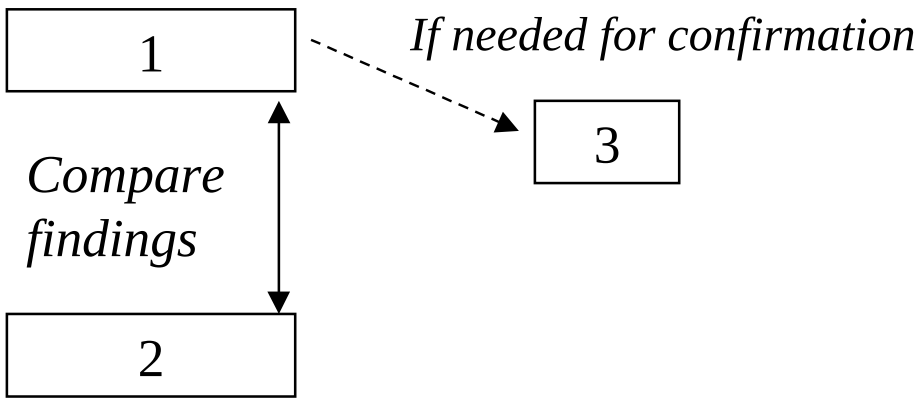
Site Selection

(from Gittelsohn et.al., 1998; Freudenberger, 1998)

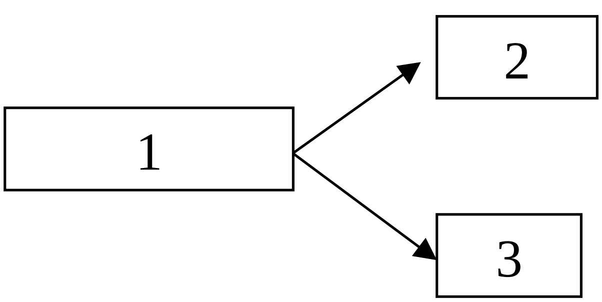
- Study area(s) should represent the target population
  - An alternative is to focus on vulnerable groups
- If there are different ethnic groups within the target population, select an area representing each group.
- Location of the study area should be logistically feasible as long as it does not compromise representativeness
- Triangulate <u>within</u> each study area
  - Repeat data gathering activities in a second or third location of the same ethnic background
  - Purpose of this is to *confirm* what was learned in the first location within the study area
  - Since the purpose is confirmatory rather than explanatory, the amount of data-collecting activities needed is less than in the first location

Examples of Site Selection

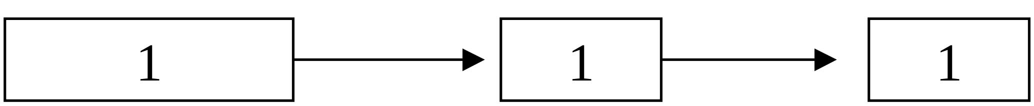
Example 1: 2 primary locations studied at the same time, with a possible secondary location for confirmation



Example 2: 1 primary location, 1 - 2 secondary locations studied later for confirmation



Example 3: 1 primary location studied over time (for monitoring & evaluation or exploring new topics)



Participatory Approaches

(PLA or PRA, RRA, RAP)

<u>Three foundations</u>:

- The behavior and attitudes of outsiders, who facilitate, not dominate.
- The methods, which shift the normal balance from closed to open, from individual to group, from verbal to visual, and from measuring to comparing.
- The partnership and sharing of information and experience between insiders and outsiders, and between organizations.

Source: Chambers R. 1997. <u>Whose Reality Counts? Putting the first last</u>.

Participatory Approaches
(PLA or PRA, RRA, RAP)

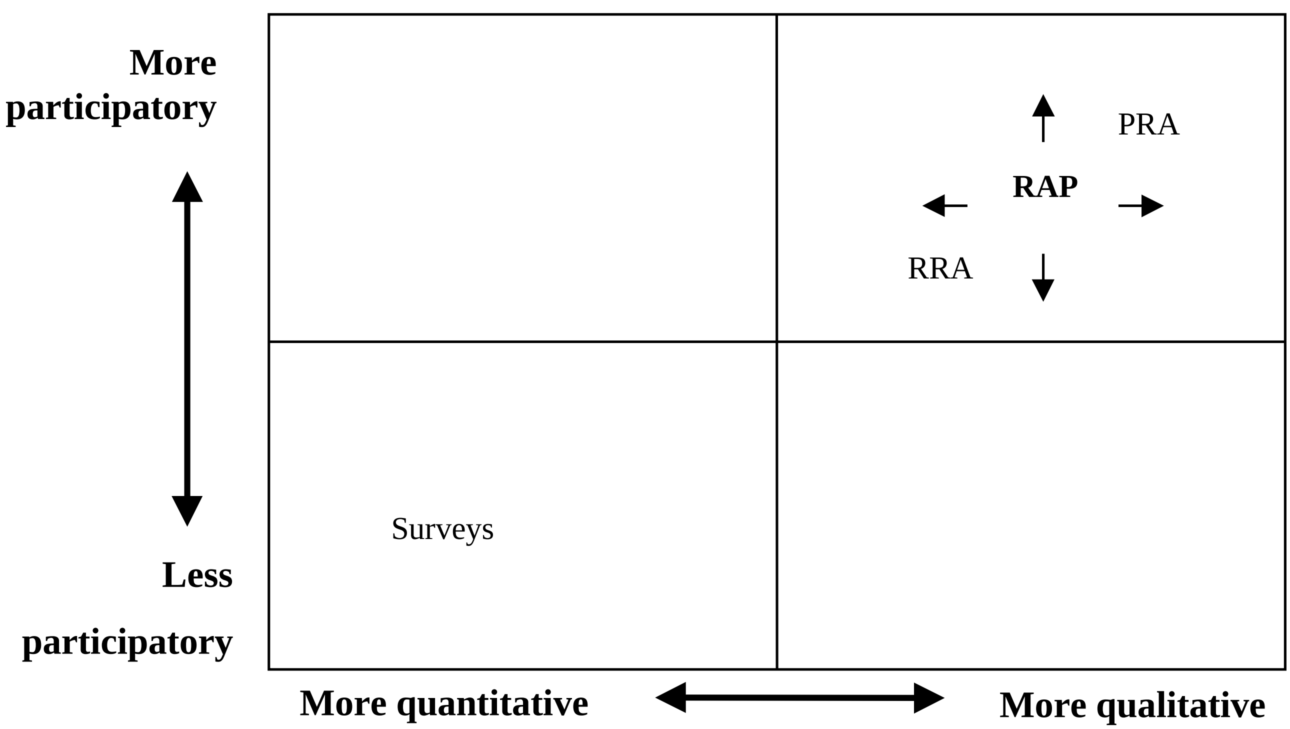
Key Principles:

- **Reversal of learning**: learn directly from the community, gaining from their knowledge;
- **Offsetting biases**: minimize biases by being relaxed and not rushing, listening not lecturing, probing instead of passing on to the next topic, being unimposing, and seeking out marginalized groups within the community to learn from;
- **Triangulate, be flexible, iterative, & open-ended**
- **Handing over the stick (or pen or chalk):** The local people take over the process of analysis of their information, presentations and learning;
- **Seeking diversity**: Actively looking for exceptions, dissenters and differences;
- **Self-critical**: The facilitators continuously examine their behavior and try to do better, correcting dominant behavior.

Source: Chambers R. 1997. Whose Reality Counts? Putting the first last.

