Targeting Process and Methodology Report

Graduating to Resilience

April 2019

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List of Exhibits

List of Acronyms

HH(s)   Household(s)

IPA   Innovations for Poverty Action

LC1   Local Council 1

NGO   Non-governmental Organization

PRA   Participatory Rural Appraisal

PPI   Probability of Poverty Index

PWR   Participatory Wealth Ranking

UNHCR   United Nations High Commissioner for Refugees

RCT   Randomized controlled trial

RWC   Refugee Welfare Committee

Executive Summary

The AVSI Foundation, in partnership with Innovations for Poverty Action (IPA), Trickle Up, and IMPAQ International, implemented a participatory rural appraisal (PRA) approach to select beneficiaries to participate in USAID's Graduating to Resilience Activity (or simply "the Activity") in Uganda. This approach allows local communities to participate in identifying members to benefit from poverty-alleviation programs. This selection process allowed the Activity to tailor its program design to local definitions and understanding of poverty. The Activity tested a series of poverty identification methods in two pilots, each consisting of six villages (three in the host community and three in the refugee settlement), to refine the PRA approach. One method is poverty wealth ranking (PWR), also referred to as the "bucketing exercise," in which community members assigned each household in their village to community-determined wealth categories. The other method is called social mapping (referred to later as "scorecard"), in which each household in the village is located and validated as a member of the community. This method also uses a quantitative measure, consisting of a short questionnaire, to determine each household's economic status. In the first pilot, the Activity used a modified version of the Probability of Poverty Index (PPI) and then asked the community to draw a map of the community after the PWR; in the second pilot, a bespoke scorecard was created and every household was located prior to the PWR. By using these methodologies, AVSI engaged local communities to accurately identify poor and extremely poor households eligible to participate in the Activity. Following the PRA, eligible households were randomly assigned to one of three treatment arms or a control group through a lottery system as part of a randomized controlled trial (RCT) to understand the impact of certain interventions of the Activity.

1. Introduction

1.1   Background

An integral component of a poverty reduction intervention is identifying the appropriate target beneficiaries who could benefit the most by participating in the program. This process is often difficult in practice because there is no one defining and observable measure of poverty applicable in all contexts, which could help identify the participants. Even when clearly defined eligibility criteria are used, rigorously measuring those criteria for the entire target population is often difficult and time- and cost-intensive.[1] To address these concerns, development practitioners are increasingly turning to participatory methods of defining and measuring poverty to identify program beneficiaries.

Participatory methods allow members of the target community to contribute directly in the selection of beneficiaries for poverty reduction programs. This process can take many forms, such as using community input on eligibility and allowing the members themselves to select program beneficiaries. These different participatory methods are based on the underlying premise that poverty is context dependent and that individuals belonging to the target community have a better understanding of what poverty looks like than someone observing the community from the outside. Moreover, engaging community members in the program's decision-making process improves the satisfaction of the community with the program and enhances the transparency of the process – a critical factor for future program implementation in the community.[2] Participatory approaches offer these benefits, but program implementers also need to ensure that the program reaches the correct intended beneficiaries, not just achieving the appearance of doing so. However, studies validating the accuracy of such methods have found that such participatory methods are effective in identifying households living in poverty, as other low-cost targeting methods, such as the poverty assessment tool, the "visual impression" method, and international poverty benchmarks, especially when coupled with quick triangulation surveys.[3]

1.2   Objective

The Graduating to Resilience Activity (the Activity) is an example of a poverty reduction intervention aiming to help 13,200 ultra-poor Ugandan (also referred to as host community) and refugee households in the Kamwenge region and the Rwamwanja refugee settlement in Uganda to graduate from conditions of extreme poverty, food insecurity, and vulnerability. To maximize the program impact and ensure that the Activity reaches the most ultra-poor households in a community, the Activity employed a specific participatory method called participatory rural appraisal (PRA) to identify the target beneficiaries. This report describes the process through which the program team developed an appropriate PRA method suited for identifying

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[1] BRAC, 2015. PROPEL Toolkit: An Implementation Guide to the Ultra-Poor Graduation Approach.
[2] Karlan, D. and Thuysbaert, B. 2013. Targeting Ultra-Poor Households in Honduras and Peru. NBER Working Paper No. 19646.
[3] Zeller, M., Feulefack, J., and Neef, A. 2006. How Accurate is Participatory Wealth Ranking (PWR) in Targeting the Poor? A Case Study from Bangladesh.

beneficiaries in the target region, as well as the full-scale rollout of the method to identify beneficiaries for the first program phase.

The Activity employed a PRA because it recognizes the importance of transparent and accurate beneficiary selection in a context of extreme poverty and record levels of refugee influx (approximately 1,191,000 refugees).[4] The PRA will allow the activity staff to build trust with the community, where the program will be implemented for seven years, and to ensure the immediate and long-term success of the Activity's interventions.

The experience of the AVSI team (the AVSI team comprises AVSI Foundation, IMPAQ International, and Trickle Up) using the PRA for this Activity will also strengthen learning toward implementing future graduating out of poverty approaches (or Graduation Approach). For example, the experience was shared in the Graduation Community of Practice, a learning group established to share best practices and success stories among organizations employing the Graduation Approach in their work across East Africa. Specifically, the experience, as illustrated in this report, has significantly contributed to learning about 1) large-scale targeting using a pilot-and-scale approach; 2) understanding the appropriate ordering of PRA activities to improve targeting effectiveness; and 3) best practices for using the PRA in sensitive environments such as those in refugee settlements.

The remainder of the report is organized as follows. The next section provides a broad description of the PRA methods used to identify beneficiaries in poverty reduction programs. How these tools were incorporated in the two pilots implemented to design the Activity's PRA is detailed in section 3, section 4 discusses the scale-up process and the lessons learned by the team in applying the PRA approach, and section 5 presents the conclusions.

2. Background on Methodologies Used to Target Poor Households

Participatory processes, loosely defined as development methodologies incorporating feedback from local stakeholders and potential beneficiaries in program design and evaluation, were first introduced as a tool in development practices in the 1970s.[5] By engaging local communities to identify households living in poverty, researchers could measure relative, context-specific poverty measures, thereby avoiding imposing potentially foreign concepts and categories of wealth onto the communities they worked in. This section provides a background on the PRA tools AVSI used to identify activity participants.