RAP & Participatory Approaches

- Located between RRA and PRA
  > Study team can define degree of participation
  > Study team can shift toward RRA or PRA



Source of diagram: Freudenberger KS, 1999. RRA/PRA Manual for CRS Field Workers and Counterparts

RRA / RAP / PRA CONTINUUM

	RRA	RAP	PRA
Objective	Gather quality information that captures the complexity of local situations and values local knowledge	X	Build local capacity to define, analyze and solve problems
Who does it?	Generally a team of outsiders that builds a rapport and works closely with local community	X	Generally a group of local people; sometimes facilitated by outsiders
Output	Information that can be used by outsiders and information that is left for use by the community	X	Local capacity building, skills in planning, sometimes partnerships with outside agencies
Mechanism	Discrete studies often lasting from 5 days to a month	X	Extended process generally lasting months or years
Emphasis	Validity of information collected; capturing of the complexity of local situation	X ⟶	Local communities taking increasingly greater control over the process
Tools, Techniques	⟵ **Qualitative Research Methods Participatory tools and techniques (Diagrams, ranking exercises, etc.)** ⟶		

Source of table: Freudenberger KS, 1998. RRA/PRA Workshop Notes.

Section III.

Interviewing in Qualitative Research

Things We Do in Qualitative Interviews

- **Use <u>open-ended</u> questions**
- **<u>Avoid leading</u> questions**
- **<u>Probe</u> issues in depth**
- **<u>Let</u> the informant <u>lead</u>**

Use Open-Ended Questions

Closed Questions: Questions for which the answer choices are either given to the respondent or understood by the respondent

Examples:
"*Is your hair black, brown, or red?*" [Choices provided]
"Are you interested in research?" [Choice implied: yes/no]

Closed questions limit the breadth of information that a respondent has to offer.

Open Questions: Questions that allow the respondent to answer without presented or implied choices

Examples: *"What color is your hair?"*
"*What are your interests?*"

Open Question Words:

What?	**Where?**
Who?	**When?**
How?	**Why? ***

*** "Why?"** Limit the use of "WHY" questions in this type of work because it implies that there is a right answer

Avoid Leading Questions

(From Herman & Bentley, 1993)

- Allow people to answer in their own terms voicing their own views, values and experiences.
- Leading questions are phrased to suggest a particular answer <u>or</u> to imply that one answer is expected or more correct:
  - *“What fears do you have when your baby’s diarrhea does not stop?”*
  - *“What actions do you take to stop his/her diarrhea?”*
  - *“How good was the treatment your baby got at the health center?”*
  - These questions were phrased to elicit answers related to fears, actions and treatments, respectively.
- Non-leading questions on the same topics could be asked this way:
  - *“How do you feel when your baby’s diarrhea does not stop?”*
  - *“What do you do when his/her diarrhea does not stop?”*
  - *“How do you feel about the treatment your baby got at the health center?”*

Asking Non Leading Questions

Leading	**Nonleading**
Do you think vomiting during diarrhea is serious?	
Do you give less food when your baby had diarrhea?	
Do you know that children lose water when they have diarrhea?	

Probing

"The key to successful interviewing is learning how to probe effectively…

...that is, to stimulate an informant to produce more information…

...without injecting yourself so much into the interaction that you only get a reflection of yourself in the data."

(Bernard, 1995)

Probing Techniques

- *“What?” or “What” questions*
  - a stimulus without putting yourself in it
- Silent Probe
  - just remain quiet and wait for informant to continue
  - often happens as you are busy writing what the informant has just finished saying.
- Echo Probe
  - repeat the last thing an informant said and ask them to continue
  - *“I see. The child has loose stools, becomes tired and will not eat. Then what happens?”*
- The Uh-huh Probe
  - encourage participant to continue with a narrative by making affirmative noises:
  - *“Uh-huh,” “yes, I see,” “right, uh-huh”*

Letting the Informant Lead

"In unstructured interviewing, you keep the conversation focused on a topic, while giving the informant room to define the content of the discussion."

"The rule is: Get an informant on to a topic of interest and get out of the way. Let the informant provide information that he or she thinks is important."

(from Bernard, 1995)

Tips for Interviewing -1

- Do not begin interviewing right away
  - Friendly greeting and explanations
  - Establish ‘cultural ignorance:’ interviewer as learner
- Listen and express interest in what the informant tells you
  - More of a friendly conversation
  - Not a strict question & answer exchange
  - But remain neutral: don’t approve or disapprove
- Try to encourage informant to expand on their answers and give as many details as possible
  - informant’s tendency is to abbreviate answers
  - Use “describe,” “tell me about”
  - Do not move on to a new topic until you feel you have explored the informant’s knowledge on the question at hand
- Let informant’s answers determine the direction the interview takes (**keeping within topics of interest**)

Tips for Interviewing -2

- Use informant's own language to ask new questions
  - Do this as you learn informant's language
  - This encourages informants to speak to you in their own language

- Crude measure of success is the <u>volume</u> of response
  - 80% at least 'their' words
  - most problems are the fault of the interviewer

- Learn how to re-phrase/re-think questions

- Avoid using "why" questions as much as possible.
  - implies that there is a factual answer
  - informants will try to give you a 'right' answer
  - ask, *"What was happening at the time?"*

Use of Translators

Translators do the following:

- Provide literal translation
  - Do not edit, ‘clean-up’ or summarize statements
- Keep key terms in local language
  - Don’t try to translate if too difficult
- Keep your own dictionary of key local terms

Process:

- Interviewer introduces translator to informant
- Interviewer speaks directly to informant
- Interviewer keeps eye contact with informant
- Interviewer essentially ignores the translator
- Interviewer/translator complete raws notes after interview
  - write expanded notes together, if possible

Section IV.

RAP Methods

PARTICIPATORY MAPPING

(From Freudenberger, 1998)

- Choose area of interest (inhabited village, village farming areas, district)
- Invite persons whose perspective you wish to learn about regarding area of interest.
- Do mapping exercise in large open area:
  - Investigator identifies a couple of landmarks to orient the activity and draws figures on ground to represent these landmarks
  - Investigator "hands over the stick" to someone in the group and asks that person to identify on the map the most important sites in the area
    - use sticks, stones, seeds, leaves as markers
  - Don't ask about things on the checklist until all participants have identified sites important to them.
  - Interview the map using a checklist to probe
  - Copy the map into a field notebook as it is being drawn; transfer to flipchart paper later.
  - Record important quotes about sites on the map and record observations of the process

Example Checklist for Map Exercise

(from Herman & Bentley, 1993)

- Persons, places or things related to health in the area
- Which parts of the community or households have the most vulnerable persons and why is this so
- Which parts of the community or households have the most sickness and why is this so
- Which households have the most vulnerable or malnourished children and why is this so
- Where do individuals live who have specialized knowledge about childhood illnesses and how to treat them

WALKABOUT - 1

- Type of Observation
- Usually <u>do not</u> take notes while observing
  - reduces reactivity
  - May be able to discreetly jot down details of what you observe between observation sites
- Usually have a focus (location, behaviors)
  - Use a guide or checklist of topics
- What to record:
  - who, what, where, when, what, [why interpretation comes later]
  - Behaviors/conversations related to topic
  - What does <u>not</u> happen related to topic (that you might have expected)
  - Maps/diagrams related to focus topics
    - e.g, drawing of activities at a water source

WALKABOUT - 2

- Familiarize yourself with the checklist before you set out on your walk
  - use it discreetly, as a reminder, if you need to refer to it during your walk
- Walk around the community in pairs or threes
  - not too many avoid attracting unnecessary attention
  - meander to absorb the community atmosphere, stopping to greet people
- Visit places in the community related to specific checklist topics (e.g., water sources, where food is stored, fields)
- Have spontaneous informal conversations on checklist topics where people normally gather
- Discreetly jot down details of what you observe (between sites)
- Make notes of things said during conversations with people you meet.

Example of Walkabout Checklist

1. What are the available water sources?

- **(a) well**
- **(b) spring**
- **(c) reservoir/dam**
- **(d) rain water**
- **(e) seasonal pond**
- **(f) public stand post/tap/fountain**
- **(g) hand-dug well**
- **(h) other**

2. Are the water sources protected? (indicate which ones)

- **(a) yes**
- **(b) semi-protected**
- **(c) no**

3. How far are water sources from peoples homes?

Water source	Distance
____________	(a) less than 100 meters
____________	(b) 100-500 meters
____________	(c) less than 1 km
____________	(d) 1-2 km
____________	(e) 3-5 km
____________	(f) 6-7 km
____________	(g) more than 8 km

4. What activities take place at or near the water source?

- **(a) washing water containers**
- **(b) washing clothes**
- **(c) bathing/washing self**
- **(d) watering animals**
- **(e) other**

5. Who collects water?

- **(a) women**
- **(b) children**
- **(c) men**

6. What utensils (and means) are used for fetching water?

7. How is water transported from the source to the home?

8. Is water treated at the source, and if so, how?

- **(a) by filtering with a piece of cloth**
- **(b) by chlorination**
- **(c) by other means**

9. How is drinking water stored in the home?

10. How is drinking water handled in the home?

Reactivity in Observations

- Reactivity: people may change what they do or say when being observed
- What do we do with reactivity?
  - always record reactivity in notes
  - analyze/discuss reactivity in ‘Biases’ section of the Expanded Notes Summary
- Ways to reduce reactivity:
  - repeated observations
  - extended visits (longer time)
  - choice of observer
  - interact with people prior to observing

Free Listing - 1

<u>Purposes:</u>

- Identify a list of items included in a topic of interest
  - e.g. list of difficulties affecting the community
- Identify the most known/prominent items in the culture
  - used to decide what to investigate more fully in the study
- Identify the locally used words for these items

<u>Preparations:</u>

- Translate and pre-test questions:
  - primary, probing and secondary question (optional)
- Train for consistency in asking questions
- Prepare Free List recording form

<u>Process</u>:

- **Identify** informants
  - Knowledgeable about topic of interest
  - Minimum of 10 informants
  - Stratify by significant sub-group
- **Ask** the primary question
  - **Ask** “What are all the main difficulties that people living in this settlement face?” “Name all the difficulties you face?”
  - **Ask** it with consistency
  - **Do not ask** “If...?” “Are there... ?”

Free Listing - 2

<u>Process (continued)</u>:

- **Record** each item mentioned on the recording form in the "Item" column, one row per item.
- **Probe** after informant provides initial list of items
  - **Ask** "What else?"

  OR

  - **Repeat** items mentioned & then **Ask** "What else?"
  - **Record** each additional item on the recording form
  - Need to agree on how much to probe; be consistent
- **Ask** secondary question (Optional)
  - **Ask** secondary question for each item mentioned
  - **Ask** a question to clarify the meaning of each item
    - e.g., "Describe what happens when X occurs?

  OR

  - **Ask** for additional information about each item
    - e.g., "What should a person do if X occurs?

Free Listing - 3

Analysis:

- Make a list of responses for the entire sample
- For each item on the list, count the number of informants who mentioned the item
  - When to collapse two or more items into one?
    - Singular or plural forms of the same word
    - Key informant clearly state two items are same
  - Generally, avoid the temptation to collapse
- Forms of Tabulation:
  - Rank by frequency of mention (most common)
  - Rank by order of mention

  OR
  - Rank by number of related items
- Identify the most known/prominent items in the culture for topic of interest
  - Order items by frequency mentioned (%)
  - Select a relevant cutoff percentage
    - Look at distribution: what makes sense?
    - e.g., 50% or more of informants mentioned the item

Free Listing Recording Form

<table>
<tr><th colspan="2">Free listing Recording Form: Main difficulties faced by persons living in the settlement</th></tr>
<tr><td>Interviewer:

Location:

Ethnicity:

Original home:</td><td>Date:

Informant's age:

Time spent in settlement:

Marital status:</td></tr>
<tr><td>Question 1. "What are main difficulties that people living in this settlement face?" List of Names of Each Difficulty Mentioned (Write Local Terms)</td><td>Question 2. "You mentioned ________ was a difficulty here. Please describe to me how this affects the lives of individuals faced with this difficulty?"</td></tr>
<tr><td>1.

2.

3.

4.

5.

6.

7.

8.

9.

10.</td><td></td></tr>
</table>

Free Listing Tabulation Form

___

	Term (Item)	#	%
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			
11			
12			
13			
14			
15			
16			
17			
18			
19			
20			

Pile Sorting - 1

(ref: Herman & Bentley, 1993; Gittelsohn, 1996-98)

<u>Purpose</u>:

- Understand the perceived relationship of each item in a group to the other items in the group
- Useful Pile Sorts:
  - Types of problems or issues
  - Treatments or actions for problems/issues

<u>Preparations</u>:

- Choose most salient items (e.g. from free lists)
- Assess literacy of potential informants
- Prepare pile sort cards appropriate to literacy
  - pictures or words or both?
  - unique number on the back
- Pre-test the preliminary explanation
- Train for consistency in explanations.
  - **Example***"Please put these cards into different piles so that the items on the cards go together for some reason. You can make as many piles as you like. Some things may go into more than one pile. That is okay too."*
  - *"All card cannot go in one pile; and we cannot have all cards in a separate one-card pile"*
- Prepare the data collection forms

Pile Sorting - 2

Process:

- **Identify** informants
  - Knowledgeable about topic of interest
  - Minimum of 10 informants
  - Stratify by significant sub-group
- **Review** cards with informant
  - make sure informant can identify each card
  - remove card informant is not familiar with
- **Provide** explanation
- Informant carries out Pile Sorting
- **Record** the items placed in each pile on the individual recording form: one row per pile.
- **Ask** for a Qualitative Explanation:
  - ask questions about each pile
  - *"Why did you put these together in the same pile?"*
  - *"Can you tell me the ways in which these are like each other?"*
- **Record** the informant's reasons for sorting the cards they way he/she did on the recording form

Individual Pile Sort Recording Form

PILE SORT FORM

Items to be Sorted & No.: ____________________________________

____

Type of Informant: _______________ Age: ____ Gender: ____________

	Pile Number	Reason Sorted in Same Pile
1	__ __ __ __ __ __	__________________________________
2	__ __ __ __ __ __	__________________________________
3	__ __ __ __ __ __	__________________________________
4	__ __ __ __ __ __	__________________________________
5	__ __ __ __ __ __	__________________________________
6	__ __ __ __ __ __	__________________________________
7	__ __ __ __ __ __	__________________________________
8	__ __ __ __ __ __	__________________________________

Tabulation & Analysis of Pile Sorting

Using the Pile Sort Tabulation Matrix

	1	2	3	4	5	6
1	X					
2		X				
3			X			
4				X		
5			b		X	
6						X

1. In each box, write the number of times the corresponding items were placed in the same pile (across all pile sort interviews); e.g. the letter "b" represents the number of times item "3" was placed in the same pile with item "5" (out of the total number of interviews).