2.1 Participatory Wealth Ranking

Participatory wealth ranking (PWR) is a method of measuring relative poverty in a community by asking a sample of community leaders and members to assign all households in the village to one of four broad wealth categories – either rich, moderate, poor, or extremely poor. The definitions of these categories are set by the community members who participate in the intervention. Once

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[4] UNHCR. December 31, 2018.
[5] Doty, A.J. 2014. Participatory Wealth Rankings as a Tool for Targeting and Evaluation: Do Participatory Methods Successfully Identify the Poor and Measure Change in Their Lives? Village Enterprise. San Carlos, CA.

the participants have defined the wealth categories, the facilitator of the exercise reviews the listing of households, usually gathered from a local administrator or sub-national government agency, with the participants to confirm which households reside in the village. The names of the household heads are then distributed among the participants, who – individually or as a group – place the household into one of the four categories, a process referred to as "bucketing." The distribution and assignment by different individuals acts as a validation check to ensure that no one individual exerts undue influence over the process and potentially dishonestly assigns a particular household to a given wealth category. Program staff use the resulting categorization of households to target for the program, usually from the "extremely poor" or combination of "extremely poor" and "poor" categories, depending on the scope and goals of the program.

The PWR method has had notable success when used as the targeting mechanism for the Graduation Approach. Banerjee et al. (2015) examined RCTs of six graduation programs that used the PWR and found that the activities were quite successful in achieving their targets, due in part to their success targeting beneficiaries,[6] an area that caused previous attempts at this strategy to fail.[7] However, the primary benefit of this approach is not its efficacy, but rather the benefits derived from active community engagement.[8] By involving the community in determining who can participate in the program, individuals feel that their opinions and understanding of their own community are valued, thereby increasing community satisfaction and trust with the program and implementer, the benefit of which is especially relevant for implementing multi-year interventions.

However, the PWR also has a few limitations. First, the process of holding a workshop and encouraging active discussion is a time-consuming process and requires program staff to facilitate, which makes this method difficult to implement, especially if the implementer is operating under tight budgetary and time constraints. Second, the methodology, if unaccompanied by additional checks, is prone to significant inclusion and exclusion errors. For example, community members may have differing opinions on the villages' borders, or households could simply be left out if they are not marked in original reconnaissance. Other methods, such as social mapping, can be used in such situations to mitigate these inclusion or exclusion errors.

2.2   Social Mapping

Validating the location of the households is a critical part of the PRA process. Social mapping is an approach whereby community members are asked to draw out their community, village, or settlement and identify important pieces of information such as the community's border, relative size, transportation issues, and important landmarks and reference points. The social mapping exercise is not designed to assist a community in depicting the village accurately or to scale, but rather to "[gather] useful information that informs the situation being examined or [what you

[6] Banerjee, A. et al. 2015. A multifaceted program causing lasting progress for the very poor: Evidence from six countries. *Science*, 348 (6236).

[7] For example, see discussion of India's Integrated Rural Development Program: Pulley, R. 1989. A Case Study of the Integrated Rural Development Program in India. World Bank, Washington, D.C.

[8] BRAC, 2015. PROPEL Toolkit: An Implementation Guide to the Ultra-Poor Graduation Approach.

wish] to learn from the community."[9] This process helps locate where the households are that have been identified as poor and extremely poor on a map to 1) validate whether or not they fall within the community boundaries and 2) assist in physically locating the households for future survey and program implementation purposes.

Members of an activity community conduct the social mapping exercise by outlining the village boundaries in the dirt and marking households and landmarks with different colored pieces of paper. An activity team member (front, left) records the information in a notebook to use later in the activity.

2.3   Poverty Probability Index

Another method used to identify target beneficiaries is the Poverty Probability Index (PPI). The PPI is a method to calculate relative poverty in a community in which a 10-question survey is given to the head of a household, the answers to which are used to calculate the likelihood that the household is living below the poverty line.[10] This methodology, originally developed by the Grameen Foundation and subsequently revised by Innovations for Poverty Action (IPA), is an easy-to-use statistical measure that, when triangulated against other poverty measures such as the PWR, helps improve the accuracy of targeting.

The PPI offers several benefits. First, the survey is designed to be easy to administer and quick for respondents to answer, and IPA has adapted the survey to a number of countries (including Uganda), thereby increasing the accuracy of capturing those living under different poverty levels by accounting for the local perceptions and measures of wealth. Second, the PPI was developed with organizational constraints in mind; the simplicity of the survey reduces the resource requirements needed to assess a household's economic status.

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[9] Action Evaluation Collaborative. Social Mapping Handout
[10] Innovations for Poverty Action. About the PPI: A Poverty Measurement Tool. Accessed 2/1/2019. https://www.povertyindex.org/about-ppi

2.4   Relevance of the PRA Approach to the Activity

The three tools just described were all deemed relevant for targeting beneficiaries for the Activity. The PWR was particularly relevant for the Activity because of the sensitive context in which the Activity was operating. With reports of mistrust within the refugee settlement toward governmental and international entities and between the host population and the refugee community, coupled with an unstable refugee policy environment, the Activity considered the PWR approach particularly relevant to mitigate potential mistrust and conflict. The social mapping approach was also considered relevant so that the Activity could locate churches, schools, community centers, rivers, and other landmarks not only for conducting surveys among extremely poor households, but also to locate these households during the implementation phase. The PPI was considered a rigorous tool to measure the accuracy of the PWR. Moreover, IPA – the evaluation partner for this Activity – had already developed the survey questions suited to the Ugandan context, thereby making it easy to adapt for this Activity. The next section describes the two pilot exercises that the AVSI team implemented using a combination of these three PRA methodologies.

3.   Design for Selecting Targeted Households

The AVSI team piloted combinations of the PWR, social mapping, and the PPI to design the final targeting method. This section details the two pilot exercises that were implemented by the team.

3.1   Pilot Exercise 1

3.1.1 Methodology

The first piloting exercise was conducted in six villages – three in the host community and three in the refugee settlement – using a combination of the PWR, social mapping, and the PPI. Before the PRA activities began, the AVSI team sent a small team to each village to mobilize community leaders to prepare the village for the activities and to receive a list of all the households in the community, as recorded by Local Council 1 (LC1) or the Refugee Welfare Committee (RWC) of that village. This step was undertaken to ensure that PRA activities could be conducted in a timely manner and community leaders and participants would know what to expect.