2. From the matrix, identify the pairs of items that were most often placed in the same pile. Reviewing the individual pile sort forms, summarize the reasons these items were seen as similar.

3. From the matrix, identify the pairs of items least frequently placed in the same pile. Reviewing the individual pile sort forms, summarize the reasons these items were seen as different.

Pair-Wise Ranking - 1

(from Shah MK, et al, 1999)

Purpose:

- Select problem for intervention

Preparations:

- Choose 6-8 most important problems facing a settlement
  - (use info from free listing, pile sorting)
- Write / draw problems on blank cards or slips of paper (e.g., use pile sort cards)
  - make two cards/slips for each problem
- Prepare a grid on the ground using chalk, or on a large sheet of paper (see example)
- Invite 6-8 members of the settlement, who know about the problems, to participate in a group discussion
  - form one group for each important sub-group of the population (e.g. 1 of men, 1 of women)

Pair-Wise Ranking - 2

(from Shah MK, et al, 1999)

<u>Process</u>:

- Ask participants to consider the problems two at a time
- Ask participants to select the one problem (of the two) they prefer to be "rid of"
- Each problem is compared with all the other problems, one by one
- The number of times a problem is selected is the score that problem gets
- The higher the score, the higher the priority is the problem for intervention
- The problem with the highest score is considered the top priority problem for intervention

Example: Pair-Wise Ranking Grid

	Lack of Food	Crowding	Lack of Drugs	Lack of Land	Sickness
Lack of Food	X				
Crowding	food	X			
Lack of drugs	food	crowding	X		
Lack of land	land	land	land	X	
Sickness	food	crowding	sickness	land	X
TOTAL	3	2	0	4	1
RANK	2	3	5	1	4

MATRIX RANKING

(From Freudenberger, 1998)

- Identify several members of the community who are knowledgeable about the topic of interest
- Draw or place matrix on the ground in front of the group
    - Choose variables and included items with care
        - elicit items, use salient items from study and elicit
    - Variables should be in the “same direction”
    - Use symbols for the variables and items
        - note items on cards and place them next to the symbols
    - Explain variables and continue to explain as you go
- Present matrix step by step
    - move systematically box by box (don’t jump around)
    - move vertically or horizontally depending on what makes sense
    - Encourage people to use beans, stones etc. to rank each box
    - more beans always means ‘better’ or always means ‘worse’
    - place paper with the written number of beans in each box
    - Ask why they chose the number of beans in each box
- Review the matrix, look at the trends and interview the matrix
    - Use a checklist of objectives to prompt for questions

Matrix Examples

Ranking of community problems by commonness and seriousness

Problem	Number of people affected	Seriousness of the problem	Overall Ranking
Water	…. (4)	…. (4)	…. (4)
Food	… (3)	.. (2)	.. (2)
Health	... (2)	… (3)	… (3)
Pests	. (1)	. (1)	. (1)

Rating of treatment choices for common illnesses (scale of 1-5)

	Do Nothing	Home Treatment	Traditional Healer	Herbalist	Health Facility
Diarrhea		.. (2)	... (3)	. (1)	
Malaria	.. (2)			... (3)	
Blocked Chest			.... (4)		. (1)
Anemia		..... (5)			

Example Matrix Ranking Checklist

- Ranking of problems by the “number of men” the problem affects;
- Ranking of problems by the “number of women” the problem affects;
- Ranking of problems by the “number of children” the problem affects;
- Ranking of problems by “seriousness” of the problem to those whom it affects;
- Ranking of problems by “how much the problem leads to other problems”
- Overall ranking of problems by “what the group would prefer to have disappear”
- Reasons given for why top priority problems were ranked as top priorities;
- Most vulnerable groups for top priority problems;
- Persons or groups currently working on the top priority problems;
- Suggested solutions for dealing with top priority problems.

Venn Diagram - 1

(from CRS PRA/RRA Manual, 1998)

Purpose: To understand how a community is organized (for example):

- role of organizations in local decision-making
- role of external forces on the community
- community leaders and decision makers
- most vulnerable to key problems
- role of government and NGOs
- conflicts and conflict resolution mechanisms

Process:

- Define objectives and make a checklist
  - Wait to use the checklist until the end
- Draw large circle
  - on the ground or on a large sheet of paper
  - everything inside is an internal institution
  - everything outside is an external institution

Venn Diagram - 2

(from CRS PRA/RRA Manual, 1998)

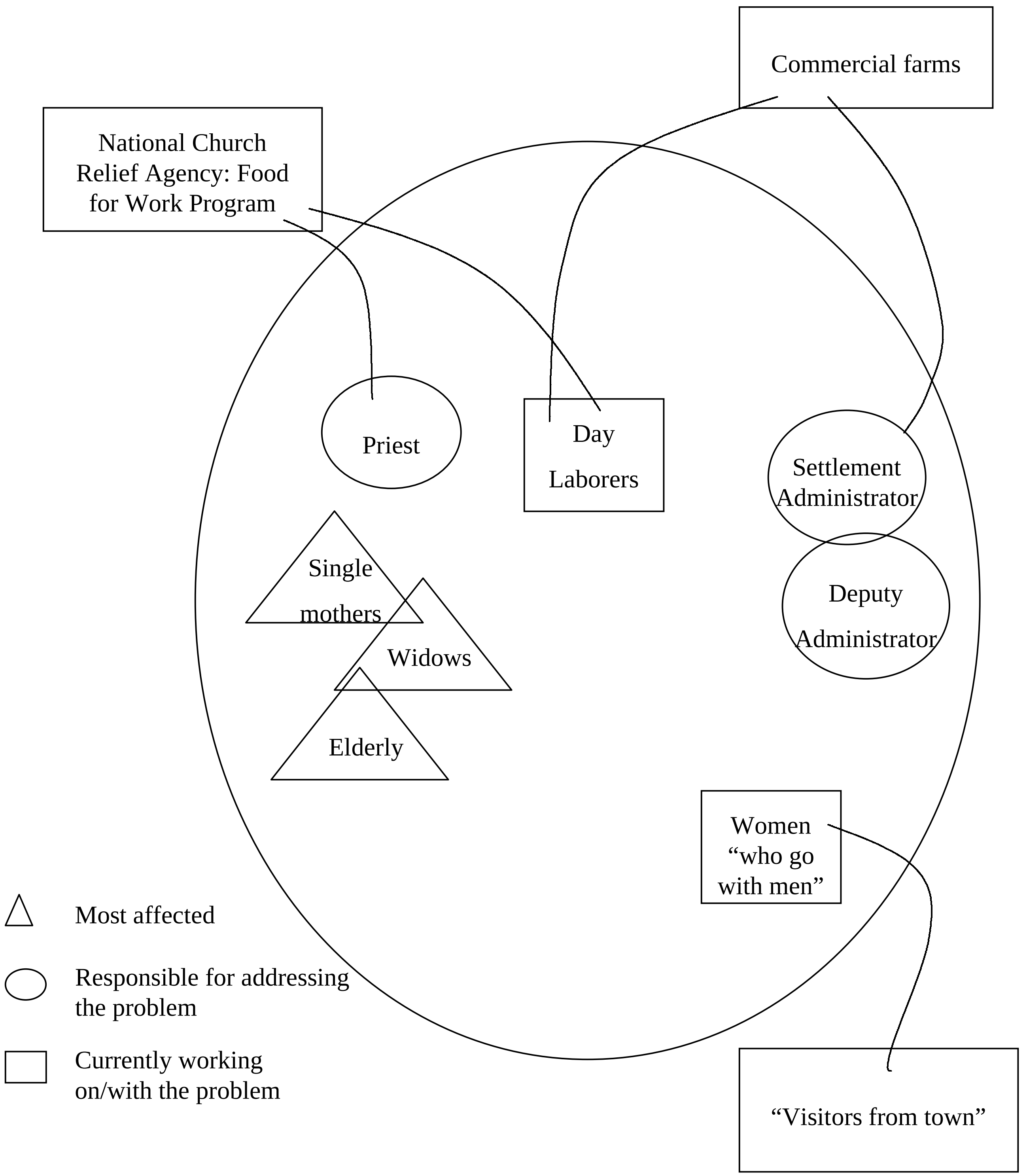
<u>Process continued</u>:

- Begin with committees, groups inside community
    - <u>Do not</u> imply only formal organizations are of interest
    - ask participants to indicate significant committees and groups
    - indicate the significance of the group's impact on community life by the size of the symbol they choose
    - continue until all the committees and groups inside the community have been represented
- Go on to ask about the individuals in the community who have a particular significance
    - use a different symbol (all of the same size)
    - continue until all significant individuals are identified
- Move to external groups or individuals who have an impact (+ or -) on the life of the community
    - begin with groups/organizations, finish w/individuals
    - draw lines from outsiders to insiders with whom they collaborate most closely
- Interview the diagram
    - probe issues on the checklist of objectives
    - probe relationships which are visualized on diagram

Example checklist for Venn Diagram

- Persons, groups living in the settlement most severely affected by the problem;
- Persons, groups, organizations <u>within</u> the settlement that are considered responsible for addressing the problem;
- Persons, groups, organizations <u>within</u> the settlement that are currently addressing the problem;
- Repeat above for <u>outside</u> the settlement
- Persons, groups, organizations who should be represented on an intervention development group to address the problem;
- Existing working relationships between those outside the settlement and those inside the settlement with regard to the problem.

Venn Diagram Example



Key Informant Interviews - 1

Review: things to do in qualitative interviews:

- Begin with a Friendly Greeting
- Establish Cultural Ignorance
- Use Open-ended Questions
- Avoid Leading Questions
- Let the Informant Lead
- Encourage Informant to expand on their answers and give as many details as possible
  - Use “describe” and “tell me about”
  - Do not move onto a new topic until the respondent expresses that he/she has no more to say
- Probe
  - What? Open-ended Questions
  - Silent Probe
  - Echo Probe (repeat words of the informant)
  - Uh-huh…; Mhm…mhm...
- Use the Informant’s language to ask new questions
- Express Interest

Key Informant Interviews - 2

<u>Elements of a Key Informant Interview</u>:

- Greetings/Explanations:
  - Describe project
  - Confidentiality/consent
  - Question explanations
  - Method of recording information
  - Native language (speak as you would naturally)
  - Special task instructions (if any, e.g. pile sorting)
- Asking Questions
  - Descriptive (usually <u>start</u> with this type of question)
  - Structural
  - Contrast
- During the Interview:
  - Express cultural ignorance
  - Express interest
  - Try to learn and use the local expressions
- Closing comments:
  - Thank the informant
  - Desire to meet again
  - Set a time
  - Allow informant to ask questions

Key Informant Interviews - 3

3 Main Types of Interviewing Questions:
(From Spradley, 1979; Gittelson, 1998)

1. Descriptive Questions

These questions seek to open the door and start to get an idea of how things work in a culture

A. Grand Tour

- Typical - “Could you describe a typical day?”
- Specific - “Could you describe what happened yesterday, beginning with when you woke up?”
- Guided - “Could you show me around your village?”
- Task - “Could you draw me a map of your village and explain to me what it is like?” or “Could you make a ‘diarrhea remedy’ and explain to me what you are doing?”

B. Example Question

- “You mentioned ‘hot foods’. Can you describe to me some examples of a ‘hot food’?”

Key Informant Interviews - 4

1. Descriptive Questions Continued

C. Experience Questions

- "Can you tell me about some of your experiences as a traditional healer treating sick children?"

D. Native-Language Questions

- "You mentioned some treatments you give to children with *empacho*. How do you refer to these 'treatments'? Would you say, these are 'treatments' for *empacho*?"
- "If I were to listen in on a conversation you had with a mother of a child with diarrhea, what would I hear you say to her?"
- "You mentioned 'hot foods'. What are some statements I would hear that include the term 'hot foods'?"
- (See Igbo example)

"Descriptive questions form the basis of all ethnographic interviewing."

Key Informant Interviews - 5

2. Structural Questions:

Identify issues or items of interest for further exploration (and local terms for these):

- "What are *some* of the different kinds of (illnesses) that children in this community get?"
- "I'm interested in knowing all the different kinds of (illnesses) that children in this community get. You mentioned *malaria*, *worms*, *ear pain*, and *chest pain*. Can you think of any other (illnesses) that children in this community get?"
- "Is *diarrhea* an (illness) that children in this community get?"
- "What are the different kinds of (illnesses) that give children loose, watery stools?"
- "What are some of the ways that children get an (illness) that makes them have loose stools?"

Key Informant Interviews - 6

3. Contrast Questions:

These questions also seek to find out what an informant means by various terms in his native language:

- "What are the differences between *empacho* and *chest pain*?"

- "In looking over some of our earlier conversations I came across some differences that I would like to double check with you. Let me read off this list of (treatments) you said you use for children's (illnesses) and could you tell me for each one whether you use it to treat *empacho*?"

- "One time earlier you said that older mothers always come to see you when their child has *dysentery (local term)*. Do younger mothers come to see you also?"

TIMELINE

- Identify several members of the ‘settlement’ who are especially knowledgeable about their history to stay and talk with the team
- Place stick/string on the ground (or draw a line) and state that the stick represents the time since ‘_________’ and now
- Ask group to identify key events for settlement members during that time
  - use local materials as symbols
  - try and identify dates of events
  - note events on cards and lay out cards to facilitate chronology
- Interview the timeline about topics of interest (use a checklist)
- Transfer information onto paper for later write-up

Example of Checklist for Timeline

- Key events affecting settlement members since ‘independence’
- Happiest periods for settlement members since ‘independence’
  - Description of what was happening during the happiest periods
  - Main sources of income during these periods
- Most stressful periods for settlement members since ‘independence’
  - Description of what was happening during the stressful periods
  - Main sources of income during these periods
  - How the settlement members responded to these events

Section V.

Management of Qualitative Data

RAP Field Note Process

Collecting Raw Field Notes
- Notebook for raw field notes
- small notebook for informal observations

↓

Writing Expanded Field Notes
- Write up immediately after interview/observation
- Hand write clearly in notebook for expanded notes or,
- Type up expanded notes, if possible
- Re-draw Maps, Diagrams, Matrices on Newsprint

↓

Managing Field Notes
- Notebooks, File folders
- Folder for community of Maps, Diagrams, Matrices

↓

Coding Field Notes

Writing Raw Field Notes

- Write in a “raw notes” notebook
- All team members should take notes
  - Exception is during an activity where the person facilitating the activity does not take notes.
- Record questions as well as answers
- Jot down cue words or phrases
  - Usually <u>not</u> word for word,
    - as much as possible however
  - Record especially appropriate quotes
- Keep key terms/phrases in the local language (translation in brackets)
- Make Sketches, Diagrams, Maps

Example of Raw Field Notes

B. Q1

J Means everything to me. ~ only way for a person to learn ~ (learn) without being confined (decide) what to study ... what's valuable and what is NOT... Don't think people should be dependent on school.