The AVSI team returned to the village on the day following the initial visit to initiate the PRA process for identifying extremely poor households. The first activity the AVSI team conducted was the PWR, also known as bucketing, as described in the previous section. The facilitators guided the participants through a discussion in which the community members collectively defined

the wealth categories of extremely poor, poor, moderate, and rich households. These category definitions varied from village to village, but common elements defined the division between these categories across villages, such as the ability to pay for children's education, ability to pay medical bills, type of labor the individual does/can engage in, and level of independence. Complete definitions of the wealth buckets for a selected refugee and host community are provided in Annexes A and B, respectively.

Once these categories were established, the team read through the list of households they received the previous day and the participants confirmed whether each household lived in the community, to validate the accuracy of the list. Finally, the bucketing exercise was conducted by giving each participant between 15 and 20 head-of-household names; each person was asked to assign those names to one of the four wealth category buckets.

Upon completing the bucketing exercise, the participants plotted the locations of the households designated extremely poor through the social mapping exercise. In this context, the participants drew a map of the village in the soil and plotted the location of the households and community landmarks, such as rivers, roads, churches, and community centers. AVSI staff recorded this information and provided it to enumerators to help them locate households to conduct the PPI.

The PPI was conducted by AVSI staff for each household recorded on the list provided by the LC1 or RWC. The results of the PPI were compared against the PWR to confirm which households met the definition of "extremely poor." If the PPI did not categorize a household as extremely poor, that household was removed from the list and became ineligible to participate in the Activity. The standard PPI for Uganda (as developed by IPA) was used in host communities, but an adapted version of the tool was used in refugee communities. IPA modified the PPI for the refugee communities because two questions in the standard PPI ask about materials used to

construct the houses, but refugees were restricted in the type of materials they could use in their dwellings (such as tin roof panels, which have a high PPI value). The standard and modified versions of the PPI questions are listed in Exhibit 1. As the exhibit suggests, the modified PPI elicited more questions geared toward households' consumption as compared with the standard PPI, which elicited more questions about households' asset holdings. The change took into consideration that refugee households may not be very heterogenous in their asset holdings, as they had all been provided similar starter kits upon their arrival in the country.

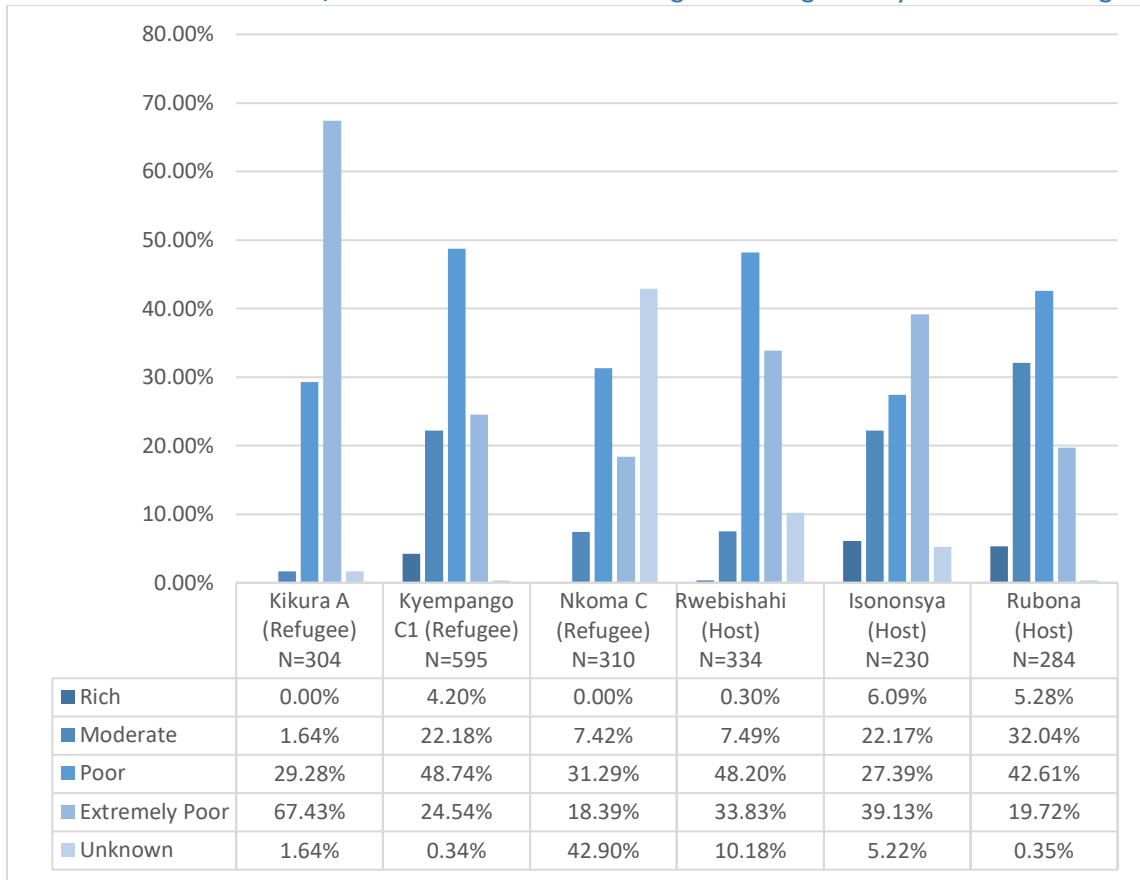*Exhibit 1. Standard and Modified PPI*

Standard PPI	Modified PPI
1. How many members does the household have?	1. Has the household received any income in the form of cash as salary or wages in the last 12 months?
2. Are all household members ages 6 to 12 currently in school?	2. What was the average number of meals taken by household members per day in the last 7 days?
3. Can the (oldest) female head/spouse read and write with understanding in any language?	3. Does every member of the household have at least one pair of shoes?
4. What type of material is mainly used for construction of the wall of the dwelling?	4. Does every member of the household have at least two sets of clothes?
5. What type of material is mainly used for construction of the roof of the dwelling?	5. Has the household consumed milk in the last 7 days?
6. What source of energy does the household mainly use for cooking?	6. Has the household consumed cooking oil or ghee in the last 7 days?
7. What type of toilet facility does the household mainly use?	7. Has the household consumed meat, fish, or eggs in the last 7 days?
8. How many mobile phones do members of your household own?	8. Has the household consumed sugar in the last 7 days?
9. Does any member of your household own a radio?	9. Has the household consumed sugar in the last 7 days?
10. Does every member of the household have at least one pair of shoes?	