So How ... frequented the library since I was a late teen ~ And I learned to model people ... this has greatly increased my education ... ~ didn't have to reinvent the wheel ~ implement their philosophy ~ model their philosophy ~ tone of voice ... how they see things things ~ have + haven't

B Hame + How notes

J People who have families, relationships ~ happy ~ could exploit by modeling ... (award) snags
Another reason I taught myself is because I want to teach myself ~ when I read, study I read with that paradigm ~ that I'm going to teach it ~ people come to me ... empathetic, non-judgmental... + I've learned to enter their frame of reference.

Writing Expanded Field Notes

Allocate time the same day

- 1 hr interview --> 2-4 hours expanding
- (no more than 2 interviews/discussions per day)

1. Identification information (at the top)

- identify topic, date, informant(s) (pseudonym)
- description of setting and informant(s)
- punctuation key
- Include contextual information
  - how you found the informant(s)
  - how this interview fits in with other information

2. Main body of expanded notes

- Majority of your notes here
- **scripting method preferred**
- Record non-verbal behavior
- Draw maps, diagrams, matrices

3. Summary (process & content)

- How did the activity go?
  - Informant(s) truthful/frank?
  - Informant(s) participate? Willingly?
- Biases in the data?
- Conclusions related to study questions?
- Important issues to follow-up

Coding

- Management and Analysis Tool
- Classifies words
- Functions:
  - Organize data
  - Find data
  - Identify patterns
  - Forces you to read your data
- Types of codes:
  - numbers
  - **memory helps**
  - words
  - colors
- Where to code:
  - Usually in the margins of expanded notes
  - Adjacent to last line of the relevant text
- When to code:
  - Can start with a coding list that can change as you go (add, drop codes, re-coding)
  - Can wait until a significant amount of data has been collected (or wait until the end of study)

Data Management System

1. Raw Field Notes
   - Hand written in local language when possible
   - Keep key terms/phrases in local language
   - Record in ‘Raw Notes Notebook’
2. Expanded Field Notes
   - Expanded into ‘Expanded Notes Notebook’ or typed up and placed in file folder if possible.
   - English with key terms/phrases in local language (translation adjacent in brackets)
3. Coding Field Notes
   - code in margins of Expanded Notes
4. Coded Expanded Notes are Copied 3 Times
   - use carbon paper if necessary during write up
5. Copies Placed into Individual File Folders
6. File Information Sheet Attached to File
   - include number and location of codes in text
   - identify codes with letters and colors

File Information Sheet

Filename	A130899.HAB
Organization	ADRA
Place	Site A
Date	5 August 1999
Informant Pseudonym	Awatif
Language Used	Arabic & Dinka
Date Coded	13 August 1999
Coded by	HAB

Code		Frequency	Go to Page(s)
Mnemonic	Color		
CP_CA	‘Blue’	1	2
CP_EF	‘Blue’	2	2, 3
CP_SO	‘Blue’	2	3, 4
ILL_CA	‘Red’	5	3, 4, 5
ILL_HW	‘Red’	3	4, 5
ILL_TX	‘Red’	4	4, 5, 6

Section VI.

Action Planning

Action Planning

- Group Analysis (1 day)
  - Code expanded notes
  - Summarize findings
  - Agree on what to present at public meeting
- Public Meeting (1 day)
  - Agree on top priority problem to address
  - Identify Settlement Action Team (SAT)
- Draft Action Plan (2 days)
  - Facilitate Settlement Action Team
- Public Meeting (1 day)
  - Approve/modify draft action plan
- Data Management (2-3 days)
  - Organize data
  - Provide data to settlement/community
  - Make copies of data and file
  - Write study report
- Follow-up Actions (Ongoing)
  - Monitor & support implementation
  - Support evaluation and new action plans

Group Process for Analysis - 1

Phase I: (1/2 day)

- Select topics to analyze at this time;
- Code expanded notes for these topics;
- Sub-divide team members into analysis groups by study site or topical area.
  - When sub-dividing by topical area, balance expertise with perspectives from different sites
  - Provide one copy of coded expanded notes of data collection activities.
  - Expanded notes placed in a file folder with summary information attached on front
- Summarize findings about each topic (ones that are coded) selected for analysis
  - Refer to ‘coded’ expanded notes
  - One flipchart paper per topic/code
  - Top half of paper: summarize patterns of findings and identify data sources
  - Bottom half: write key quotes supporting findings and numbers where appropriate (e.g. 15 of 20 persons mentioned ‘flooding’ as a serious problem during free listing)

Group Process for Analysis - 2

<u>Phase II</u> (1/2 Day)

- Small groups present summary of findings to the larger analysis group
- Larger group *judges* representativeness of findings (likely/potential biases)
    - when presenting by study site, this requires a comparison of findings across sites first.
- Larger group decides what should be presented at public meeting

Public Meeting - 1

(from IIED PL&A Trainers Guide)

Consider the following for presentation of findings:

- **WHAT?** That is, of all the information collected, what should be included in the presentation;

  At minimum, consider presenting:
  - members of the study team and the purpose of the study;
  - methods used and types and numbers of informants participating in each method;
  - top priority problems for the refugees/IDPs and how this was determined;
  - perceived causes of the top priority problem and suggested solutions;
  - perceived most vulnerable groups affected by the top priority problem.
- ***HOW?*** That is, determining the appropriate presentation style to encourage analysis and reflection on the information collected;
- ***WHO****?* That is, who presents AND who has a chance to react to the information collected;
- ***WHERE****?* Note that the place where feedback takes place may influence the quality of participation and the subsequent discussion;
- ***WHEN?*** That is, will the feedback meeting take place at a time that allows maximum participation by group of interest;

Public Meeting - 2

- Obtain agreement on problem(s) to address

- Identify Settlement Action Team (SAT):
  - Persons attending public meeting should be asked to recommend SAT members;
  - Identify 8-10 persons (stakeholders) of the following types identified during the Venn Diagram and other activities:
    - Approximately 1/2 of group is persons who are most seriously affected by the problem and/or at greatest risk for having the problem;
    - also include persons considered by the settlement members to be responsible for addressing the problem (perhaps based on a traditional system);
    - also include persons who are already working on the problem in some capacity;
    - include men and women and persons of different ethnic groups
  - Participation is strictly voluntary !!

Draft Action Plan - 1

- Facilitate SAT to draft an action plan to address priority problem(s)

- Develop a *Problem Tree*:
  - Develop a clear <u>problem statement</u>
    - describes a negative state
    - avoids mention of causes, effects or solutions
  - Identify major causes of the problem
  - Identify root causes of the problem
  - Rank root causes for priority action

- Develop an *Objectives Tree*
  - Transform the problem statement and priority root causes into objectives
  - Reword the negative ‘cause-effect’ description of the root causes into positive ‘means-ends’ objective statements.

Draft Action Plan - 2

- Complete *Solution Ranking Matrix*
  - Rank potential strategies to achieve objectives using sustainability and equitability as criteria
  - Select priority strategies/solutions

- Draft an *Action Plan*
  - Use a planning matrix for each priority strategy
  - Use a group process to elicit ideas for “actions needed” to carry out priority strategy
  - Complete matrix indicating for each action:
    - responsible person
    - a completion date
    - resources needed to complete the action.