3.1.2 Sample

The sample sizes and results of the PWR activity for Pilot 1 villages are listed in Exhibit 2. Overall, 2,057 households were assigned to a wealth category in the PWR across the six villages. Very few households were identified as rich during this exercise (2.7%), whereas 32.4% of households were identified as extremely poor in the overall sample of households.

However, significant variation in wealth stratification was observed among the six villages. Kikura A, a refugee village, had by far the largest proportion of extremely poor households, as identified in the PWR, at 67.4%, whereas another village in the settlement, Nkoma C, showed only 18.4% of the residents in the extremely poor category. The gap was much smaller between the villages with the highest and smallest percentages of extremely poor households in the host community, Isononsya with 39.1% and Rubona with 19.7% of the population, respectively.

Exhibit 2. Distribution of Households in Wealth Categories Using Poverty Wealth Ranking

	Kikura A (Refugee) N=304	Kyempango C1 (Refugee) N=595	Nkoma C (Refugee) N=310	Rwebishahi (Host) N=334	Isononsya (Host) N=230	Rubona (Host) N=284
■ Rich	0.00%	4.20%	0.00%	0.30%	6.09%	5.28%
■ Moderate	1.64%	22.18%	7.42%	7.49%	22.17%	32.04%
■ Poor	29.28%	48.74%	31.29%	48.20%	27.39%	42.61%
■ Extremely Poor	67.43%	24.54%	18.39%	33.83%	39.13%	19.72%
■ Unknown	1.64%	0.34%	42.90%	10.18%	5.22%	0.35%

3.1.3 Results

The results of the PWR were then compared against the PPI to determine the validity and subjectivity of the PWR process. Exhibit 3 plots the distribution of the PPI score for households identified in each wealth category. The significant spread of the box plot against the probability of the household being poor for each wealth category demonstrates that the PWR exercise poorly predicted the household's probability of actually belonging to that wealth category (as measured by the PPI).

Exhibit 3. Probability of Poverty Index Results for Pilot 1

Exhibit 3. Probability of Poverty Index Results for Pilot 1
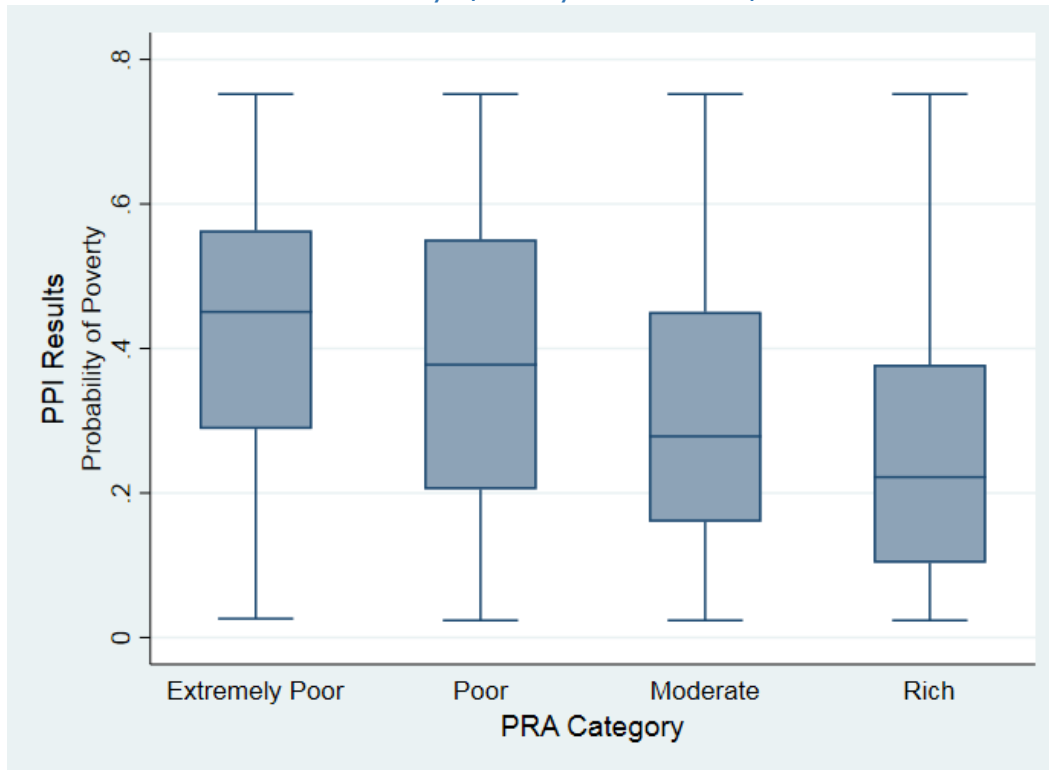
3.1.4 Challenges

The first pilot revealed a number of challenges in conducting the PRA process. First, the PPI was not sensitive enough to differentiate the economic status of households in the four wealth categories, as defined by the local communities. This served as a clear indicator to the AVSI team that the standard and modified PPI did not map well to the communities' definitions of poverty. The exercise also revealed that there is significant overlap between the communities' definitions of poor and the teams' definition of extremely poor.

Several logistical challenges emerged during the PRA process as well. The household lists provided by the LC1 or RWC did not always include the names of all households that resided in the village, which mattered because any households not included in the list were excluded from the bucketing exercise by default. Moreover, matching households to compare PPI and PWR was not always easy. AVSI encountered difficulty matching results from the PPI and the PWR owing to misspellings and name variations and often had difficulty locating households and recording their locations with GPS. The full list of challenges that the team encountered during the first pilot, and the actions taken to address them, are documented in Exhibit 4.

Exhibit 4. Challenges and Solutions from Pilot 1

Challenge	Solution
The version of the PPI deployed was not sensitive enough to determine economic status.	AVSI staff created a new PPI scorecard with 9 questions using the communities' definitions of poverty as a guide, to be tested in the second pilot.
The "bucketing" process was very time consuming.	The team consolidated the steps necessary to confirm that the household lived in the village and to bucket them by adopting a consensus approach with the local leaders, rather than reading off the list names to validate and then bucketing the names individually. This process may also reduce any chance of names being placed in inaccurate buckets because the group decided on the wealth ranking of each household.
The social mapping exercise was time consuming, sometimes going into the evening, when the team had to use car headlights to complete the exercise.	Because of the time it took to conduct the social mapping exercise, AVSI decided to revise this exercise so that, with the support of local leaders, every household in the village was visited by AVSI personnel. This validation activity, known as "scorecard," located every household, validated the list provided by local leaders, corrected the names on that list, and allowed enumerators to conduct the PPI.
Many households were not included in the household list provided by village leaders and, as a result, were not included in the bucketing exercise.	Activity staff decided to conduct the scorecard exercise prior to the PWR in Pilot 2, so that the updated and validated list could be used for the PWR exercise.
Refugee and host community members reported that they had land seized since the settlement reopened in 2012. Participants feared that AVSI was coming to take their land and at times would not speak to enumerators.	Improved communications with local leaders from the onset of the PRA process.
GPS entry did not always work or took a long time to work.	Asked enumerators to identify a landmark near the home to help find houses for data collection.
Matching names from PPI and PWR was difficult because of misspellings and different spellings.	Included unique household codes during PWR and scorecard exercises to better match households across these activities.
The definition from the communities of extremely poor often included definitions of vulnerable populations, whereas the definitions for poor households also encompassed what the team would define as extremely poor.	AVSI decided to incorporate both poor and extremely poor households into project activities.

3.1.5 Conclusions and Recommendations

The first pilot revealed several important insights into the PRA process. The key lesson learned is that the standard and revised PPI, though it is an effective poverty measurement tool on its own, does not necessarily align with community definitions of poverty, and thus does not distinguish well among the various wealth categories. To effectively use the PPI as a triangulation tool, the evaluation team should first seek to understand the communities' definitions of poverty

and use this information to either make additional adjustments to the standard PPI, as necessary, or create a separate tool.

Second, the AVSI team found that the definitions used to distinguish between poor and extremely poor are ambiguous because of significant overlap between these categories as defined by both local communities and the evaluation team. For future PRA activities, implementers should be sure to carefully define the separating criteria between moderate and poor and between poor and extremely poor households with community input if they wish to target solely the poorest households.
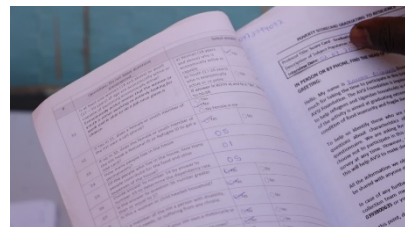
To ensure a comprehension of all households in the PRA, it is important to gather as much information about the community and households as possible at the outset of the Activity. The PRA process is a time- and labor-intensive method of identifying potential participants, so it is crucial to mitigate possible obstacles to efficiently completing the PWR and validation exercises. AVSI found that by revising the social mapping and combining it with the validation exercise so that enumerators walked through villages with local leaders to identify each household prior to the PWR significantly reduced the number of households that were missed during the bucketing exercise. Other actions that helped reduce confusion during the activity included assigning unique identifiers to households to match results from the scorecard and PWR and using GPS coordinates and landmark recordings to identify household locations.

3.2   Pilot Exercise 2

Given the inconclusive poverty identification results of the PRA process in Pilot 1, AVSI decided to refine the methodology and address the shortcomings of the first pilot and re-run the exercise, again in six villages, three host and three refugee communities.

3.2.1 Methodology

AVSI revised the methodology used to conduct the PRA from the first pilot to address the complications encountered while conducting the exercise. To begin, the team revised the order in which the activities were carried out. Enumerators began by conducting the revised social mapping exercise with the village leaders, which also served to validate the household list provided by the LC1 or RWC and ensured that as many

Filled household scorecard and consent form. Photo credit: AVSI communication staff

households were included in the PRA as possible. This allowed the team to verify the accuracy of the household list before conducting the PWR. If, during the exercise, the team encountered a household that was not listed, enumerators were able to add that household to the list immediately and make other corrections, such as misspelled names, to the village list prior to the PWR.

Because the PPI was not sensitive enough to detect the differences among the PWR categories, the AVSI team created a new survey based on the community definitions of the poverty categories gleaned from the first pilot. The questions in the revised scorecard are listed in Exhibit 5. So that each household would need to be visited only once, AVSI decided to conduct the scorecard

survey during the revised social mapping exercise that would validate the village lists, thereby avoiding the problem of enumerators being unable to re-locate households at a later date and saving time. During the survey, households were assigned a unique identifier, recorded on both the survey and the village list, to reduce the matching issues encountered during the first pilot.

Once the scorecard survey was administered to all households identified during the social mapping exercise, the PWR (bucketing) exercise was conducted in a similar way to how it was conducted during Pilot 1. The main differences between the two pilots were that the social mapping list was used in the second pilot instead of the village list, and the community members did not need to identify the locations of poor and extremely poor households. Another change was that names were called out from this list and immediately placed into a bucket by consensus from the group of village leaders and selected residents to reduce the time it took to do the PWR.

Exhibit 5. Revised Scorecard

1. Does a female member of the household own a cell phone?
2. Is at least one woman or youth between 17 and 30 years of age economically active or capable of becoming economically active?
3. How many people live in the house permanently?
4. Of the people who live in the house, how many people contribute for the food and other expenses of the house?
5. Divide answer to number [3] by answer to number [4] to determine the dependency rate.
6. Is this number greater than or equal to 3?
7. Is this a woman- or child-headed household?
8. Is a member of the household a person with disability, special needs, or suffering from any chronic illness?
9. Does a member of the household own a motorcycle or a car?
10. Does a member of the household own any cows?
11. Does anyone in the household have a job that gives them a fixed income?
12. Does the household have a private toilet facility?
13. Is the house constructed of corrugated iron sheets, cement/concrete, floor tiles, or roofing tiles?
14. Is the household able to pay for school fees and/or hospital bills regularly without borrowing money?

3.2.2 Sample

Using the revised PRA approach, 1,738 households were identified that met the Activity's eligibility requirements, out of the 2,196 households interviewed across the six pilot villages. The breakdown of the number of households identified and those determined as eligible is listed in Exhibit 6 for the three host communities and three refugee settlements. These results reveal the high percentage of refugee households that are eligible to participate in the activity: 96% of the identified households in Nkoma A, for example, met the activity's participation requirements.