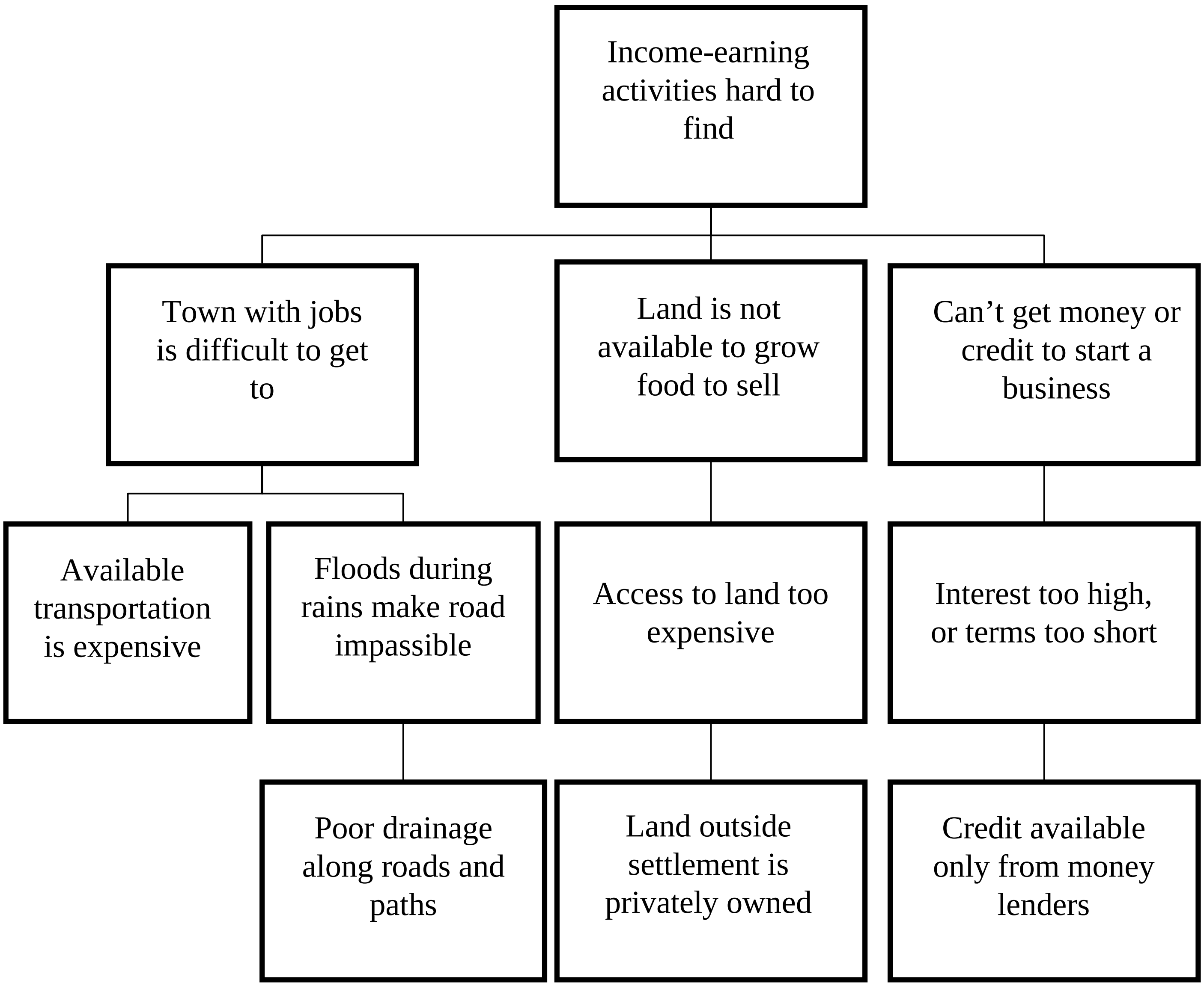
- Approve / modify draft action plan at a Public Meeting

Example Problem Statements

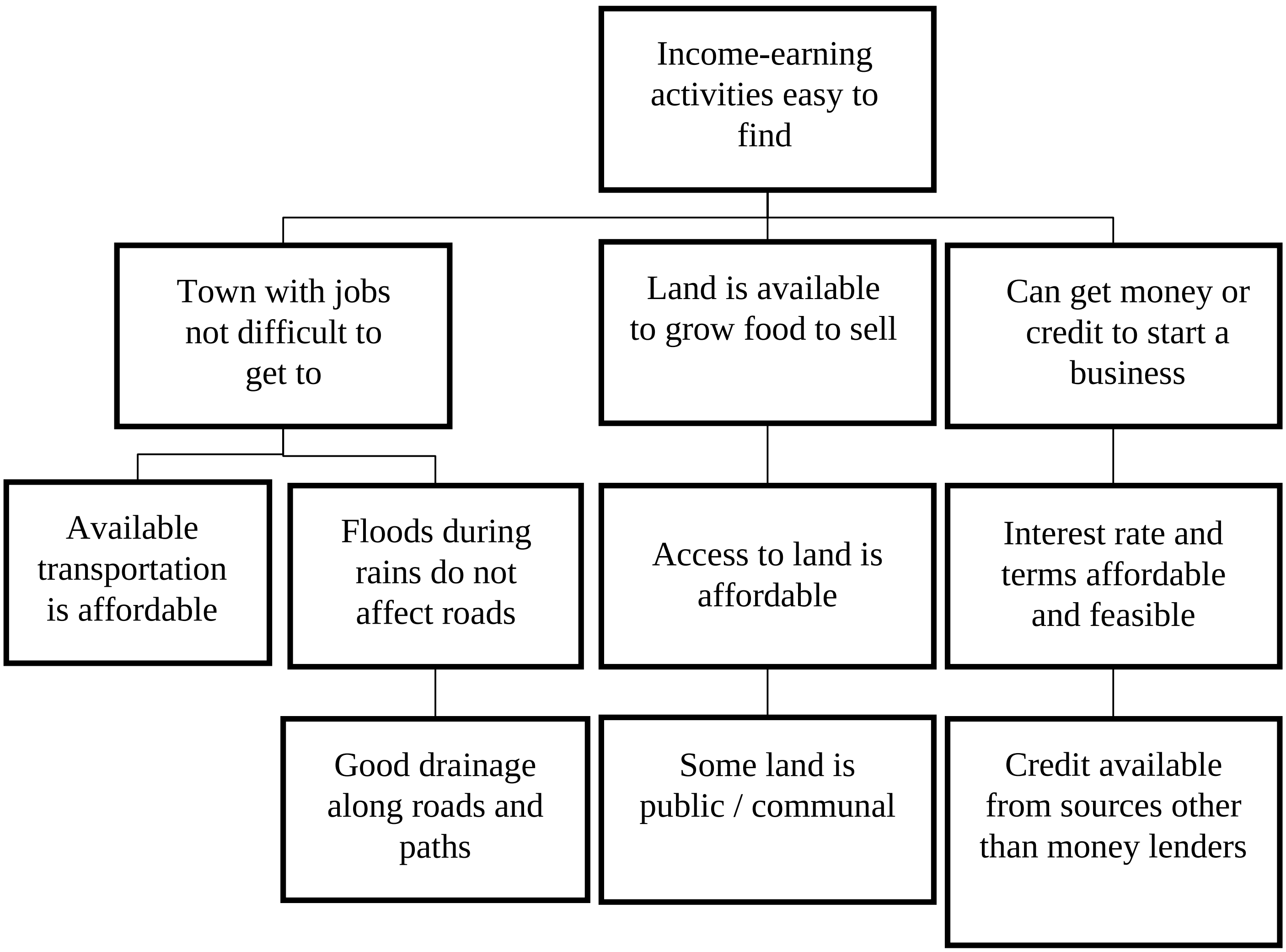
No hospital is available	People cannot receive modern medical treatment
AVOID (indicates absence of solution)	**SUITABLE**