Exhibit 6. Pilot 2 Sample Results

Sub-county	Village	Count of HHs	Count of Eligible HHs
Host			
Bwizi	Bwizi	312	209
Bwizi	Kamusenene	370	231
Nkoma	Kinyonza	203	106
Total, Host HHs		**885**	**546**
Refugee			
Nkoma	Base Camp 1	191	191
Nkoma	Mahani 1	569	471
Nkoma	Nkoma A	551	530
Total, Refugee HHs		**1311**	**1192**
Grand Total:		**2196**	**1738**

3.2.3 Results

Exhibit 7 shows the results of the PWR plotted against the results of the contextualized scorecard that AVSI created. The four wealth buckets are the same as those used in Pilot 1, but the *y-axis* now measures the aggregate scores of the scorecard rather than the PPI. These results show that there is a statistically distinguishable difference between the extremely poor and poor wealth categories combined versus those of moderate and rich wealth categories, which could not be differentiated in the first pilot. This finding indicates that the revised scorecard was able to more accurately predict poverty than the standard or modified PPI.

Exhibit 7. Scorecard Results for Pilot 2
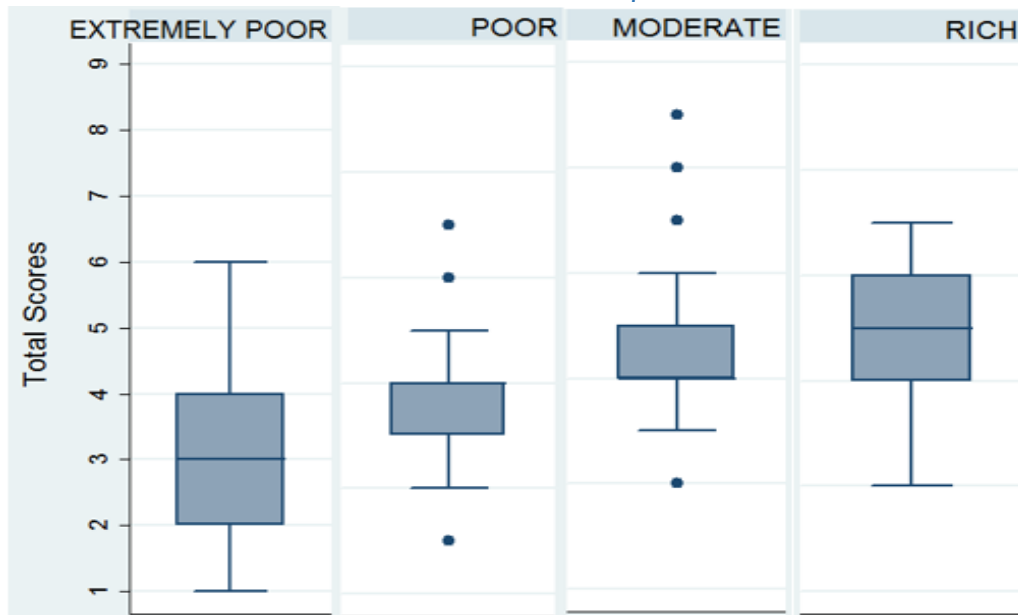
3.2.4 Challenges

Despite the improvements made in the second pilot, the team still encountered some challenges in administering the PRA. The modifications made to the pilot were intended to reduce the number of households left out of the bucketing exercise through the revised social mapping exercise. However, upon review of the pilot results, AVSI found that 46 households were located during the revised social mapping exercise but were not included in the PWR, whereas 23 households that did not have scorecard results were mentioned during bucketing. For the 46 households, participants in the PWR did not know enough about the household to categorize them, so the evaluation team used only the scorecard classification for them. For the other 23 households, the PWR category was used, but the evaluation team made sure that a consensus was reached for the categorization of each household because the response could not be triangulated with the scorecard.

The other main challenges encountered during the second pilot were the time and labor constraints. The revised social mapping exercise requires a significant amount of time to complete, especially in the larger villages, some of which had more than 600 residents. In a village of this size, it took between 3 and 4 days for a team of seven enumerators and two project managers to complete the exercise.

3.2.5 Conclusions and Recommendations

The second pilot confirmed that the PRA methodology works in identifying target beneficiaries, while building trust among the implementation teams and the communities, as compared with the first pilot. Although this approach has obvious benefits, the second pilot indicated that the method also has some drawbacks. First, despite the time and personnel invested to reach as many members of the community as possible (the goal was to reach all households), a review of the pilot revealed that households were missed during both the revised social mapping and PWR exercises. Checks and flexibility should be built into survey tools so as many households can be captured in this process as is feasible. The pilot also revealed the extensiveness of the resource requirements of this methodology, as the revised social mapping exercise can be extremely labor intensive. This knowledge should inform an implementers' decision-making process for their beneficiary identification strategy.

4. Identification of Target Households

4.1 Sampling and Methodology

AVSI incorporated the lessons learned and refined the methodology to scale up the PRA to create the full project sample. The scale-up process began with enumerator training during the week of June 25–29, 2018, in which 260 enumerators were trained to conduct the scorecard and PWR exercises. The social mapping and scorecard exercises began the following week, July 2–7. In total, the team conducted the PRA exercise (revised social mapping with scorecard and PWR) in 194 villages (45 refugee and 149 host) over nine weeks, reaching a total of 35,204 households. For the villages that were included in the initial pilot, the PRA was conducted for households that were categorized as "unknown" during the bucketing exercise or were not included in the village

list and identified later. Households that participated in the activities during the first pilot were not resurveyed.

The PRA activities were conducted in the same order as Pilot 2 during scale-up. Minor changes were introduced to ensure that the exercise reached as many households as possible. One such change was enabling enumerators to assign a household code to households that they were unable to interview. This allowed a household that was validated and existed within the community to continue to the PWR exercise. An additional question was added to the survey asking whether an economically active woman or youth lived in the household. Although this question was not used to categorize wealth, this question was added because women are the main entry point for this activity and this will help better identify eligible households. Other questions that were added, such as those on cell phone ownership and ability to access SIM cards, will help Activity staff make decisions regarding cash transfer modalities. Despite these changes to the survey, no large procedural changes that would determine wealth category were made. The order of PRA activities is shown in Exhibit 8.

Exhibit 8. Flowchart of Activity Targeting and Identification
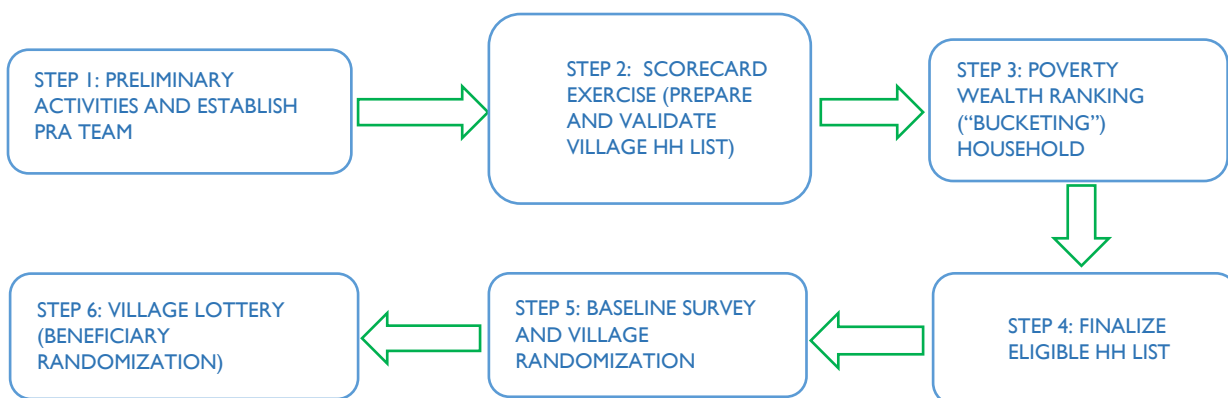
Once all households were categorized through the PRA activities, AVSI staff determined whether each household was eligible to participate in the activity. Households met the activity's eligibility requirements if they were classified as either poor or extremely poor during the PRA exercise and at least one member of the household was a woman or youth who was economically active or had the potential to become economically active with the aid of the Activity.

IPA then randomized the list of eligible households and conducted the baseline survey, which measured the economic and social indicators of Activity participants before the graduation interventions started. The final step before activities could begin was to assign the households in the treatment villages (which IPA had determined through the earlier randomization) to one of three treatment arms or to the control group. The three treatment arms are slight variants on the activity model: Treatment Arm 1 is the "Standard Adapted Model," Treatment Arm 2 is the "Group Coaching Model," and Treatment Arm 3 is the "Empowerment Model." Exhibit 9 shows the scope of activities conducted under each of these three approaches.

Exhibit 9. Program Component Summary

Program Component	ARM 1 Standard Graduation	ARM 2 Group Coaching	ARM 3 Empowerment Model	Control Group
Consumption Support	✓	✓	✓	X
Core Training and Skills	✓	✓	✓	X
Savings	✓	✓	✓	X
Asset Transfer	✓	✓	X	X
Coaching	Individual	Group	Individual	X
Linkages	✓	✓	✓	X

Each household was assigned to one of the three treatment arms or the control group through a lottery. IPA grouped households together into lists of approximately 23 to 27 households, depending on how many participants were in the village. In each village (or cluster of villages, if there were insufficient participants in any single village), each household list would be assigned a letter, which was then placed in a drawing box. The same would be done for the treatment arms in a separate box, where the numbers 1, 2, and 3 represent the treatment arms discussed above and 4 denoted the control group. The lottery was conducted by drawing a household list and a treatment assignment together. For example, if "B" and "3" were drawn, this meant the households listed on the list titled "B" would be assigned to the Empowerment Model. This process was repeated until all households were assigned to one of the three treatment arms or the control group.

The number of household lists had to correspond to the number of treatment cards so that each grouping of households could be randomly assigned to a specific approach. For example, if a village had four lists of participating households (denoted as A, B, C, and D), then four treatment cards would be used for the lottery (1, 2, 3, and 4). AVSI chose the distribution of treatment cards to meet the desired assignment to each approach.

4.2   Results

The breakdown of the household assessments across all 194 host and refugee villages is shown in Exhibit 10. A total of 35,204 households were assessed across the 194 villages, of which 25,140 were deemed eligible to participate in the activity based on the criteria described earlier.

Exhibit 10. Activity Targeting Results
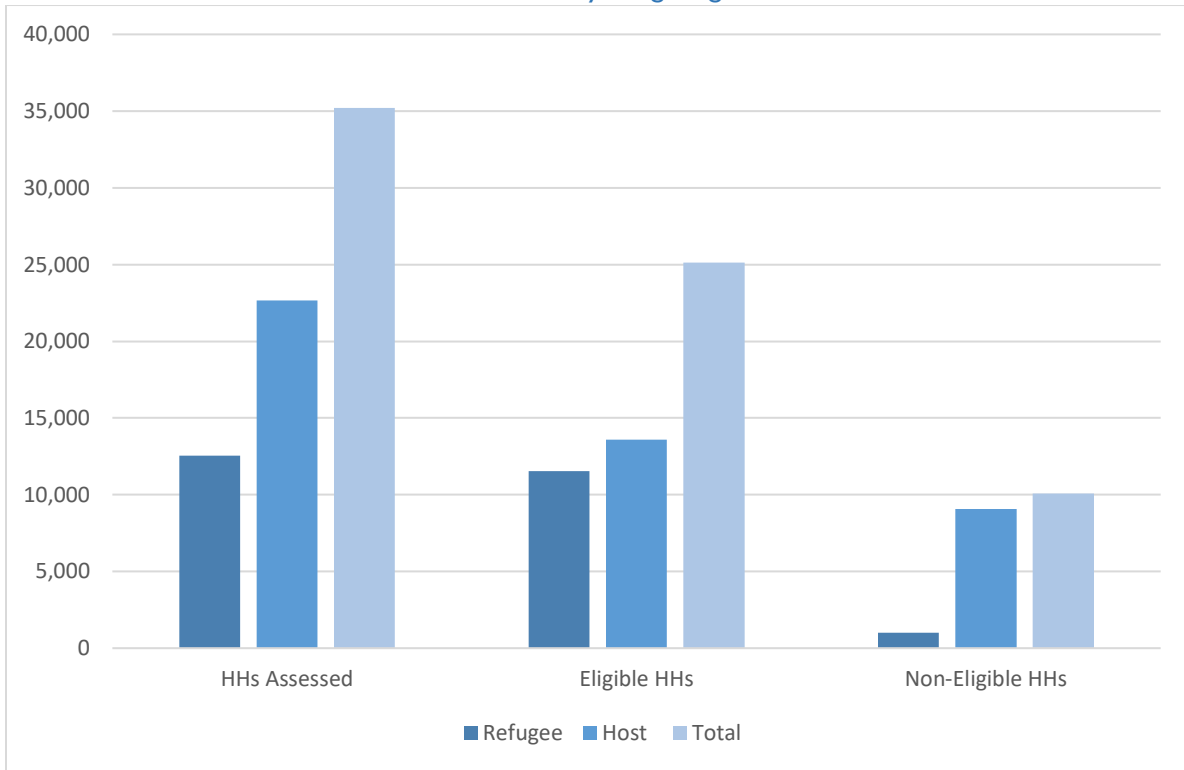
After IPA randomized at the village level, AVSI conducted the approach arm lottery in each village that was assigned to treatment in the IPA village randomization. The results of the approach arm lottery are shown in Exhibit 11. Eligible households were divided across two cohorts to participate in the activity. For the first cohort, 8,829 households were assigned to one of the four approach arms across the treatment villages, divided between host communities and refugee settlements.