Frequent floods destroy farms	Farms are often damaged and destroyed River is frequently flooded
AVOID (includes cause or effect of a problem)	**SUITABLE**

Example Problem Tree



Example Objectives Tree



Example Solution Ranking Matrix

Potential Intervention	Sustainability	Equatability	Productivity	Stability	Overall Ranking
Arrange for “affordable” sources of credit	3	1	1	3	2
Make land available and affordable for farming	4	2	2	2	4
Improve drainage along roads	1	3	3	1	1
Arrange for affordable transportation to town	2	4	4	4	3

Example Action Planning Matrix

Problem Statement: Income-earning opportunities hard to find.
Action Plan for Priority Intervention: Improve drainage along roads.

#	Priority Action	Person Responsible	Date to be completed	Resources needed
1				
2				
3				
4				
5				
6				
7				

Follow-Up Actions

- Ongoing process (months to years)
- Objective of building local capacity to carry out problem solving activities
- Possible follow-up actions:
  - Link SAT with government authorities and other organizations;
  - Assist SAT to do advocacy, if needed
  - Build SAT capacity to monitor implementation of the action plan
  - Encourage SAT to build on or modify action plans, as needed
  - Assist SAT to evaluate activities
  - Support development of action plans for other priority problems.

Appendix A

References

References - 1

General Qualitative Research References

Almedom A., Blumenthal U., and Manderson L. 1997. *Hygiene Evaluation Procedures: Approaches and Methods for Assessing Water - and Sanitation - related Hygiene practices*. Boston, MA: International Nutrition Foundation for Developing Countries. Full text available online at: http://www.unu.edu/unupress/food/foodnutrition.html

Bernard H. 1995. *Research Methods in Anthropology: Qualitative and Quantitative Approaches*. Second edition. Thousand Oaks, CA: Sage Publications.

Chambers R. 1997. *Whose Reality Counts? Putting the First Last*. London: Intermediate Technology Publications.

Dawson S., Manderson L., Tallo V. 1993. *A Manual for the Use of Focus Groups*. Boston, MA: International Nutrition Foundation for Developing Countries. Full text available online at: http://www.unu.edu/unupress/food/foodnutrition.html

Freudenberger K. 1998. *Rapid Rural Appraisal - Participatory Rural Appraisal: Notes to Accompany an Introductory Workshop for Development Professionals.* Washington, DC: The World Bank. (unpublished notes).

Freudenberger K. 1998. *Rapid Rural Appraisal (RRA) and Participatory Rural Appraisal (PRA): A Manual for CRS Field Workers and Partners*. Baltimore: Catholic Relief Services. Full text available on-line at: http://www.catholicrelief/what/overseas/rra_manual.cfm

Gittelsohn J. 1996-98. *Qualitative Research Methods*. Baltimore: The Johns Hopkins University School of Public Health. (unpublished class notes).

Gittelsohn J., Pelto P., Bentley M., Bhattacharyya K., and Jensen J. 1998. *Rapid Assessment Procedures (RAP): Ethnographic Methods to Investigate Women's Health*. Boston, MA: International Nutrition Foundation. Full text available on-line at: http://www.unu.edu/unupress/food/foodnutrition.html

Herman E., Bentley M., 1993. *Rapid Assessment Procedures (RAP): To Improve the Household Management of Diarrhea*. Boston, MA: International Nutrition Foundation for Developing Countries. Full text available online at: http://www.unu.edu/unupress/food/foodnutrition.html

Pretty J., Guijt I., Scoones I., Thompson J. 1995. *A Trainer's Guide for Participatory Learning and Action*. London: International Institute for Environment and Development.

PVO Child Survival Support Program. 1998. *Pneumonia Care Assessment Toolbox*. Baltimore: The Johns Hopkins University School of Public Health. (unpublished).

Spradley J. 1979. *The Ethnographic Interview*. Chicago: Holt, Rinehart and Winston, Inc.

Shah MK., Kambou SD., Monahan B. (eds.) *Embracing Participation in Development: Worldwide experience from CARE's Reproductive Health Programs with a step-by-step field guide to participatory tools and techniques.*

Werner and Schoeplfe. 1987. *Systematic Fieldwork. Volume 1*.

References - 2

Transition Issue References

Allen T. (Ed.) In Search of Cool Ground: War, Flight & Homecoming in Northeast Africa. UNRISD, Africa World Press: Trenton, NJ 1996.

Allen T., Morsink H. (Eds.) When Refugees Go Home: African Experiences. UNRISD, Africa World Press: Trenton, NJ 1994.

Black R., Koser K. The End of the Refugee Cycle? Refugee Repatriation and Reconstruction. Berghahn Books: NY, 1999.

Cuny, F. et al. (eds.) Repatriation during conflict in Africa and Asia, Center for the Study of Societies in Crisis, Dallas. 1992.

Harvey P, Campbell W and Maxwell S. Rehabilitation in the Greater Horn: A report to CARE. Institute of Development Studies, University of Sussex. November 1997.

Kibreab G. 1999. The consequences of non-participatory planning: lessons from a livestock provision project to returnees in Eritrea. *Journal of Refugee Studie*s. 12(2): 157.

Koser K. Information and Repatriation: The Case of Mozambican Refugees in Malawi. *J of Refugees Studies. 10(1):1-18, 1997*.

Loretti A. Armed Conflicts, Health & Health Services in Africa. *Medicine Conflict and Survival*. 13: 219-228, 1997.

Médecins Sans Frontières. *The post-emergency phase*. Chapter III. in Refugee Health Care: An approach to emergency situtations. Macmillan Education Ltd: London, 1997.

Médecins Sans Frontières. *Repatriation and Resettlement*. Chapter IV. in Refugee Health Care: An approach to emergency situtations. Macmillan Education Ltd: London, 1997.

Mock N., Lyerly W. Strategic Management of Crisis in Sub-Saharan Africa Through Crisis Prevention, Mitigation and Recovery. Tulane University and US Agency for International Development. (Unpublished manuscript). Available full-text online at http://payson.tulane.edu/CERTI/default.htm .

Scott-Villiers A. et al. Repatriation of 150,000 Sudanese Refugees from Ethiopia: The manipulation of civilians in a situation of civil conflict. *Disasters. 17(3), 1993.*

SPHERE Project. Humanitarian Charter and Minimum Standards in Disaster Response, www.sphereproject.org.

Toole M., Waldman, R. Prevention of excess mortality in refugees and displaced populations in developing countries. *JAMA*, 1990, 263(24): 3296-302.

Toole M., and Waldman R. The public health aspects of complex human emergencies and refugee situations. *Annual Review of Public Health. 18:283-312, 1997.*

US Committee for Refugees. Something Like Home Again: the Repatriation of Cambodian Refugees. Issue Paper, 1994, May.

World Health Organization. Refugees: do not forget the basics. *World Health Statistics Quarterly. 49(3-4), 1996.*