Exhibit 11. Treatment Arm Assignment

	Host Community HHs	**Refugee HHs**
Arm 1	1098	1100
Arm 2	1102	1125
Arm 3	1104	1100
Arm 4	1100	1100
Total	**4404**	**4425**

4.3 Challenges

Despite the improvements made to the targeting approach in the first two pilots, the evaluation team continued to encounter challenges to conducting the PRA; however, AVSI learned some best practices from the pilots that mitigated the setbacks caused by these challenges.

Location and identification of households continued to be a challenge throughout the scale-up process. The household lists provided by local leaders in host communities were typically not up to date, and those provided by UNHCR for the settlement were inaccurate and incomplete. The AVSI team made every effort to work with local leaders in both the host communities and refugee settlement to update the lists before the social mapping and scorecard activities were carried out. In addition, it was not uncommon for households to move between villages, and AVSI worked with local leaders to record information on which households had relocated.

Additional challenges were present in dealing with local leadership. Local leaders occasionally lacked knowledge of all households in the community; this was especially true for households that had recently moved to the village. This meant that extra emphasis was placed on the social mapping exercise to validate the LC1 and RWC lists. Furthermore, some local elections coincided with the PRA exercises, which muddied the relationships needed to successfully complete all activities. AVSI engaged both current and potential future leaders in the process to ensure continuity of the PRA.

Finally, other programs that were being carried out in parallel to AVSI's efforts conflicted with set timelines and influenced beneficiaries' perceptions of the Activity. In the settlement, UNHCR and the Office of the Prime Minister's biometric identification effort and food distribution by the WFP and ADRA often meant that it was difficult to find residents of households when they were home and not participating in these endeavors. Additionally, there was an expectation that the Activity would provide immediate support, especially in the refugee settlement. AVSI addressed these issues by coordinating program activities around other NGO and UN schedules and made extra efforts to explain the activity in detail to all potential beneficiaries.

5. Conclusion

AVSI's piloting process has put the Activity off on a good footing with the host and refugee communities in the Activity area, laying the foundation for successful implementation of the Graduating to Resilience planned activities. First, AVSI's decision to use the PRA method to select Activity participants created trust between the Activity team and local residents through the transparency of the approach and incorporation of local feedback into participant selection. By conducting two pilots, the Activity team was able to successfully identify and address the unique challenges presented by working in a refugee settlement and the surrounding communities, where numerous actors are present and perceptions of and relationships between aid workers and locals can be shaped by past experiences. This report demonstrates that the PRA approach is relevant for beneficiary selection in challenging contexts; the successful scale-up indicates that this methodology is potentially replicable to outside contexts and can therefore be a useful tool in future programming to build trust between implementers and beneficiaries as well as successfully targeting poverty-reduction programming to those that need it most.

Appendix A: Sample Refugee Village PWR

Rich	Moderate	Poor	Extremely Poor
• Has high purchasing power • Doesn't work for others • Has sufficient income • Not disabled • Ability to take care of one's children • Can/does support other family members • Able to pay hospital bills • Able to pay school fees • Has capital • Owns a goat • Owns a bicycle • Has stores of food	• Able to buy food for themselves • Able to do casual work • Owns farm animals, but not a farm • Able to treat their animals for disease • Able to pay school fees and can send their kids to traditional school • Has money and able to lend to others • Owns home • Owns a bicycle • Has one cow • Able to speak English	• Depends on cash and food donations or loans for survival • Unable to do casual work • Unable to educate their children • Unable to pay for children's medical care • Disabled • Single mother with more than 8 children • Does not have enough clothing • Cannot meet their basic needs • Unable to build a home for themselves	• Cannot help themselves at all • Works in others gardens everyday • Disabled and/or has chronic diseases • Primarily engaged in begging • Has jiggers, and is unable to pay for treatment • Does not own clothing or house necessities • Does not own a home • Sells off belongings for survival • Has no relatives to support them • Unaccompanied minors

Appendix B: Sample Host Village Households PWR

Rich	Moderate	Poor	Extremely Poor
• Owns land • Owns a home • Is in good health • Is self-reliant • Can earn at least 3,000 UGX per day • Eats three meals a day • Able to meet the basic needs of the household • Able to support others • Can pay for children's education up to university level • Owns cows, goats, and other domesticated animals • Has the knowledge to sustain him/herself • Has a wife	• Can consume at 50% of what the rich can afford • Earns income on a daily basis • Owns a home, in good condition • Eats at least two meals a day • Can pay for children's education up to S4 level • Can afford medical bills of all members in the household	• May own home, though of poor quality • Engaged in casual labor • Low, intermittent income • Cannot afford to educate his/her children • Elderly, and thus unable to work • Disabled, and thus unable to work • Unable to support others • Cannot provide basic necessities for themselves and his/her children	• Lives in a temporary house on someone else's property • Has gone 6 months without earning any income • Is dependent upon others for survival • Cannot afford basic needs • Unable to make purchases at the market • Works for others for a very small wage • Wears very dirty clothes and cannot afford new ones • Cannot pay school fees for his/her children • Children eat from rubbish pits • Can't afford medical bills • Suffers from disease